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

MINUTES OF THE BOARD OF REGENTS
OF
TEXAS TECH UNIVERSITY

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TEXAS TECH UNIVERSITY
TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

MINUTES OF THE BOARD OF REGENTS
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NOVEMBER 13, 1998

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Minutes

Board of Regents
November 13, 1998

H1/M1 The Board of Regents of Texas Tech University met in regular session on Friday, November 13, 1998 at approximately 8:30 a.m. in Room 210 of the Pharmacy Building on the Amarillo Medical Center campus. The following regents were present: Mr. Edward E. Whitacre, Jr., Chairman; Mr. J. Robert Brown; Mr. John W. Jones; Dr. Nancy E. Jones; Dr. Carl E. Noe; Mr. James E. Sowell; Mr. J. Michael Weiss and Mr. Alan B. White. The following officials and staff were present: Mr. John T. Montford, Chancellor; Mr. James L. Crowson, Deputy Chancellor; Dr. Donald R. Haragan, President, TTU; Dr. David R. Smith, President, TTUHSC; Ms. Cathy Allen, Vice Chancellor for Cultural Diversity; Mr. Pat Campbell, Vice Chancellor and General Counsel; Ms. Ronda Johnson, Vice Chancellor for Institutional Advancement; Mr. Doug Mann, Vice Chancellor for Facilities Planning and Construction; Dr. John Opperman, Vice Chancellor for Administration and Finance; Mr. Mike Sanders, Vice Chancellor for Governmental Relations; Mr. William G. Wehner, Vice Chancellor for Special Projects; Ms. Cynthia Rugeley, Associate Vice Chancellor for News and Publication; Mr. Ben Lock, Executive Assistant to the Chancellor; Dr. John Burns, Provost, TTU; Mr. Jim Brunjes, Vice President for Fiscal Affairs, TTU: Mr. Elmo Cavin, Vice President for Fiscal Affairs, TTUHSC; Mr. Richard Butler, Vice President for Operations and Student Support Services, TTUHSC; Dr. Robert H. Ewalt, Vice President for Student Affairs, TTU; Dr. Joel Kupersmith, Vice President for Clinical Affairs and Dean of the School of Medicine; Mr. Glen Provost, Vice President for Health Policy and Planning, TTUHSC; Dr. Leonel Vela, Vice President for Rural and Community Health, TTUHSC; Dr. Michael R. Heintze, Vice President for Enrollment Management; Mr. Gene West, Vice President for Operations; Dr. David Schmidly, Vice President for Research and Dean of the Graduate School, TTU; Ms. Theresa Drewell, Assistant Vice Chancellor for Facilities Planning and Construction; Mr. Ed McGee, Assistant Vice Chancellor for Investments; Mr. James Laible, Associate Vice President for Managed Care/Hospital Relations, TTUHSC; Dr. Robert Sweazy, Associate Vice President for Research, TTU; Ms. Elizabeth McClendon, Office of the General Counsel; Mr. Artie Limmer, Assistant Director and Manager of Photographic Services, News and Publications; and Mrs. Marcie Johnston, Executive Director to the Board of Regents.

Secretary's Note: Other than for the Board members and the senior officers of the Office of the Chancellor and the Offices of the Presidents of Texas Tech University and Texas Tech University Health Sciences Center, attendance at the meeting was verified only by a sign-in sheet.

H2/M2 Chairman Whitacre called the meeting of the Board of Regents to order at 8:32 a.m. and then called on Vice Chancellor Cathy Allen who gave the invocation.

H3/M3 Chairman Whitacre called on Chancellor Montford who introduced Dr. Wayne J. Daum, newly-appointed regional dean of the School of Medicine in Odessa; Dr. Arthur A. Nelson, Jr., founding dean of the School of Pharmacy in Amarillo; Dr. E. Lee Taylor, regional dean of the Texas Tech Medical Center in Amarillo; and students Bonnie Dugie, representing the School of Pharmacy in Amarillo, and Benjamin Jay Leeah, representing the School of Medicine in Amarillo. Chancellor Montford noted the accomplishments of

Dr. Tom Hale, a faculty member of the School of Medicine in Amarillo, who was not present at the meeting.

H4/M4 At approximately 8:40 a.m., Chairman Whitacre announced a closed session of the Board by making the following statement: "The Board of Regents of Texas Tech University will now convene into Executive Session as authorized by Chapter 551 of the *Texas Government Code*."

H5/M5 At the conclusion of its closed session, the board reconvened into open session at 9:35 a.m. for the purpose of convening into meetings of the Board's standing committees. Chairman Whitacre announced the locations of simultaneous committee meetings as follows: the Academic, Clinical and Student Affairs Committee, Room 336; the Finance and Administration Committee, Dean's Conference Room; and the Facilities Committee, Room 210.

H6/M6 Chairman Whitacre announced at 10:35 a.m. that the Board of Regents would reconvene into its second open session, for the purpose of considering reports of its standing committees, meeting as a Committee of the Whole, and conducting other business.

H7/M7 Regent Nancy Jones moved that the minutes of the Board meetings held on August 14, 1998 and October 26, 1998 be approved. Regent Robert Brown seconded the motion, and the motion passed unanimously.

CW13 Chairman Whitacre announced the following: "The Board of Regents will now convene into a Committee of the Whole for the purpose of considering eight items. For the purpose of facilitating action on items to be considered, I will ask Regent White to preside over the Committee of the Whole."

CW14 Regent White called on Deputy Chancellor Jim Crowson who presented the item regarding approval of the combination of the *Texas Tech University Board Policy Manual* and the *Texas Tech University Health Sciences Center Board Policy Manual* into a single manual. Prior to his presentation, Deputy Chancellor Crowson introduced Jack Miller, Harrington Regional Medical Center, Inc., Chairman, who was in the audience. Opportunity for discussion by the Board followed the presentation. Regent White moved approval of the following resolution:

> *"RESOLVED, that the Board of Regents of Texas Tech University approves the combination of the* Texas Tech University Board Policy Manual *and the* Texas Tech University Health Sciences Center Board Policy Manual *as reflected in the proposed new board policy manual previously provided to the board under separate cover and attached hereto as Attachment No. CW1."*

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

CW15 Regent White called on Deputy Chancellor Jim Crowson who presented the item concerning the authorization for the increase of the initial $50 million aggregate principal amount of Revenue Financing System Commercial Paper program to $60 million, as authorized by the Fifth Supplemental Resolution to the Master Resolution establishing the Revenue Financing System Commercial Paper program approved by the Board of Regents at the November 7, 1997 meeting. Opportunity for discussion by the Board followed the presentation. Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves the increase of the aggregate principal amount of Revenue Financing System Commercial Paper from the initial $50 million limit to $60 million, as authorized by the Fifth Supplemental Resolution to the Master Resolution establishing the Revenue Financing System Commercial Paper program, adopted by the Board of Regents at its November 7, 1997 meeting, and authorizes the Office of the Chancellor to take such action as may be necessary to implement the increase in the maximum aggregate limit, consistent with the terms of the Fifth Supplemental Resolution to the Master Resolution."

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

CW16 Regent White called on Deputy Chancellor Jim Crowson who presented the item concerning approval of revision to *Board of Regents Policy 05.06,* Investment Policy Statement for Endowment Funds and Certain Long-Term Institutional Funds. Opportunity for discussion by the Board followed the presentation. Regent White moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University amends the last paragraph of Section 1 of Board of Regents Policy 05.06 *to read as follows:*

'Endowment funds are a subset of institutional funds. Institutional funds include all funds held by Texas Tech for which Texas Tech has the sole right to determine their use. Specifically, this means any funds that are not controlled by the state, such as state appropriated or other Educational and General funds. Long-Term Institutional Funds are defined as all non-endowment institutional funds approved by the board for investment under the terms of this board policy statement.'

"RESOLVED, that the Board of Regents of Texas Tech University amends Board of Regent's Policy 05.06 *by adding a new Section 4 to read as follows:*

'Section 4. Withdrawal of Long-Term Institutional Funds. Long-term institutional funds may be withdrawn from the Long-Term Investment Fund (the "LTIF") after written notice of such intent is provided and permission is received from the Deputy Chancellor, the Vice Chancellor for Administration and Finance, and the Vice President for Fiscal Affairs. The dollar amount of the withdrawal will equal the number of units withdrawn times the then current Net Asset Value ("NAV") of the LTIF.' "

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

CW17 Regent White called on Deputy Chancellor Jim Crowson who presented the item concerning approval by the Board of Regents of Texas Tech University of amendments to the Four-Year Capital Projects Plan. Opportunity for discussion by the Board followed the presentation. Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University amends the 'Resolutions Establishing a Four-Year Capital Projects Plan for Texas Tech University and Texas Tech University Health Sciences Center' to read as reflected in Attachment No.CW2."

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

CW18 Regent White called on Deputy Chancellor Jim Crowson who presented the item concerning extension of the authority granted by the Board of Regents of Texas Tech University at its August 14, 1998 meeting to the Pricing Committee from 5:00 p.m., Monday, November 30, 1998 to 5:00 p.m., Friday, February 26, 1999. Discussion by the Board followed the presentation. Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University extends the authority of the Board of Regents Pricing Committee to negotiate with the senior managing underwriter the most advantageous terms for the issuance, sale and delivery of Board of Regents of Texas Tech University Revenue Financing System Refunding Bonds, Sixth Series (1998), from 5:00 p.m., Monday, November 30, 1998 to 5:00 p.m., Friday, February 26, 1999."

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

CW19 Regent White called on Deputy Chancellor Jim Crowson who presented the item concerning approval of an amendment to the Chancellor's employment contract. Opportunity for discussion by the Board followed the presentation. Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University: (i) authorizes the amendment of the Chancellor's employment contract by deleting the additional compensation incentive clause contained therein; and (ii) for FY 99: (a) reaffirms an increase of $30,000 to his base salary as a replacement for the incentive clause; and (b) reaffirms its award of an overall annual salary increase of 5%."

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

CW20 Regent White called on Deputy Chancellor Jim Crowson who presented the item concerning approval of issuance of Board of Regents Resolution attached hereto as Attachment No. CW3 in honor of the centennial of Southwest Texas State University. During discussion led by Regent Noe, the Board reached a consensus that a reference to the university alumni be added.

Regent White moved approval of the resolution. Regent Robert Brown seconded the motion, and the motion passed unanimously.

CW21 Regent White called on Deputy Chancellor Jim Crowson who presented the item concerning approval of the 1999-2000 Traffic and Parking Regulations for Texas Tech University and Texas Tech University Health Sciences Center. Opportunity for discussion by the Board followed the presentation. Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves the 1999-2000 Traffic and Parking Regulations attached hereto as Attachment No. CW4."

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

CW22 Chairman Whitacre asked if there were any motions regarding matters discussed in Executive Session. Regent White moved approval of the following resolution:

"RESOLVED, the Board authorize the General Counsel to dispose of the litigation considered within the parameters discussed in Executive Session."

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

CW23 At the conclusion of the meeting of the Committee of the Whole, the Board reconvened and considered reports from its standing committees.

H8/M8 Chairman Whitacre called on Regent Noe, Chair, to give the report of the Academic, Clinical and Student Affairs Committee.

TTUHSC Action Items

H9 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves the appointment with tenure of Barbara Johnston, R.N., Ph.D., director of the Graduate Program in the School of Nursing, as associate professor, and Randolph B. Schiffer, M.D., Chair, Department of Neuropsychiatry in the School of Medicine, as professor effective this date or the date of employment whichever is later."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H10 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to enter into negotiations for the development of an agreement with Sears Methodist Retirement Center, a not-for-profit, long-term care organization for a long-term ground lease pursuant to a master coordinating agreement to build and operate a teaching nursing home on the Texas Tech University Health Sciences Center campus."

Regent Nancy Jones recused herself from consideration of this item. Opportunity for discussion by the Board followed the presentation. The motion passed by a vote of 7 Ayes and 0 Nays, with Regent N. Jones recording her abstention.

H11 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves the Doctor of Philosophy degree program in Pharmaceutical Sciences as a part of the Graduate School of Biomedical Sciences, delivered by the Department of Pharmaceutical Sciences of the School of Pharmacy, and authorizes the Office of the Chancellor to cause a proposal to be submitted to the Texas Higher Education Coordinating Board seeking its approval for such a program."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H12 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to renew the agreement between Texas Tech University Health Sciences Center and Caprock Anesthesia Providers, L.L.P., to provide up to two full-time employees to assist with operating room anesthesia services for the period December 1, 1998 through August 31, 1999."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H13 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the agreement between Texas Tech University Health Sciences Center and University Medical Center for consulting services provided by Ernst & Young, L.L.P., in a study of the efficiency of radiology services."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H14 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the conferral of degrees upon all candidates who have completed requirements for degrees since the last official commencement and who are certified by the faculties, deans and registrar of Texas Tech University Health Sciences Center as having met all degree requirements of the degree as indicated by the official printed commencement program of December 19, 1998, attached hereto at Attachment No. H1."

Discussion by the Board followed the presentation. The motion passed unanimously.

TTU Action Items

M9 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

> *"RESOLVED, that the Board of Regents of Texas Tech University approves appointment with tenure effective January 15, 1998 for Dr. Daniel E. Cooke, Chairperson of the Department of Computer Science, College of Engineering, and Professor."*

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M10 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

> *"RESOLVED, that the Board of Regents of Texas Tech University approves the change in academic rank, from Assistant Professor to Associate Professor, and the granting of academic tenure for Dr. Eleanor Von Ende, in the College of Arts & Sciences, effective November 13, 1998."*

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M11 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

> *"RESOLVED, that the Board of Regents of Texas Tech University adopt the proposed modifications of the transfer admission requirements attached hereto as Attachment No. M1."*

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M12 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

> *"RESOLVED, that the Board of Regents of Texas Tech University approves the degree program for a Master of Science in Software Engineering degree, College of Engineering and authorizes the Office of the Chancellor to cause a proposal to be submitted to the Texas Higher Education Coordinating Board seeking its approval for such a program."*

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M13 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

> *"RESOLVED, that the Board of Regents of Texas Tech University authorizes the conferral of degrees upon all candidates who have completed requirements for degrees since the last official commencement and who are certified by the faculties, deans and registrar of Texas Tech University as*

having met all degree requirements of the degree as indicated by the official, printed commencement program of December 19, 1998, attached hereto as Attachment No. M2."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M14 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University ratifies a leave of absence without pay for Amie Mitchel Beckett, assistant professor of Curriculum and Instruction, College of Education, for the period September 1, 1998, through May 31, 1999. The purpose of this leave is to conduct research, in conjunction with the U.S. Department of Education, on assessment of limited English proficient students in a variety of instructional settings. This leave will be taken in Washington, D.C.

"RESOLVED, that the Board of Regents of Texas Tech University ratifies a leave of absence without pay for Shan Sun, assistant professor, College of Arts & Sciences, for the period September 1, 1998, through May 31, 1999. The purpose of this leave is to conduct research on clinical trials with the Food and Drug Administration. This leave will be taken in Washington, D.C.

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Institute for the Gifted to change its name to the Institute for Development and Enrichment of Advanced Learners."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H15/M15 Regent Noe brought to the attention of the Board the information items that had been reviewed by the committee and asked for questions relating to such items. There were none. The information items relating to the Academic, Clinical and Student Affairs Committee are included as Attachment H1/M1.

H16/M16 Chairman Whitacre called on Regent White, Chair, to give the report of the Finance and Administration Committee.

TTUHSC Action Items

H17 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to execute an agreement with Southwestern Bell for the design and deployment of a new technology network infrastructure for the Texas Tech University Health Sciences Center."

Chairman Whitacre recused himself from consideration of this item. Opportunity for discussion by the Board followed the presentation. The motion passed by a vote of 7 Ayes and 0 Nays, with Chairman Whitacre recording his abstention.

H18 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

> *"RESOLVED, that the Board of Regents of Texas Tech University approves the proposed student fees of $150 application fee; $150 per semester credit hour program fee, and a one-time credentialing fee of $500, associated with the Nontraditional Doctor of Pharmacy program delivered by the School of Pharmacy."*

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H19 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

> *"RESOLVED, that the good will of the medical practice donated by Todd H. Overton, M.D., of Amarillo, Texas to Texas Tech University Health Sciences Center for the School of Medicine in Amarillo be accepted by the Texas Tech University Board of Regents effective the date of Dr. Overton's employment."*

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H20 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

> *"RESOLVED, that the Board of Regents of Texas Tech University approves or ratifies, as appropriate, the budget adjustments attached hereto as Attachment No. H2."*

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H21 Regent White brought to the attention of the Board two items of interest that had been reviewed by the committee regarding the sports medicine program and the teaching nursing home. An update on the successful negotiations leading up to the linkage of the sports medicine program at TTUHSC to TTU was presented by Vice Chancellor Pat Campbell at the committee. He noted that Dr. Robert R. King will be employed .2 FTE by the TTU intercollegiate athletics department instead of the Health Sciences Center as originally proposed. Vice President Elmo Cavin presented a report concerning the teaching nursing home, noting that the home was the subject of an action item being considered by the Academic, Clinical and Student Affairs Committee.

TTU Action Items

M17 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University (i) affirms the authority and hereby authorizes the Chancellor or the President of Texas Tech University to execute all necessary documents with the United States Air Force Base Conversion Agency, and the United States Department of Education, and perform any and all acts necessary to enter into public benefit transfers of surplus federal real and personal property for educational purposes which include but are not limited to buildings at the Reese Center to house the Institute of Environmental and Human Health and the Center for Value Added, Further Processing of Meat Products, and (ii) adopts the prescribed resolution attached hereto as Attachment No. M3."

Discussion by the Board followed the presentation. The motion passed unanimously.

M18 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University concurs in the recommendation of John W. Winslow that the funds in the John William Winslow Endowment Fund, and with the request of James C. Niver and Marquerite J. Niver that the funds in the James C. Niver and Marquerite J. Niver Chair in the College of Business Administration be managed and invested by the students enrolled in the Student Managed Investment Fund course."

Discussion by the Board followed the presentation. The motion passed unanimously.

M19 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to establish the Gelin Estate Quasi Endowment funded from the Gelin estate, with $50,000 of the gift to be used to establish a working capital loan fund."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M20 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that, the Board of Regents of Texas Tech University approves benchmarks for the Athletic program as set out in the attachment attached hereto as Attachment No. M4."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M21 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to accept or decline the gift of the

Mallet Ranch Headquarters house and buildings and the section on which they are situated, more particularly described as Section 3, Block X, Public School Lands, Hockley and Terry Counties, Texas (Abstract 309, 716.3 acres in Hockley County and Abstract 604, 43.34 acres in Terry County for a total of 759.87 acres), donated through the Estate of Helen DeVitt Jones to the Ranching Heritage Center."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M22 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University approves acceptance of the gift of software licenses donated by Microsoft Corporation of Redmond, Washington to Texas Tech University for the College of Business Administration.

"RESOLVED, that the Board of Regents of Texas Tech University approves acceptance of a gift of computer software donated by ARGUS Financial Software of Houston, Texas to Texas Tech University for the College of Business Administration."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M23 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas University approves or ratifies, as appropriate, the budget and salary adjustments attached hereto as Attachment No. M5."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H22/M25 Regent White brought to the attention of the Board the information items that had been reviewed by the committee and asked for questions relating to such items. There were none. The items relating to the Finance and Administration Committee are included as Attachment H2/M2.

M24 Regent White brought to the attention of the Board items of interest that had been reviewed by the committee regarding the four-year capital projects plan and the supercomputer project. An update on the financial implications of the four-year capital projects plan was presented by Vice Chancellor Opperman. Dr Schmidly presented a report on the supercomputer project.

H23/M26 Chairman Whitacre called on Regent Sowell, Chair, to give the report of the Facilities Committee.

TTUHSC Action Items

H24 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

> *"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to select an architect for the project; to establish a planning budget; and to develop a schematic design for the new Student/Employee Health Center on the Texas Tech University campus.*
>
> *"RESOLVED, the planning budget for the design of the new Student/Employee Health Center is $50,000."*

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H25 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

> *"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to select an architect for the project; to establish a planning budget; and to develop a schematic design for the renovation of Texas Tech Medical Center at Odessa.*
>
> *"RESOLVED, that the planning budget for the development of a schematic design for the renovation of Texas Tech Medical Center at Odessa is $50,000."*

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H26 An item of interest was presented by Vice President Glen Provost concerning the teaching nursing home. This item was an action item for the Academic, Clinical and Student Affairs Committee.

TTU Action Items

M27 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

> *"RESOLVED, that the Board of Regents of Texas Tech University approves the increase in the budget of The Helen DeVitt Jones Museum Auditorium addition to the Texas Tech University Museum and to proceed with the budget increase documents for submittal to the Texas Higher Education Coordinating Board for review and approval.*
>
> *"RESOLVED, that the project budget is established at $6,900,000.*
>
> *"RESOLVED, that Texas Tech University expects to pay expenditures in connection with the design and planning of The Helen DeVitt Jones Museum Auditorium addition to the Texas Tech University Museum prior to the issuance of obligations to finance the project.*

"RESOLVED, that Texas Tech University finds, considers and declares that the reimbursement of Texas Tech University for the payments of such expenditures will be appropriate and consistent with the lawful objectives of Texas Tech University and, as such, chooses to declare its intention, in accordance with the provisions of Treasury Regulations, Section 1.150-2, *to reimburse itself for an aggregrate maximum principal amount expected to be $6.9 million to finance the planning and construction of The Helen DeVitt Jones Auditorium addition to the Texas Tech University Museum."*

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M28 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to proceed with the project; to establish a project budget; to proceed with multiple contract documents, with the receipt of multiple bids, and with the awarding of multiple contracts for furniture and moveable equipment for the United Spirit Arena.

"RESOLVED, that the project budget for furniture and moveable equipment for the United Spirit Arena is established at $2,700,000."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M29 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to select an architect for the project; to establish a planning budget; and to develop a schematic design for the renovation and expansion of the University Center.

"RESOLVED, that the planning budget to develop a schematic design for the renovation of the renovation and expansion of the University Center is $50,000.

"RESOLVED, that Texas Tech University expects to pay expenditures in connection with the development of a schematic design for the renovation and expansion of the University Center prior to the issuance of obligations to finance the project.

"RESOLVED, that Texas Tech University finds, considers and declares that the reimbursement of Texas Tech University for the payments of such expenditures will be appropriate and consistent with the lawful objectives of Texas Tech University, and, as such, chooses to declare its intention, in accordance with Treasury Regulations, Section 1.150-2 *to reimburse itself for an aggregrate maximum principal amount expected*

to be $50,000 in connection with the development of a schematic design for the renovation and expansion of the University Center."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

M30 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to select an architect for the project; approve the conceptual design; establish the budget; proceed with contract documents, with the receipt of bids, and with the awarding of a construction contract for the Broadway entrance gatehouses and fence.

"RESOLVED, that the project budget for Broadway entrance gatehouses and fence is $450,000."

Opportunity for discussion by the Board followed the presentation. The motion passed unanimously.

H27/M31 Regent Sowell brought to the attention of the Board items of interest that were reviewed by the committee. An update on the financial implications of the four-year capital projects plan was presented by Deputy Chancellor Jim Crowson. Vice Chancellor Doug Mann reported that two proposals have been received on the hotel/conference center. Interviews with both proposers will be conducted in November to determine the feasibility of proceeding with the project. Vice Chancellor Mann also reported that a request for qualifications is being finalized for the golf course and will be sent out before the end of the year.

H28/M32 At the conclusion of the consideration of standing committee reports, Chairman Whitacre called for presentation of the remaining agenda items.

H29/M33 Chairman Whitacre called on Regent Brown who, speaking from the materials attached hereto as Attachment No. CW5, presented the Investment Advisory Committee report.

H30/M34 Chairman Whitacre called on Vice President for Enrollment Management, Dr. Michael Heintze who, speaking from the materials attached hereto as Attachment No. CW6, reported on enrollment management activities.

H31/M35 Chairman Whitacre called on Dr. David Schmidly who, speaking from the materials attached hereto as Attachment No. CW7, reported on top tier research university status.

H32/M36 Chairman Whitacre, at the request of the Finance Committee, called on Jim Brunjes, Vice President for Fiscal Affairs, TTU; Frances Grogan, Director of Internal Audit; and Mike Phillips, Assistant Vice President of Telecom and Computer Services, TTUHSC; who presented a report attached hereto as Attachment No. H3/M3 regarding the universities' plans to address "Year 2000" issues. Discussion followed the report. Regent Noe noted that Texas Tech appears to be bulletproof until the year 10,000. However, he insisted that planning begin immediately for overcoming the problems that undoubtedly will be associated with that year.

H33/M37 Chairman Whitacre announced that as required by *Board Policy 01.01(4) and (5),* the Board will elect a chair and vice chair to become effective January 1, 1999. Chairman

Whitacre invited nominations for Chair of the Board of Regents. Regent Carl Noe nominated Regent Jim Sowell for Chair of the Board of Regents. The nomination was seconded by Regent Nancy Jones, and Regent Sowell was elected. Chairman Whitacre inivted nominations for Vice Chair of the Board of Regents. Regent Nancy Jones nominated Regent Robert Brown for Vice Chair of the Board of Regents. The nomination was seconded by Regent White, and Regent Brown was elected.

H34/M38 Chairman Whitacre called on Deputy Chancellor Crowson who reported on the proposed schedule for future Board meetings: February 11-12, 1999, probably Dallas; May 13-14, 1999, Lubbock; August 12-13, 1999, Lubbock; September 30-October 1, 1999, Lubbock; December 9-10, 1999, Odessa or Midland; February 10-11, 2000, probably Houston; May 11-12, 2000, Lubbock; August 10-11, 2000, Lubbock; October ___ or November __, 2000, Lubbock; December 14-15, 2000, probably El Paso. Mr. Crowson also reported on the consensus of the Board reached at its retreat that it would begin to have two-day meetings with the committee meetings being held sequentially rather than simultaneously. Opportunity for discussion by the Board followed the presentation. Without objection, the meeting schedule was approved.

H35/M39 Chairman Whitacre called on Chancellor Montford who gave the Chancellor's Report concerning efforts in Austin and Washington, the capital campaign and research.

H36/M40 Members of the Board of Regents expressed appreciation to Mr. Whitacre for his four years as Chair of the Board of Regents.

H37/M41 Chairman Whitacre adjourned the meeting at 11:50 a.m.

Attachments

H1/M1	Academic, Clinical and Student Affairs Committee Information Items; Item H15/M15
H2/M2	Finance and Administration Committee Information Items; Item H22/M25
H3/M3	Year 2000 Issues; Item H32/M36
CW1	Texas Tech University Board of Regents Policy Manual; Item CW14
CW2	Resolutions Establishing a Four-Year Capital Projects Plan for Texas Tech University and Texas Tech University Health Sciences Center, Item CW17
CW3	Resolution Honoring the Centennial of Southwest Texas State University, Item CW20
CW4	1999-2000 Traffic and Parking Regulations, Item CW21
CW5	Report of the Investment Advisory Committee, Item H29/M33
CW6	Heintze Report, Item H30/M34
CW7	Schmidly Report, Item H31/M35
H1	Commencement Program, Item H14
H2	Budget Adjustments, Item H20
M1	Modifications to the Transfer Admission Requirements, Item M11
M2	Commencement Program, Item M13
M3	Resolution; Item M17
M4	Benchmarks for the Athletic Program, Item M20
M5	Budget and Salary Adjustments, Item M23

I, James L. Crowson, the duly appointed and qualified Assistant Secretary of the Board of Regents, hereby certify that the above and foregoing is a true and correct copy of the Minutes of Texas Tech University Board of Regents meeting on November 13, 1998.

James L. Crowson
Assistant Secretary

SEAL

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

Academic, Clinical and Student Affairs Committee

FOR BOARD INFORMATION

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

Affiliation Agreements, June 23, 1998 – September 20, 1998.

TEXAS TECH UNIVERSITY

Small Class Report, Fall 1998.

[The above referenced information items are on file in the Board of Regent's office.]

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

Finance and Administration Committee

FOR BOARD INFORMATION

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

1. Budget Adjustments for Research Contracts, Grants and Sponsored Projects, 7/1/98 – 9/30/98.
2. Report of Award of Contracts to Minority-owned and Women-owned Business for the Cost of Issuance of Bonds and the Items to be Financed by Such Bonds.
3. Summary of Revenues by Budget Category, Fiscal Year 1998, August 31, 1998.
4. Summary of Expenditures by Budget Category, Fiscal Year 1998, August 31, 1998.
5. Report of Official Travel, Cumulative by Fiscal Quarter, Fiscal Year 1998.

TEXAS TECH UNIVERSITY

1. Compliance with the Relationship Policy.
2. Budget Adjustments of $100,000 or more for Supplemental Awards or Renewal of Research and other Sponsored Projects, July 1, 1998 – August 31, 1998.
3. Report of Award of Contracts to Minority-owned and Women-owned Business for the Cost of Issuance of Bonds and the Items to be Financed by Such Bonds.
4. Report of Official Travel, Cumulative by Fiscal Quarter, Fiscal Year 1998.

[The above referenced information items are on file in the Board of Regent's office.]

Texas Guidebook 2000

About Time: Managing the Y2K Problem in Local Government

Commissioned by
The Office of the Governor

Austin, Texas
August 1998

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Printed on recycled paper.

Additional copies of this publication may be acquired from www.dir.state.tx.us/y2k/resources/guide2000.htm

Guidebook 2000

Counties, Cities, and other Local Government Entities of Texas:

We have prepared *Guidebook 2000, About Time: Managing the Y2K Problem in Local Government,* in hopes that it will help the cities, counties, and other political subdivisions in the State of Texas to address the challenges of the Year 2000 (Y2K) problem. Although we are not experts in the intricacies and problems facing your local communities, we are hopeful that by sharing our experience in dealing with the Year 2000 problem, we can be of some assistance to you.

This guidebook is not a comprehensive encyclopedia of solutions to every aspect of this unusual problem. Our intent is to provide a reference point and resource for getting started in solving the Year 2000 problem. We hope that you find the guidebook thought provoking and insightful as you seek to determine the scope and impact of Y2K within your own organization.

We want to thank Governor George W. Bush for commissioning this effort and encouraging us to find ways to share our experiences with you. We are hopeful that through this exchange of ideas and information, we will all find better ways to serve the citizens of Texas.

As you know, we will be visiting cities throughout Texas as part of our efforts to increase awareness of the Year 2000 problem and, in turn, to promote solutions. If we can be of further assistance to you, please don't hesitate to contact any of us over the coming months.

Carolyn Purcell
Department of
Information Resources

Tom Treadway
General Services
Commission

Jim Ray
Texas Association of
Regional Councils

Sam D. Seale
Texas Association of
Counties

Frank J. Sturzl
Texas Municipal
League

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Section One : Will the Year 2000 Bug Bite?

Yes! In unpredictable places, and with potentially serious effects. For instance, it could interrupt electrical power to schools, hospitals, and other public buildings; render emergency vehicles inoperable; make traffic lights go haywire; wreck calculations in payroll or billing systems; and even sabotage electronically controlled heating and air conditioning systems. Yes, the bug's bite can be painful. If you've considered the Year 2000 Problem – commonly called Y2K – as "only" a computer problem, you need to know the facts about one of the biggest hazards facing government today.

If you've considered the Year 2000 Problem as "only" a computer problem, you need to know the facts about one of the biggest hazards facing government today.

Y2K could disrupt many aspects of our society, around the world, across the nation, and in your own office. Y2K ignores lines on maps, and it has no respect for size; without remedial action, small businesses, major corporations, and governments at all levels are equally at risk. To call Y2K a technology issue ignores its capacity for disruption. It is, in fact, a communications problem, a health care problem, a utilities problem, a logistical problem, a national and international business problem, and a governmental problem. It's your problem, and ours.

Stephen Levy, in a May 8, 1998 *Newsweek* article, wryly noted that "most people refuse to believe that a dorky little software bug can wreak significant worldwide havoc." But he added an ominous warning: "We may have a trainwreck (sic) in the making."

Yes, Y2K can bite. And if you don't take action-and soon-it could bite you, and the taxpayers you serve.

A Closer Look at the Y2K Bug

On the surface, the Year 2000 problem or "bug" appears deceptively simple. Its roots go back several decades, to the infancy of computer technology.

To conserve limited computer memory, early system designers recorded and processed dates such as March 31, 1960 as 03/31/60, omitting the first two digits of each year. Computers processed each date by assuming it occurred in the twentieth century (19xx), with no accommodation for processing in the next century. Programmers weren't concerned by the practice, assuming that their hardware and software would be modified or replaced long before the new century. However, until very recently, the two-digit year convention continued as standard practice.

Consequently, at midnight on January 1, 2000, many computer systems could assume it is January 1, 1900, if the Y2K problem has not been corrected. This would result in miscalculations, malfunctions, and even shutdowns across America and the world. Compounding the date-change problem is the fact that the year 2000 is a leap year, while 1900 was not. For this reason, many computers will not accurately determine dates past February 28, 2000 or make calculations based on

that information. Moreover, certain systems involving time projections (such as those involved in actuarial tables or mortgage calculations, for example) may begin to experience malfunctions well before January 1, 2000, as they attempt to compute post-millennium dates.

These disruptions will affect both **information technology** and **embedded systems.**

Information technology (IT) systems include computer hardware and software, from the mainframe computers that support large government agencies to the personal computer (PC) on your desk. Common examples of IT systems include your organization's payroll system, accounting and receivable systems, inventory systems, and local or wide area networks.

Embedded systems are microprocessors (computer chips) found in a vast array of devices, such as biomedical equipment used at health care facilities, electrical monitoring and distribution devices used by utility companies, communication systems, building security and fire systems, elevators, traffic control and street light systems, automated heating and cooling systems, and even basic office equipment.

Why Should You Care about Y2K?

Embedded systems are the primary reason why Y2K is not "merely" a computer problem. In the last twenty years, these devices have become essential to our society; millions of us rely on embedded systems every day, often without recognizing that a computer is involved. Computers or computer chips are at work when we ride an elevator, mail a letter, call 911 with an emergency, use an ATM card, pump gas, or turn on a microwave oven. Embedded systems support electrical power stations, telecommunications systems, wastewater treatment plants, and hospital equipment. The failure of these "invisible computers" could have a range of effects, from minor annoyances to *disaster.*

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Computerized traffic light systems, for instance, could assume it is the weekend instead of a weekday, creating severe traffic problems in populous areas. Hospitals could find themselves without electric lights at critical moments. Important criminal, financial, and governmental records could be deleted when records with dates that do not match computerized date calculations are automatically purged. Thousands of electrical and mechanical devices that are necessary to normal day-to-day business are controlled by embedded microprocessors and *all of these systems are at risk.*

Take Action Now

No one knows precisely what will happen as December 31, 1999 approaches. What is clear, however, is that the risk associated with inaction is unacceptable. Unless timely corrective action is taken, the safety, productivity, health and general welfare of the citizens you serve may be placed in jeopardy. Your organization cannot afford to delay its response.

The good news, however, is that you can take action to avoid or mitigate the effects of Y2K. *Texas Guidebook 2000* provides practical, effective solutions you can apply *right now* to begin to protect your organization and the citizens who depend on it. Well-planned, prompt, and prudent action of the kind recommended here is

your most effective insurance against the impending crisis.

Texas Guidebook 2000 is intended to provide you with an overview of the issue, help you identify potential Y2K problems, and outline steps you can take to evaluate, manage, and avoid potential risks. Individual sections examine how different sectors, such as utilities, health care, and public safety, are threatened by Y2K. *Texas Guidebook 2000* also features a self-assessment questionnaire you can use to determine if you have a Y2K problem. When completed, it should provide an overview of the challenge you face. Once you have a better understanding of the issues involved, the guidebook supplies information to help you identify and test your own potential problems and resolve them.

The good news is that you *can* take action to avoid or mitigate the effects of Y2K.

We recognize that *Texas Guidebook 2000* does not and cannot provide a completely comprehensive analysis of every area that should be reviewed for Y2K problems in Texas' local governments. Nonetheless, we hope you will find this guidebook useful as you begin planning for your own Y2K project. The State of Texas is actively working to minimize disruptions to the services under its jurisdiction, and is ready to help you meet your own challenges. Your organization also must take an active approach and share in the responsibility for ensuring that your community continues to receive vital services in the Year 2000 and beyond.

SECTION TWO : Y2K AND YOUR ORGANIZATION

lost local officials re aware of the Year 000 problem, and the ustrations and ncertainty that ccompany it.

State agencies and institutions, just like all Texas citizens, depend on essential services provided by our cities, counties, and private companies – basics like electricity and natural gas, water and wastewater treatment, telecommunications, and emergency services.

Most local officials are aware of the Year 2000 problem and the frustrations and uncertainty that accompany it. Y2K can seem overwhelming; it's all too tempting to dismiss it as "just a computer problem" and leave it to your vendors to fix. You may even feel that it's too late to address the problem. But there are ways to mount an effective response even if you haven't yet begun. Many organizations like yours have succeeded in establishing Year 2000 projects quickly, and we have learned from their experiences.

We want to help you make sure that you can, too, by sharing information and resources we've compiled at the state's Year 2000 Project Office, established in 1997 within the Texas Department of Information Resources.

Regulatory Agencies and Regulated Industries

Many state agencies have authority that gives them at least some ability to help the private industries they regulate address the Year 2000 problem. But there are limits to this authority, and in practice the private sector and *every level* of government will have parts to play in correcting the problem.

For example, the Texas Department of Insurance (TDI) has been one of the most forward-thinking state agencies in tackling the Y2K problem. TDI is closely monitoring Year 2000 efforts made by the insurance industry, making recommendations and attempting to ensure that they are implemented. But TDI cannot force insurance companies to attain Year 2000 compliance, and despite effective planning, the agency recognizes that unforeseen failures may occur.

Similarly, the Public Utilities Commission (PUC) is working with large private utility companies throughout Texas to solve the Year 2000 problem. Because the agency only regulates private utilities, however, its efforts cannot provide any protection for almost 3 million Texans who obtain their electricity from municipally-owned utilities and cooperatives.

Of the 10,000 Texas oil and gas operators regulated by the Railroad Commission of Texas (RRC), about 100 are large organizations that are devoting time and resources to Year 2000 preparations. The remaining 9,900 are small firms, largely in rural areas, that may not be able to adequately prepare for Y2K. Gas pipelines, whose flow is controlled by computer processors, are at high risk for interruption and shutdowns. Since RRC does not have specific Year 2000 regulatory authority, it cannot require industries to evaluate or correct potential Y2K problems. In the rail industry, moreover, computer processes and applications manage transportation

schedules and train switching. Inoperable switches would disrupt rail service and could delay the delivery of essential goods and services to your community. Railroads, in fact, provide an excellent example of the complex interdependencies between industries that may be disrupted by Y2K. Coal delivered by rail fuels many electric power plants, and even if the electric utilities have thoroughly prepared for the Year 2000 challenge, their generating plants could shut down if they cannot obtain fuel.

The lesson here is that the state's regulatory authority cannot ensure that all organizations providing essential services do so through the Year 2000. This means we've all got to do our part to continue to keep critical services available to Texans.

The state's regulatory authority cannot ensure that all organizations providing essential services do so through the Year 2000. This means we've all got to do our part to continue to keep critical services available to Texans.

Health Services

Some of the most vulnerable citizens in your community can be affected by the Year 2000 problem. These are the elderly, the sick, persons with disabilities, and all other Texans who rely on local medical services for their survival. Some health care facilities are operated by local government, some by the state, and some by private firms. But *all* of them depend on power, water, and telecommunications.

The Texas Department of Mental Health and Mental Retardation (TDMHMR) provides residential treatment, rehabilitation, and support services for 8,000 Texans at state schools, hospitals, and group homes. Some TDMHMR centers in isolated areas are self-sufficient to a degree, with their own water and wastewater treatment services. Others are completely dependent on local services. Many residents of these facilities are immobilized and require 24-hour care. All would be affected by even a brief interruption of basic services. TDMHMR has identified 95,000 pieces of equipment in their state hospitals and state schools that could be affected by the Y2K problem. This number includes biomedical equipment, kitchen and office equipment, heating and cooling systems, and security equipment and vehicles, and does not include computers.

Other services critical to public health are poison control call centers and 911 emergency services that use the state's telecommunication network. The General Services Commission (GSC) is the primary provider of telecommunications services for state agencies, universities, and some local governments. GSC is working with its major vendors to verify that the state network can operate through the Year 2000. However, the network also depends on small, local telephone companies that are not under GSC's control. Even if the largest companies are ready for the Year 2000, telephone outages may still occur due to the complexity of the system and its dependence on a network of small local companies. Local governments may want to follow GSC's lead and contact their telecommunications providers to discuss the Year 2000 issue.

Public Safety

In addition to the general reliance on public utilities and telephone systems, most law enforcement organizations use special equipment that can be affected by the millennium bug. This can include such basic items as police cars, radar guns, radios, and jail security systems. The Texas Department of Public Safety (DPS), aware of the critical nature of these items, has inventoried its equipment that relies on embedded computer chips. The inventory consists of 20,000 items, including telephone systems, laboratory equipment, vehicles, and radar units. DPS plans to

send letters to its vendors requesting Y2K compliance information and is researching testing requirements for this equipment.

Some automobile manufacturers have certified DPS vehicles and patrol cars as Year 2000-compliant, but the department is rechecking compliance status every 90 days for new information or updates. Embedded computers in these vehicles could affect trip odometers, mileage, fuel supply, and fuel mixture adjustments. The diagnostic equipment used to maintain vehicles also may be affected.

Note also that law enforcement organizations throughout the state rely on DPS crime laboratory equipment, such as that used to identify DNA in crime scene evidence. This equipment, too, relies on "invisible" computers, and must be evaluated for Year 2000 readiness.

Utilities

Electric power clearly is one of the most important services on which Texans rely. One of the state's largest electric utilities has identified 5,000 devices with embedded computer processors in its generating facilities. Many utility plants are operated with Supervisory Control and Data Acquisition (SCADA) systems that use computers and sensing devices to regulate the flow of electricity. Water pumping/distribution facilities and wastewater treatment facilities also use similar equipment containing embedded control systems. This potential problem can be particularly troublesome for some of the smaller communities who do not have technical staff available to research and resolve the issue. To resolve the Year 2000 problem, testing the computers in these systems will not be enough – the sensing devices themselves also could fail because of their reliance on embedded processors. If your city or county uses such systems, planning for testing and repair or replacement should begin immediately.

The Year 2000 Project Office interviewed staff members of the City of Austin's municipally-owned utility, and found the staff hard at work addressing the problem. Full awareness of the scope of the problem has reached the highest levels of city management, and the city is making a strong commitment to solving the Year 2000 problem. All city departments must verify that they are making progress in addressing the Y2K problem before funding is approved for new projects. In addition, Year 2000 readiness is one of the criteria used to evaluate city employees from the top of the organization down.

Risk Management and Litigation

Four major factors should be considered in analyzing Year 2000 risks:

our basic criteria an be used to valuate risk factors ssociated with the ear 2000 problem nd prioritize ctivities to correct ie problem.

- What critical services does your organization provide that depend on **basic utilities** – power, water, and telecommunications?
- What critical services does your organization provide that could be affected by the failure of computer systems or equipment containing embedded computer processors?
- What would be the consequences to citizens if these services were disrupted or were unavailable for an extended period of time?
- What are the financial implications of such failure, especially in the event of litigation?

These four basic criteria can be used to evaluate risk factors associated with the Year 2000 problem and prioritize activities to correct the problem.

The U.S. General Accounting Office recently issued a gloomy forecast for the Year 2000; only 25 percent of state and local governments will be ready. Will counties and municipalities be held liable if public health and safety are affected due to an inadequate response to the millennium bug? According to Diana Granger, a former city attorney for Austin who now works for Akin, Gump, Strauss, Hauer & Feld, "municipalities should expect claims and lawsuits arising under the Tort Claims Act and numerous statutory causes of action."

The U.S. General Accounting Office recently issued a gloomy forecast for the Year 2000; only 25 percent of state and local governments will be ready.

Granger notes that, under the Texas Tort Claims Act, a municipality is liable for damages arising from disruption of its governmental functions, including police and fire protection and control; health and sanitation services; garbage and solid waste collection and disposal; hospitals; community, neighborhood, or senior citizen centers; emergency ambulance service; traffic regulation, including traffic signals; vehicle and motor driven equipment maintenance; and water and sewer service, among other items. Liability is limited to $500,000 for each bodily injury or death and $100,000 for each single injury to or destruction of property (with a limit of $250,000 for each person). In a large city in which every citizen could be affected, such liability limits provide scant comfort.

You should also know that local governments that have obtained Director and Officer (D&O) liability coverage may not be protected from Y2K-related damages. Government employees and elected officials could end up being both plaintiffs and defendants if a Year 2000 failure goes to litigation. If you have questions about D&O coverage, check with your legal staff or the company issuing the policy.

Are you worried yet? *We are.*

So what can you do to protect your organization? First you should fix your Y2K problems to the best of your abilities, then you should expect failures and develop sound contingency plans for coping with them.

First you should fix your Y2K problems to the best of your abilities. Then you should expect failures and develop sound contingency plans for coping with them.

Contingency Planning: What the State is Doing

The Year 2000 Project Office recently developed guidelines for state agencies and universities to use in developing business contingency plans – that is, operational plans and alternatives for use in the event that critical components fail when the Year 2000 transition occurs. Because crisis planning can be a difficult and expensive process, the Year 2000 Project Office is taking a more pragmatic approach for some agencies and universities. Only critical state processes that rely on systems and equipment that cannot be verified as Year 2000-compliant by the end of 1998 will be required to have contingency plans.

Examples of the contingency planning efforts underway in some state agencies include:

> The Texas Department of Mental Health and Mental Retardation (TDMHMR) has prepared and successfully executed contingency plans to meet more conventional disasters, such as Hurricane Carla, which forced the closing of its Corpus Christi facility. All of its patients were evacuated to other state facilities through a cooperative effort with local government and the U.S. Air Force. Unfortunately, the Year 2000 bug is a different sort of

threat – one that could affect facilities throughout the state. To face the Y2K problem, TDMHMR plans to rely on cooperative efforts with local hospitals, skilled nursing facilities, and the like. Furthermore, the agency is encouraging local providers to be aware of the potential emotional impact that Y2K disruptions could pose for some citizens.

The Department of Public Safety (DPS) is preparing contracts to provide gasoline for patrol cars at distribution centers throughout the state. If its telephone systems are damaged, it is prepared to use police radios to coordinate its efforts to maintain a safe environment for its troopers and Texas citizens.

The Public Utilities Commission (PUC) is requiring contingency plans from the regulated electric and telephone entities. And the Electric Reliability Council of Texas is also preparing contingency plans to protect against the domino effect that can occur within a power grid when one component fails.

Contingency Planning: What You Can Do

In view of the short amount of time remaining to address the Y2K problem, we recommend that you decide on the level of planning that best fits your needs and risks. Contingency plans should be developed for areas that have a high probability of failure or could have a serious effect on the public; the City of Austin, for instance, required its departments to submit Year 2000 contingency plans in July of 1998.

Obviously, the most critical risks call for the greatest degree of vigilance. All local government contingency plans should address crisis management. Many local entities already have disaster/emergency plans. However, the Year 2000 bug may create conditions that extend beyond the scope of current plans, since outages and emergencies may occur throughout the state. Depending on the nature of the system failures, service outages could be lengthy. For this reason, emergency management plans should focus not only on the physical needs of our communities but also on the human factors that come into play during an extended crisis. The need for community preparation through public information is clear.

Operators of transmission facilities (power, water, gas/oil, and chemical) should be contacted to determine their Y2K status. Private companies that operate business complexes, housing, or manufacturing facilities also should be contacted; their failure to address Y2K problems could create an excessive demand for emergency services. If possible, local governments should organize a working group for area businesses to help them address and solve their Year 2000 problems, since a failure at one or more businesses could have an adverse economic impact on the community as a whole.

The Year 2000 bug can be defeated, but doing so will require a careful approach that takes into account every potential aspect of system and equipment failures.

We hope that you share our concerns about the Year 2000 problem. The essential services provided by counties, cities, and other local governments should not be taken for granted; nothing less than the well-being of our citizens is at risk. The Year 2000 bug can be defeated, but doing so will require a careful approach that takes into account every potential aspect of system and equipment failures. This guidebook is designed to help you get started.

SECTION THREE : ASSESSING YOUR Y2K READINESS

After reading about the state's Year 2000 concerns and efforts, you may be wondering:

- How can I determine if I have a Y2K problem?
- How do other entities affect my organization?
- How do we affect other organizations?
- If I do have a problem, what should I do?

Texas Guidebook 2000 can help you answer these questions. Obviously, factors unique to each organization, such as budget, staffing, facilities, computing environment, and interactions with other agencies or suppliers, will dictate the specifics of your Y2K approach. Even so, Y2K experts recommend several important actions for all organizations seeking to avoid Year 2000 disruptions.

A Y2K Self-Assessment

The first important action is to conduct a Y2K self-assessment. How prepared is your organization for the Year 2000? A quick self-assessment can reveal your current level of preparedness and pinpoint specific areas of concern, while laying the groundwork for your response to the problem.

The "decision table" (Table 2) on page 11 contains **eight key questions** for your organization. As you consider them, draw upon the table's **examples** and **impacts** to arrive at your answers. Weigh the importance of these possible impacts – could they affect public safety, physical and emotional health, or revenue? If you answer "yes" to any of these questions, you probably have a Y2K problem. The table will point you to specific areas of the guidebook that can help you address your problems. Focus on these areas first: they will be critical to your organization's ability to weather the Year 2000 event.

After completing this self-assessment, you should have an initial understanding of your Y2K readiness. With this knowledge, you can begin to target priorities, form teams, and address high-risk areas to ensure the smoothest possible transition into the next century.

A "yes" answer to any of the questions means that your organization probably has a Y2K problem and should address it immediately. To do so, Y2K experts recommend that you take three further steps right away:

1) Assign an **individual to coordinate** all Year 2000 activities in your organization;
2) Develop a **project plan** that addresses your risks and minimizes your organization's exposure to Y2K hazards; and
3) Make **contingency plans** to ensure that, if your organization is affected by the Y2K problem, you can continue to provide the critical services your customers expect.

Getting Started – Project Planning Basics

So how should you get started? **Awareness** is one of the first Y2K strategies you should pursue. Create Y2K awareness throughout your organization. Everyone – from building maintenance and secretarial workers to departmental heads, city and county managers and administrators, and elected officials – should be informed about the Y2K issue and its potential effects. Conduct staff briefings to outline the problem, set expectations for your employees, tap their problem-solving skills, and dispel Y2K myths and rumors. Your objective should be to prompt the members of your organization to ask themselves: "How can the Year 2000 bug affect my day-to-day activities, and how can I help?" The input of the front line employees who know your processes best will be an enormous help to you as you begin to identify your vulnerable systems and determine possible Y2K effects.

Appoint a Year 2000 coordinator within your organization and, at the same time, assign responsibility for addressing the problem to each and every department head and manager. Responsibility and "ownership" belongs with everyone, not just the Year 2000 coordinator or the Information Technology manager.

Responsibility and "ownership" belongs with everyone, not just the Year 2000 coordinator or the Information Technology manager.

Planning for Y2K will involve a dizzying amount of detail, and it will be all too easy to become bogged down in the many processes and procedures you'll be examining. To ensure that your Y2K effort remains on track, your organization must retain a clear, high-level view of the entire project to manage competing priorities, ensure the timely completion of projects, and demonstrate your progress to senior managers and regulating agencies. To do so, you should create a checklist to track the identification, testing, and resolution of risks to all affected systems. Areas that should be tracked on your checklist are included in Table 1.

Project Planning Checklist

Areas of Impact	Examples	Actions
Application Software	Utility billing, financial, office products, tax collection, process control, etc.	Analyze, fix, and test mainframe, distributed, and end-user applications.
IT Infrastructure	Mainframes, minicomputers, PC's, Local Area Networks, Telecommunication Systems, etc.	Analyze, upgrade or replace, and test the organization's computer infrastructure, including hardware platforms, operating systems, and networks.
Interface Management	Electronic data interchange, automatic funds transfer, etc.	Analyze, fix, and test electronic interfaces among internal projects and with external organizations.
Document Control	Contracts, compliance letters, vendor responses, test results, etc.	Collect and maintain careful documentation on your project to ensure proper coordination and establish records of your effort that could be vital in case of litigation.
External Contact	Federal and state government, utilities, etc.	Maintain information on the Y2K status of customers, suppliers, and partners.
Embedded Technology Compliance	Hospital equipment, utility control systems, emergency medical equipment, etc	Analyze, fix or replace, and test all non-IT equipment at risk of Y2K failure, including telephone equipment, security systems, and other embedded technology.

Table 1

Decision Table

Question	Examples	Areas of Impact	Critical (Y/N)	If yes, go to
1. Do you provide services that rely on electronic equipment?	911 system EMS Law enforcement dispatch Traffic lights Power Water	Communications systems (PBX, voice mail, switching, answering machines, mobile telephones, satellites) Variable message signs Traffic monitoring devices Power grid systems Power plants/stations Water and sewage systems Water pumps Energy control systems		Section 4 – Embedded Systems
2. Does your organization own or contract for water or power facilities?	Power generation plant Power distribution plant Water and wastewater treatment plant	Switching systems Water and sewage treatment systems Water pumps Energy control systems Power grid systems Power plants/stations CAD systems Robots		Section 4 – Embedded Systems
3. Do you own or lease any buildings?	Courthouse City Hall Police department Fire department Jail Public library Hospital Tax Office	Lighting systems (including backup lighting) Backup generators Heating, air conditioning, ventilating systems Climate monitoring systems Elevators, escalators, lifts Building management systems Refrigeration systems Sprinkler/fountain systems Fire control systems (alarms, sprinkler systems) Fax machines Communications systems (PBX, voice mail, switching, answering machines, mobile telephones, satellites) Mail room equipment (postage meters) VCRs Time clocks Copiers Still and video cameras Automated teller systems Credit card systems		Section 4 – Embedded Systems
4. Do any of your owned or leased buildings have security devices or equipment?	Courthouse City Hall Police department Fire department Jail Public library Hospital	Security systems (burglar alarms) Safes and vaults Door locks Exit alarms Access systems Video surveillance equipment		Section 4 – Embedded Systems

Table 2

Input of the front line employees who know your processes best will be an enormous help to you as you begin to identify your vulnerable systems and determine possible Y2K effects.

Decision Table (cont.)

Weigh the importance of these possible impacts – could they affect public safety, physical and emotional health, or revenue?

Question	Examples	Areas of Impact	Critical (Y/N)	If yes, go to
5. Do you own or contract for medical services?	Hospital Minor emergency clinic	Monitoring devices Automatic medication dispensing equipment X-ray equipment Electrocardiograph Enteral pump Electroencephalograph MRI scanner Defibrillator		Section 4 – Embedded Systems
6. Do you own or lease anything that affects transportation or parking?	Fire trucks Police cars Ambulances Helicopters Airplanes Boats Maintenance vehicles	Vehicle preventative maintenance chips Vehicle diagnostic equipment Gate systems Variable message signs Traffic lights Traffic monitoring devices Air traffic control systems Signaling systems Radar systems Parking systems and other meters Ticketing systems/machine		Section 4 – Embedded Systems
7. Do you own or lease computers?	PC systems Minicomputer systems Mainframe computer systems Local Area Network Telecommunication System	Custom-developed applications (e.g., billing, payroll, revenue collection) Desktop applications (e.g., word processing, Internet access, electronic mail) Operating software (e.g., DOS, Windows) Personal computers Laptop computers Printers Scanners3		Section 5 – IT Systems
8. Do you depend on any outside suppliers, state or federal government, or have other external trading partners?	Communication services Power services Mail delivery Financial services	Telephones Pagers Cellular phones Facsimile transmission Communications satellites Electricity Water and wastewater treatment Delivery services Electronic funds transfers Funds availability Check clearing ATMs		Section 6 – Contingency Planning

Table 2 (cont.)

SECTION FOUR : EMBEDDED SYSTEMS

To remedy the Y2K problems of embedded systems, you must first identify them; assess the effects the Year 2000 may have on them; fix or replace the equipment involved; and test for full Y2K compliance.

If you contract for services that could be affected by the failure of embedded systems, it is the contractor's responsibility to ensure that the problems are identified and corrected. You can and should hold your contractor accountable for Y2K readiness. We have included a sample letter in Appendix A of this guide that you can use to notify contractors of their responsibilities.

One of the most important actions you can take is to **make people accountable.** Assign specific responsibility and "ownership" from the various tasks involved in Year 2000 readiness at the departmental level. Use a Y2K Signoff form such as the one in Appendix C to ensure that all departments are ready for the Year 2000.

Identify Embedded Systems

Identifying embedded systems can be a difficult task, since many of them are "hidden" inside mechanical devices and are not easily recognized.

Identifying embedded systems can be a difficult task, since many of them are "hidden" inside mechanical devices and are not easily recognized.

A **site survey** is the easiest way to gather and record essential information about your organization's embedded systems. Begin by surveying employees in your maintenance and engineering departments, who generally will be the most familiar with equipment and facilities that use embedded systems. At minimum, the survey should gather information about the following:

- The quantity and location of embedded systems
- Their manufacturers or vendors
- Model or serial numbers
- Persons within your organization knowledgeable about the systems

The survey, of course, is simply a data collection tool, but how can you actually *identify* embedded systems? The following guidelines could help you.

First, **become familiar with common examples of embedded systems as** shown in Table 3.

You can also **use a simple series of questions to identify embedded systems.** The June 1998 issue of *The Year/2000 Journal* ("*Embedded Chips – Dispelling Some Myths*," by Dave Bettinger) included questions to answer when trying to identify embedded chips. These are:

- **Does the device operate with electricity?** If yes, look further. If no, the device poses no risk.
- **Does it have a battery or power supply?** If yes, look further. If no, the device is low risk.
- **Does the device use a calendar or timer to schedule events?** If yes, you

may have a Year 2000 problem. If no, it's low risk.

Assess the Impact

After completing your inventory of embedded systems, you should attempt to determine the potential impact of Year 2000-related disruptions of these devices on your organization. Steps in this assessment process should include the following:

- **Send an internal "awareness" letter** to the managers or workers within your organization who are responsible for equipment that may use embedded systems. Ask them to propose alternative courses of action and contingency plans for coping with failures or interruptions. Hold work sessions with these employees to develop consistent strategies for dealing with Y2K.
- **Contact your embedded systems vendors** to determine the Year 2000 readiness of their products. The best approach is to contact them in writing and request written confirmation of their Year 2000 compliance status, their plans for supporting their products if they are not compliant, and the cost of any upgrades or retrofits that may be needed to achieve Y2K compliance. Your letter should specify a deadline for the vendor's response. The sample vendor letter in Appendix A can be tailored as needed to fit your organization's specific requirements. Ask your legal counsel to review and approve this letter before it is sent because laws and guidelines regarding contractual obligations, software licenses, and product warranties vary. You can also consult information on your vendor's Internet website or call the vendor and speak with someone in the manufacturing area.
- **Review any lease agreements** your organization has as well, because your facilities could be affected by the millennium bug. The General Services Commission (GSC) manages 1,400 leases for state office space in 800 cities. GSC has developed a letter to its lessors that provides a checklist of items that should be Y2K-compliant in the buildings and offices they lease. (See Appendix B for this lessor letter.)
- Finally, **prioritize your project activities**. Keep in mind that you may only have time to address your most critical embedded systems. *Triage* is the emergency medical practice of focusing treatment on individuals who have a good chance for survival if they receive medical treatment, rather than those who either can get by without treatment or are beyond it. Year 2000 triage is much the same: focus your remediation efforts on Y2K-affected systems that have the best chance of survival and create contingency plans for the rest.
- A recent article in *Datamation* ("Panic in the Year 2000," by John Kador, Dec. 1997/Jan. 1998) provided a useful acronym for setting Y2K priorities. To prioritize your efforts, the article suggests that you remember the word ANGST:

  A Absolutely must have
  N Need to have
  G Good to have
  S Small-time
  T Throw-away

Common Uses of Embedded Systems

Areas of Impact	Examples
Manufacturing and Process Control	Manufacturing plants Water and sewage treatment plants Power stations Power grid systems Bottling plants Automated factories Test equipment for control systems development, maintenance, and testing Oil refineries and related storage facilities
Construction	Surveying and locational equipment Construction plant
Transportation	Airplanes, trains, automobiles, buses, marine craft Fuel services Air traffic control systems Signaling systems Radar systems Traffic lights Ticketing systems/machines Car parking and other meters
Buildings and Facilities	Electrical supply Backup lighting and generators Fire control systems Heating and ventilating systems Lifts, elevators, escalators Parking garage access Security systems Safes and vaults Door locks
Communications	Telephone exchange Cable systems Telephone switches Satellites and Global Positioning Systems (GPS) Data switching equipment
Office Systems and Mobile Equipment	Telephone systems Faxes Copiers Time recording systems Mobile telephones Still and video cameras
Banking, Finance, and Commerce	Automated teller systems Credit card systems Point of sale systems
Medical, Diagnostic, Monitoring, and Life Support	Heart defibrillators Pacemaker monitors Patient information and monitoring systems Pharmaceutical control and dispensing systems X-ray equipment Electrocardiograph (ECG) and electroencephalograph (EEG) equipment

Source: *California Year 2000 Embedded Systems Program Guide* **Table 3**

Begin by surveying employees in your maintenance and engineering departments, who generally will be the most familiar with equipment and facilities that use embedded systems.

Upgrade or Replace

Remediation strategies for embedded systems differ from those for IT systems in that embedded systems cannot be reprogrammed. Due to their specialized nature, your most practical option generally is to upgrade or replace the equipment. You may choose to upgrade if your vendor can supply a Y2K-compliant version or retrofit for your system. If you do upgrade, check your existing lease, purchase, or maintenance agreements for any legal obligations on the vendor's part. If your vendor cannot supply a suitable Y2K-compliant product, you may be able to replace it with a functionally equivalent compliant system from a different vendor.

Beyond an upgrade or replacement, your options for embedded systems are limited. Sometimes, doing nothing is an appropriate response, but only if the device or system is not essential to your organization. In other cases, you may be able to develop a "work-around" solution that keeps the equipment functioning until a permanent Year 2000 solution can be developed.

Whatever your strategy for your existing systems, it is *extremely* important to include Year 2000 compliance criteria, including leap year considerations, in all new embedded systems contracts and purchase orders, including construction contracts and leases, to make it absolutely clear who bears the risk in the event of failures.

Test Your Systems

Be cautious and backup all systems before testing.

Some embedded systems can be tested to verify vendor claims of Y2K compliance and to establish compliance for systems developed in-house. The object of such tests is to observe system performance subsequent to the Year 2000 through the use of simulated dates. It should be noted that you cannot set or reset the date for many devices with embedded computer processors. In these cases, embedded systems testing can be difficult if not impossible. Be cautious and backup all systems before testing. **Backup and recovery procedures are a must; sometimes the testing process itself can result in system failures.**

Due to their variety and range of function, there are no standard test plans or scripts for embedded systems. The tests performed must be specific to the technology involved. This guidebook cannot provide specific test information for the millions of embedded systems involved in modern technology; such information is available from your vendors or your service/maintenance contractor. Any tests your organization conducts, however, should involve the following general activities:

1. **Start planning test activities as soon as possible.** Develop a comprehensive and well documented test plan and designate responsible individuals for all the systems to be tested. Personnel involved in testing could include your lead engineer, facility manager, technical support contractors, and vendor representatives. Obviously, you also should obtain the assistance of the individuals who work with the systems on a daily basis, such as operation and maintenance employees. Thorough planning will help ensure that your test provides the most realistic and valid scenario of the 1/1/2000 event.
2. **Identify the level of testing your embedded systems need.** Testing may entail significant expense and effort, and the level of testing you employ should depend on the complexity of the system and the level of risk involved. Systems that are complex, cross organizational boundaries, and pose significant risks to

your critical functions call for extensive testing. Testing levels you may choose to employ include:

- **Component testing** – a test of the component alone, such as a remote sensor feeding data into a larger system.
- **System testing** – a test that stays within system boundaries, ensuring that the system handles time correctly, and without incorrect actions.
- **Facility testing** – a test of multiple systems across internal and external system boundaries. This test ensures that multiple systems supplying, relaying, or receiving information involving dates and time are interacting correctly. This level of testing may be difficult to perform and in practice may require division into manageable segments.

3. **Develop individual test plans.** Each system to be tested should have an individual test plan, including test specifications, routines, procedures, and test schedules. As already noted, you should contact vendors or manufacturers for available system test procedures, operator manuals, and other assistance. If you perform on-site testing, make sure your testing personnel are able to operate and service the equipment and can make any necessary field corrections to ensure that your normal operations are not affected.
4. **Conduct the test.** Use testing instructions provided by your vendor or test scripts designed by personnel from your organization who use and understand the embedded system. ***If possible and applicable, make sure you create backups of related software systems before you run your tests.***

Industry predictions indicate that about 5 percent of all embedded processors will fail as the Year 2000 transition occurs. The problem is no one knows which 5 percent will fail.

Contingency Planning

Because of the difficulties involved in setting and resetting the date for many embedded computer processors, you probably won't be able to perform a Year 2000 test on all of your critical items. Even major equipment manufacturers are struggling with the challenge of testing these products. Industry predictions indicate that about 5 percent of all embedded processors will fail as the Year 2000 transition occurs. The problem is no one knows which 5 percent will fail. In view of this uncertainty, the best thing you can do to address the Year 2000 problem for embedded systems is to develop contingency plans so that you can keep your critical functions intact even if vital equipment *does* fail. See Section 6, Contingency Planning, for details.

SECTION FIVE : INFORMATION TECHNOLOGY SYSTEMS

If your self-assessment indicates that you need to focus your Y2K efforts on information technology (IT), the following information can help you get started. Because your IT systems are an integral part of your organization, you must do everything possible to ensure that critical services are not disrupted by an IT failure.

One of the most important actions you can take is to **make people accountable**, both for IT and embedded systems. Assign specific responsibility and "ownership" for the various tasks involved in Year 2000 readiness at the departmental level. Use a Y2K Signoff form such as the one in Appendix C to ensure that all departments are ready for the Year 2000.

Six steps to Y2K remediation:

- **Containment**
- **Inventory**
- **Assessment**
- **Prioritization**
- **Remediation or Replacement**
- **Testing**

An IT system can include many different components, such as software, hardware, and interfaces. To ensure that you identify and assess every system for possible Y2K impacts, you need to know what to look for. Consult Table 4 for a brief look at the different types of IT systems you may have, examples and descriptions of each, and the persons you should look to for help with the identification process.

Steps to Y2K Remediation

Y2K remediation efforts for your IT systems should involve six major steps: containment, inventory, assessment, prioritization, remediation or replacement, and testing. Consider using **contracted maintenance personnel** to assist you throughout this effort if you lack the necessary in-house expertise. You also may choose to use **third-party specialists** in Y2K readiness. You should seek consulting organizations who:

- Are certified by the Information Technology Association of America (ITAA) in the use of their structured methodologies. Ask to see their certification.
- Are experienced in Y2K assessments and remediation projects.
- Have verifiable references for Y2K projects similar to your needs.
- Are recommended by your peers, oversight entities, or government experts.

With the appropriate help on board, you can begin the six step process.

1. **Containment** includes the actions you should take to prevent future Y2K problems with your current purchases and leases. You should start by "containing" any potential Y2K problems in your existing inventory of IT systems. Doing this first will help you avoid additional problems down the road. To effectively contain potential Y2K problems, your organization should:
   - **Involve your legal and purchasing staff** in your Y2K effort. They work with contracts on a regular basis and can help identify existing and potential problems concerning liability and other issues. Have them review your current contracts as well as any proposed contracts you may have on hand.

- For new purchase or lease contracts, **include a Year 2000 warranty clause.** Appendix D includes a sample warranty clause you can use as a starting point; you will need to tailor this to your specific needs. The clause requires the contractor (or vendor) to warrant that *all* hardware and software products delivered will accurately process all date-related data.
- For existing contracts, **use your current service agreement** to prompt the contractor to assist you with Y2K work. Under your current agreement you are already paying for a level of support – *add Y2K to this support.* Use a contract amendment to obtain any additional service you need, or determine the contract termination date and ensure that your next contract has a Year 2000 warranty clause.

2. Examining your IT contracts will help you begin identifying your IT systems. A **complete inventory** of IT systems is *crucial* to the success of your Year 2000 efforts – *every* system must be evaluated for possible Y2K risks. You should complete this inventory as soon as possible to fully define the scope of your effort. Address the following steps:
   - **Think of your business functions.** It may be helpful to begin by developing a list of your business functions (Payroll, Human Resources, Tax Collection, etc.) before you catalogue your IT systems.
   - **Refer to the IT Components Table (Table 4)** on page 24. After you have identified all your business functions, use the table's IT examples to build your inventory. Make sure you have considered all types (custom-developed software, vendor software, etc.).
   - **Gather the appropriate information** for the particular system type. Use the forms in Appendix E to understand the information you need to collect for each IT system type. You can duplicate the forms and distribute them to each department within your organization.
   - **Record and store the information** as you collect it. After completing the forms from the previous step, assemble the information either in a spreadsheet or a database. This information will prove fundamental to your assessment and testing efforts. Moreover, should you use a third-party vendor for your remediation effort, an electronic version of your data will help them get started faster.
3. Now that you have identified your systems, you must conduct an **assessment** of the Y2K impact on your organization. Your assessment effort should include the following elements:
   - **Send out third-party confirmation letters** for your packaged software. Use the form letter in Appendix A as an example. These letters are intended to assess each vendor's level of Y2K knowledge and definition of "compliance," and obtain the vendor's opinion of the Y2K compliance level of their system. Make sure to:
     - Compare your current system version number to the vendor's Y2K certification.
     - Obtain vendor signoff for Y2K compliance for your organization, if possible.
     - File a copy of the letter to help indicate "due diligence" in case of litigation.

- **Note:** Some vendors may not give "black and white" answers on compliance. If there is any doubt, the component should be tested.

Also note that if you delay contacting vendors, they may not be able to address your specific situation.

- **Seek published Y2K information about your software and hardware** on the Internet or through telephone calls. For each system in your inventory, visit the vendor's website or search the World Wide Web for any available information on its Y2K readiness. If you do not have Internet capabilities, call the vendor and request Y2K information. Remember to document what you find to support your due diligence efforts. See Section 7, "Where to Go for More Information," for details on Y2K information on the Internet.
- **Use software tools or utilities whenever possible.** If using third-party specialists, make sure they plan to use automated tools and utilities as part of the project; it will help speed up the process. If you are planning to use tools yourself, investigate their purpose, cost, and ease of use. Free software and commercial products are available for assessing the Y2K compliance levels of certain software (such as spreadsheets and databases) and hardware (such as PC Basic Input/Output System). Review Section 7 for sources of additional information about software tools on the Internet.
- If you are unsure whether a system is compliant, **use a "time machine" or date simulator.** This software tool passes a future date such as 2/29/2000 to your system so that, in effect, it "thinks" it is in the future. This allows you to assess the Y2K effects of future date transactions. In order for a "time machine" to be effective, you must also adjust your data so that the dates in the test data are appropriate to the future testing processes. Using a "time machine," in conjunction with test data that has been "aged" to the Year 2000 time period, is known as "time dimensional" testing. Again, if using third-party specialists, have them use time dimensional testing as part of the assessment and testing process. If you decide to use this process yourself to conduct "future date" testing, you could do so in several ways:
  - Use a spare computer or buy a computer to set up a test lab. Advance the date on the computer and use it only for assessments and tests.
  - Rent computer time for testing purposes from an outside organization (college, business, disaster recovery company, etc.).
  - Convert some of your production data to the testing period by performing a careful date analysis and adjusting the appropriate test dates forward in time.
  - Test "date-advanced" transactions during off hours such as holidays or weekends.

4. After assessing your impact, you should **prioritize your systems.** Given the limited time until 1/1/ 2000, you may not be able to accomplish complete Y2K readiness. Now is the time to prioritize and determine what your most critical systems are – they're the ones on which you need to focus your attention. Remember that you *cannot* conduct this prioritization until you've completed your assessment activities; without knowing the potential Y2K impacts, you can't begin to rank systems in terms of importance. Your goal should be to protect your high priority systems as completely as possible and develop contingency

plans for the rest.

- As with embedded systems, **use a "triage" approach** to help you prioritize. Address the critical systems that have the best chance of survival first.
- As you prioritize your systems, **consider the business impact** that a failed system would have on your ability to deliver critical services. The decision table questions in Section 3 helped you determine if your systems may have a Y2K problem. Now, ask yourself similar questions to determine the critical nature of the systems.
  - Would any serious public safety or health issues result if this system fails?
  - How much revenue would be lost per day if this system fails?
  - What would be the legal consequences for my municipality or county if this system fails?
  - Could federal and state fines result if this system fails?
  - How would the failure of this system affect my business partners (suppliers, citizens, other governmental entities, etc.)?
- **Consider the technical impact** of system failures as well. Ask yourself these questions:
  - What is the system's expected date of failure?
  - How many programs are affected by the Y2K problem?
  - How many interfaces are affected?
  - How difficult and costly would it be to replace or fix this system?
  - Can you fix the system in time?
- **Develop contingency plans** for the functions or processes that depend on the IT systems. You may not be able to fix or even test all your systems before 1/1/2000. Your best safeguard is to develop contingency plans to ensure the uninterrupted delivery of services in the event of system failures. Using non-compliant software, even in a contingency situation, will increase the likelihood that critical services could be disrupted. See Section 6, Contingency Planning, for details.

5. Next, decide if you can **remediate or replace** your IT systems.

- For **custom-developed application software**, the best approach for remediation is to look for mathematical calculations and comparisons employing two-digit date values and use program logic, known as "windowing," to determine the four-digit century. This approach does not expand the stored date (year) to four-digits, but instead uses **"windowing"** logic to determine the date. Essentially, commands are added to the software to interpret each date according to its two-digit value. For example, if a two-digit year is greater than 30, your system could be programmed to assume the century to be "19," as in 1955. If the year number is less than 30, the system would assume the century is "20," as in 2010. As with all solutions, windowing logic will not work in all situations, such as, when the dates being processed span greater than 100 years or the date is used to determine the order in which the data is read into the program.
- For **vendor-supplied software**, if you determine the software is not compliant and a Year 2000-compliant upgrade is available, you should purchase and install the upgrade. If a compliant version is not available, you should ask the vendor if and when a version *will* be available. If the

vendor has no plans for a compliant version, you must find a substitute, either by purchasing a competing product or by writing your own custom software.

- For your **computers, servers, and equipment**, follow the same procedures as for your vendor software. Contact your vendors, identify compliant versions, and replace or upgrade your hardware as necessary.
- For **interfaces**, you should coordinate with the organizations with which you do business (for example, other cities, counties, state entities, and related departments). Make sure that all of the entities that share the data are aware of the format that will be used and are prepared to process the data in the agreed upon format. If possible, a compliant date format should be used. If you don't have time to make sure all your interfaces are compliant, consider a common "bridging" technique as an alternative to complete remediation. A "bridge" is software that reformats a date value from two to four digits, through windowing logic, to correctly manipulate incoming and outgoing data.

Test for:

- **Current dates**
- **Future dates**
- **Boundary dates**
- **Leap year dates**

6. Finally, you need to **thoroughly test your IT systems**. Should you have difficulty with conducting your own testing, *seek assistance*. Consider the following:
   - **Use third-party vendors** with experience in Y2K compliance testing, especially if you do not have employees who can be devoted to this task or have experience in software testing.
   - **Take advantage of the expertise of end users.** Your Y2K efforts should involve the people within your business areas who have intimate knowledge of how your systems operate. These people are your subject-matter experts. They know what the day-to-day system results should be and can validate test results after Y2K changes are made. For example, the people who process tax returns in a tax office best understand the tax revenue system and can validate tax calculations, date-related letter generations, and other system activities. Develop "test plans" that can be used by the IT staff or vendors to properly test the application.
   - Test for **current dates** (to ensure that normal processing has not been changed by the remediation process), **future dates** (past Year 2000), **boundary dates** (end of Fiscal Year), and **leap year dates** (February 29, 2000). Refer to Appendix F for a list of dates to test. Use the time dimensional testing process that adjusts both processing dates and test data as described earlier in this section.
   - If you do conduct your own testing, **BE CAREFUL!** Backup the system and consult any manufacturers or vendors associated with the creation or support of the system. ***Make sure you can recover from the test.*** If you are not sure you can recover, consult with an expert *before* conducting any tests.

Summary

Again, **remember to use the Information Technology Components Table (Table 4) on page 24 as a guide to the entire process.**

- As you conduct **containment** activities, refer to the table to identify when vendors are involved and what types of IT systems could have a contract in place.
- Use the table's examples to help you build your **inventory.**
- As you **assess** the impacts, refer to the table to identify who can help you determine risks and dependencies between the various components of your IT systems.
- Use the examples and descriptions, as well as the people involved with the system to help you set your **priorities.**
- Seek the assistance of the people who work with your systems on a daily basis as you **remediate or replace** them.
- Finally, use the table to assist with your **testing** strategies, to determine dependencies, and identify the types of people that should be involved.

Be cautious and backup all systems before testing.

IT Components Table

Your Y2K efforts should involve the people within your business areas who have intimate knowledge of how your systems operate.

Type	Examples	Description	Who Can Help
Software			
Custom developed application software	Procurement, reporting, tracking, and data entry systems	Software developed specifically for your organization that automates your business functions; for example, a tax revenue collection system.	IT staff or your vendors
Vendor-supplied utility and application software	Utilities and applications running on AS/400, HP/UX and VAX, etc.	Software purchased from outside suppliers that your organization uses to automate business processes and provide miscellaneous support functions.	Vendors
Personal computer applications and operating software	Microsoft Windows, OS/2, Microsoft Word, WordPerfect, Lotus Notes, Virus Scan	Software that supports the operations of individual workstations	Vendors
Work products created through use of personal computer applications	Spreadsheets created through Lotus or Excel, DBASE programs	Work group software to assist in financial analysis, etc.	IT staff, knowledgeable users
Network operating software	Novell, NT, OS/400	Software that allows the components of a network to communicate.	Vendors and maintenance contractors
Hardware			
Minicomputers and mainframes	IBM, HP, DEC, Unisys, Amdahl	Computers that support business operations for mid-size to large organizations.	IT staff or consult vendors and maintenance contractors
Personal computers	IBM, IBM-compatible	Computers that support office workstation functions, either individually or as part of a network.	IT staff or consult vendors and maintenance contractors
Network file servers	Database servers, application servers, print servers	Storage and communication devices for databases and applications that will be accessed as part of a network.	IT staff or consult vendors and maintenance contractors
Network equipment	Hubs, routers, gateways, switches	Hardware that connects network components and directs communication through them.	IT staff or consult vendors and maintenance contractors
Interfaces			
Internal	Shared databases and files	Data accessed by multiple business areas within the organization. For example, personnel data may need to be used by payroll and insurance units.	Business units and departments within your organization
External	Tapes, floppy disks, forms, file transfer protocol (FTP)	Data received or released by your organization from or to an outside entity, such as a payroll tape created by your organization and sent to a bank for processing.	Trading partners, peers, regulating entities such as state and federal government

Table 4

SECTION SIX : CONTINGENCY PLANNING

By now, we've seen that the Year 2000 problem poses substantial risks – risks to business operations and revenues, the threat of litigation, and, most importantly, risks to public safety. The questions your organization must answer are straightforward: what are ***your*** risks, and how will you deal with them?

Risk management focuses on maintaining your critical government operations and minimizing your exposure for consequences. The way to manage risks is to first identify them, evaluate their potential consequences, and, if possible, find a way to avoid them. Ultimately, that's all that risk management is: problem identification followed by problem *solving*.

At this point, with the Year 2000 deadline looming on the horizon, the best approach to managing your risk is **contingency planning**.

Why You Need Contingency Plans

As we've already noted, even the best project plan cannot eliminate *all* risks to your organization. This is particularly true in the case of the Year 2000 problem, which simply involves too many unknowns for anyone to feel secure. Despite your best efforts, you may not have enough time or resources to guarantee Y2K compliance in time. Even if you have prepared thoroughly, you may experience sudden disruptions due to circumstances entirely beyond your control.

In the limited time remaining until January 2000, your Y2K efforts should be focused on ensuring that your most critical services remain operable into the new century. For this reason, contingency planning *must* be an important part of your project – to prepare your organization for potential service interruptions and guide you toward a permanent solution at the earliest possible moment.

Essentially, contingency plans set your course if and when critical systems fail by providing "backup" plans to address unforeseen problems resulting from Y2K. Your organization should have a contingency plan in place for each of its most important functions, systems, and equipment to ensure that your basic business functions can continue without disruption. Your contingency planning effort should consider your organization's hardware, software, and equipment as well as the systems and infrastructure of external organizations that affect your operations.

The resources listed in Section 7 of this guidebook provide detailed information about the activities involved in contingency planning; you will need to customize these activities to meet your own needs and time constraints.

How to Prepare Contingency Plans

At its most basic level, contingency planning guides an organization through four distinct steps:

- **Identification** of business processes that need contingency plans, and the

collection of data that can be used to evaluate your options.

- **Plan creation** and the establishment of criteria under which the plans will be used.
- **Implementation** of the contingency plan when prompted by a problem or disruption in service.
- **Reinstatement** of normal operations by moving from contingency operations to a permanent solution as soon as possible.

These four steps will help to safeguard your organization's ability to provide critical operations into the new century.

Step 1: Identification

The primary objective of this step is to identify and prioritize business processes that are candidates for contingency planning. Begin by consulting your Y2K Project Plan and the inventory/assessment information that you have collected for your equipment with embedded computer processors and your computer systems. This should help identify your critical processes, systems, and equipment. If you are preparing a project plan simultaneously with your contingency plans, simply identify your critical operations for both efforts. It's important to consult your front line employees when determining critical operations; they're the ones who know best.

Make sure you consider all of the underlying hardware, software, and equipment that support each critical function. *All* of the components required to support the critical function must be considered in a contingency plan if your organization is to fully cope with a disruption. Be sure to consider critical vendors and suppliers as well.

After identifying your critical processes and their support systems, decide which ones need a contingency plan. Begin with those that could have the greatest negative impact on your organization's critical services and functions. With limited resources available to address the Y2K problem, it is important to consider the financial costs and the difficulty involved in developing service delivery alternatives. In some cases, limited resources may force you to advise your constituents that important services may not be available or may be delayed because of the Year 2000 problem. This, of course, is not a desirable alternative.

Step 2: Plan Creation

In this step, you will weigh your options and develop the detailed contingency plans needed to ensure your continued operation in the event of Y2K-related disruption. A good starting point for contingency planning could be your organization's emergency management or disaster recovery plans.

Remember to consider *all* of your options. Some contingency plans may be as simple as identifying a vendor who can quickly replace a critical piece of equipment. Others may involve outlining a series of manual steps to perform certain activities that normally are automated. You also may identify a resource, such as a private contractor, that can perform your critical business functions for you on a temporary basis.

Your plans may involve a technical solution (involving hardware, software, or equipment), a business solution (such as manual procedures for your employees to follow), a quick fix (such as using generators for emergency electricity), or

combinations of all three. In any case, your plans should identify dependencies and impacts, the number of days needed to implement each contingency solution, and the estimated dollars, staffing, and equipment needed to support your solutions.

Don't forget to identify the conditions that would cause you to set your plans in motion. Clear instructions on when and how to use a contingency plan will help make its implementation smoother. At a minimum, your plan should include three important steps:

- Make sure all personnel know how to reset any device or system they use, or take whatever other action is dictated by your contingency plan.
- Make sure all personnel can recognize the need to do so.
- Make sure all personnel are ready to do so.

Your plans should identify dependencies and impacts, the number of days needed to implement each contingency solution, and the estimated dollars, staffing, and equipment needed to support your solutions.

Step 3: Implementation/Operation

Obviously, this step is put into action only to prevent a service disruption. Its objective is to manage the operation of the contingency plans you've chosen smoothly and efficiently.

You may never have to implement your plans, but if you do, you will need clearly defined guidelines for operating each critical activity under its contingency plan.

Step 4: Reinstatement

This step leads your organization from its contingency operations to a stable, permanent solution.

You may decide to make your contingency solution permanent, in which case your reinstatement activities are already complete. If your Y2K remediation efforts were under way but incomplete at the 1/1/2000 deadline, reinstatement would simply require you to complete your organization's transition to its newly converted systems.

Example Contingency Plan – Health Care Facility

The following steps were recently considered by a health care facility that is preparing a Year 2000 Contingency Plan:

- Activation of additional personnel.
- Use of emergency internal telephone system.
- Patient care "downtime packages" at each unit.
- Runner system for transporting orders and results.
- One-week supply of fuel maintained for emergency generators.
- Verification that fuel suppliers can manually pump fuel to their delivery trucks from bulk storage tanks.
- Additional "crash teams" maintained on-site for unanticipated problems.
- Analysis of impact involved in being the only area facility capable of sustaining power, warmth, food, and shelter.

Embedded Systems Contingency Plan

The following table provides a sample list of functions, services, critical elements, backup systems, and contingency plans.

Backup System/Contingency Plan Table

Services	Areas of Concern/Impact	Backup Systems/ Contingency Plans
Emergency Services		
"911"	Emergency response may be delayed or prevented.	Alternate phone numbers, cell phones, radio
Weather warning: Tornado warning sirens	The system may not activate when needed or could produce false alarms.	Manual activation if possible.
Security		
Street lights	Parking lot and street security: increased risk of crime and driving hazards.	Manual activation, if possible. Secure additional security personnel available for escort service.
Lock-ups	Prison escapes	Perform lock downs manually. Disable any computerized lockdown controls.
Automated door locks	Entrance/exit from offices, etc.	Distribute keys to responsible personnel. Develop plans for manual entrance/exit admittance.
Video surveillance	Tape dating: wrong dates may be recorded.	Implement manual record maintenance by security personnel.
Alarm systems	Unnecessary false alarms	Disable all but the most critical systems. Issue memos to security personnel regarding potential problems and appropriate procedures.
Power		
Municipal and public utilities and the power grid	Loss of heating/air conditioning, lighting, communications, and numerous other amenities of daily life.	Secure standby generators.
Standby generators	Loss of power with the same results as above.	Manual standby generator activation. Top off fuel tanks in December 1999 and procure additional supplies as necessary.
Communication		
PBX	Loss of internal and external communication lines.	Use radio, pagers, cell phones, or couriers.
Radio	Loss of police patrol communication, increasing danger for police who cannot call for backup.	Use cell phones if possible. Double up patrol assignments.
Pagers	Missed and erroneous pages	Use cell phones, if possible; otherwise, use periodic call-ins or face-to-face communications.
Cell Phones	Missed and erroneous calls	Use radios or face-to-face communication.
Written (copiers, fax machines)	These machines may stop working.	Postpone or use carbon copies if available.

Source: Keane,Inc.

Table 5

Backup System/Contingency Plan Table (cont.)

Services	Areas of Concern/Impact	Backup Systems/ Contingency Plans
Commerce		
EDI (electronic data interchange)	Electronic supplier payments disrupted, resulting in shortages of goods and services.	Write checks manually or otherwise implement pre-electronic procedures.
Electronic payroll deposit	Employee payments made through direct deposit may be late or could fail entirely.	Write checks manually or pay in cash
Welfare payments	Those on welfare may be unable to receive payments.	Write checks manually.
Credit card purchases	Purchase approval may be denied; cards could become unusable.	Use manual purchase orders; institute blanket purchase orders with local merchants.
Transportation		
Traffic control	Traffic lights malfunction.	Use police overtime, or auxiliary police force if available, to manually direct traffic.
Freeway management systems	Highway congestion	Use police overtime, send letters to the public, or place newspaper ads stressing the need for greater safety consciousness.
Trains	Railroad crossing warnings fail (warnings are controlled by microcomputer).	Send letters to the public or place newspaper articles alerting the public to the danger.
Airports	Air traffic control systems disrupted.	Increase traffic intervals; require use of Visual Flight Rules.
Airports	Timed runway lighting systems disrupted.	Disable computer controls; activate manually if possible.
Elevators	Loss of access to offices; people may be trapped in elevators if a malfunction occurs.	Give the fire key to selected employees for use in an emergency.
Elevators – Disabled access	Loss of access for disabled persons who work on upper floors.	Relocate offices to first floor on a temporary basis.
Basic Necessities		
Water – Pumping	Pumps stop working and soon there is no water in the distribution pipes.	Prepare water trucks for emergency distribution. Encourage citizens to have bottled water handy.
Water – Cleaning	Sanitary systems quit.	Water trucks may be useful.
Water – Well management	Not available when needed.	Alternate sources of supply (rivers, lakes).
Emergency food distribution	Supermarkets closed due to power outages, etc.	List locations for assistance. Prestock essential supplies.
Health Care		
Medical devices and equipment, operating rooms	Pacemakers, lighting, etc.	Probably the best measure is to ensure that standby generators are ready. Medical triage rules should be applied.

Source: Keane,Inc.

Table 5 (cont.)

Despite your best efforts, you may not have enough time or resources to guarantee Y2K compliance in time. Even if you have prepared thoroughly, you may experience sudden disruptions due to circumstances entirely beyond your control.

SECTION SEVEN : WHERE TO FIND MORE INFORMATION

Texas Guidebook 2000 is intended as a starting point as your organization prepares to address the challenges of the Y2K transition. Specific, detailed information to address your situation will be needed as you move ahead with your own Year 2000 project. This section points you toward useful information and resources available at the time of publication.

Individuals and project teams working on the Year 2000 problem should be provided with connections to the Internet. Government entities without access to the Internet should contact the Texas General Services Commission to obtain information on service offerings and rates.

Year 2000 assistance is readily available from a variety of sources including:

- equipment manufacturers and vendor representatives
- libraries
- bookstores
- vendor-specific websites
- general-interest Year 2000 websites
- consultants
- state agencies
- regional associations

To facilitate your search, this directory provides key Year 2000 resources by subject area. This list is not intended to be a comprehensive catalog, but it should point you toward the resources you need to complete your research.

How to Access the Websites in this Directory

To locate the websites listed below, simply enter the Internet addresses provided (**http://www...**) in the address line of your web browser (usually Netscape or Internet Explorer) and press <enter.>.

To locate additional Year 2000 information on the Internet, you will need a search engine. Simply click on your web browser's Search button and select from the list of available search engines. "Yahoo," for instance, is a popular engine that also can be accessed by entering **www.yahoo.com** in the address line of your browser. Once you have your search engine ready, enter the key words that will guide a search for the information you are seeking. For example, to locate websites on Year 2000 efforts by local government, you can begin your search by entering "Year 2000 local government" in the search bar and pressing <enter>. You will receive a list of sites that contain the search criteria you've entered. You then can begin studying websites by clicking on any site name that interests you.

Some information listed below is provided in a format that requires special software to access it properly. Adobe Acrobat Reader is available for free

downloading to perform this task and must be installed prior to viewing these reports. For information on this product and to download a free copy, go to **http://www.adobe.com/prodindex/acrobat/readshop.html.**

General Y2K Information

General Year 2000 information is available in abundance on the Internet. The information is constantly being updated to reflect the latest issues and concerns. The following general sites often can direct you to more specific information.

- **http://www.year2000.com** – This website provides a forum for Year 2000 information and discussions of possible solutions. It also provides conference listings, vendor and product compliance information, and links to other useful sites.
- **http://www.support2000.com** – This website provides a guide to Year 2000 topics and resources for both corporate and government users, as well as links to many related sites and resource directories.
- **http://www.dir.state.tx.us/y2k** – This website provides information concerning the State of Texas and the efforts of the agencies and universities to resolve the Year 2000 problem. It also provides links to many other governmental sites and resources. Copies of this guidebook are available at this site.

To locate other general-interest Year 2000 sites, simply enter the keywords "Year 2000" and any other desired keyword search criteria from the search engine. For example, for all Texas Year 2000 websites, enter "Year 2000 Texas" to begin your search.

Vendor Information

Vendor-specific websites have a wealth of information about their products and their Year 2000 status. Here are some relevant samples:

IBM

If you use IBM products (such as mainframes, AS/400, and personal computers, OS/2, and Lotus) you can take advantage of two methods to determine their readiness:

- Phone assistance – (800) 426-4968
- Website information – **http://www.ibm.com/IBM/year2000**

Microsoft

If your computer is equipped with Microsoft products (including Windows, Word, Excel, and Access) a website is available to verify product readiness:

- General assistance – (800) 426-9400
- Microsoft Year 2000 Resource Center – **http://www.microsoft.com/y2k**

Honeywell

For Year 2000 status on Honeywell products (such as measurement and control products and analytical instruments), see the following:

- General assistance – (800) 525-7439
- Website information – **http://www.iac.honeywell.com/y2k**

Unisys
For Year 2000 status on Unisys hardware, software and peripheral devices, information is available from the following sources:

- General assistance – (800) 874-8647
- Website information – **http://www.unisys.com/year2000**

To obtain on-line information regarding other vendors, simply enter the vendor name and "Year 2000" from your search engine to begin your search.

Utilities

Electrical and Telecommunications:

- If you have questions regarding your service, contact your local provider.
- For additional assistance, contact: Public Utility Commission at (512) 936-7000
- A website regarding the Year 2000 and the electric industry can be found at **http://www.epriweb.com/year2000/index.html.**

Water and Wastewater treatment:

- Contact your local providers for assistance.
- The Federal Environmental Protection Agency is publishing outreach plans and "best practices" information in the next few weeks. Please refer to their website – **http://www.epa.gov/year2000.**

Medical Technology

The following websites concerning medical technology may be useful:

- **http://www.ttuhsc.edu/pages/year2000/ttuy2k.htm** – Texas Tech Health Science Center
- **http://www.rx2000.org** – Rx2000 Solutions Institute
- **http://millennia-bcs.com/h_s-link.htm** – The Cassandra Project - Y2K and Health and Safety Related Articles
- **http://www.sw.org/y2k/year2000.htm** – Scott & White Hospital Year 2000 Project

Embedded Systems

The following websites concerning embedded systems may be useful:

- **http://www.auto2000.ndirect.co.uk/y2kindex.htm** – This site promotes awareness of Year 2000 problems within embedded systems for plant machinery and other equipment.
- **http://www.iee.org.uk/2000risk** – This site provides guidance on how the Year 2000 problem affects embedded systems.
- **http://www.year2000.ca.gov** – This site provides a Year 2000 Embedded Systems Guide from the State of California Program Office. Once at the site, click on Embedded Systems Program Guide to download copies of these papers. Adobe Acrobat Reader is required to view and print this information.

To locate other websites with embedded system information, simply enter "Year 2000 embedded systems" from your search engine to begin your search.

Testing

The State of Texas has established contracts for computer assessment and testing software. The contracts can be used by any Texas government entity to obtain software tools and products at reduced prices. See the State of Texas Year 2000 website, mentioned above for additional information. As an example, OnMark 2000 Assess, from ViaSoft, is aimed at the desktop environment. It analyzes two-digit year problems in databases, spreadsheets, and files, and highlights the results for further review. Single user copies of the product can be obtained for as little as fifty dollars ($50).

The following sites contain testing information:

- **http://www.year2000.ca.gov** – This site provides a Year 2000 Desktop Systems Program Guide from the State of California Program Office. It focuses on identification, prioritization, and remediation of computing hardware, operating system software, and application software in the desktop environment. Once at the site, click on Desktop Systems Program Guide to download copies of these papers. Adobe Acrobat Reader is required to view and print this information.
- **http://www.2000technologies.com** – Safe Harbor Testing white paper.
- **http://www.nstl.com** – National Software Testing laboratories.

To locate other websites with Year 2000 testing information, simply enter "Year 2000 testing" from your search engine to begin you search.

Contingency Planning

The following contingency planning websites may be useful:

- **http://www.acp-international.com** – This site will give you information on branches of the National Association of Contingency Planners located in Texas and throughout the country.
- **http://www.erols.com/steve451/impact.htm** – This site provides background information on contingency planning for the Year 2000, as well as related articles.
- **http://www.gao.gov/y2kr.htm** – This site provides Business Continuity and Contingency Planning guidelines issued by the U.S. General Accounting Office (GAO) that are available to download and print. From this page, click on Business Continuity and Contingency Planning to download a copy of the report. Many other GAO Year 2000 publications also are available from this page. You will need Adobe Acrobat Reader to read these files in proper format.

To locate other websites with Year 2000 contingency planning information, simply enter "Year 2000 contingency planning" from your search engine to begin your search.

Governmental Entities

The following federal government websites may be useful:

- **http://www.y2k.gov** – This site provides general information about the federal government's Year 2000 activities and links to a number of useful sites, including every state location.
- **http://cio.gov** – This site provides monthly status reports prepared by the technology managers for each major federal agency.

The following governmental entities contributed to this guidebook's content:

1. **State Auditors Office (SAO)**
   http://www.sao.state.tx.us
   Steven Summers
   Mary Goehring
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   Two Commodore Plaza
   206 East Ninth St. Suite 1900
   Austin, TX 78701
   (512) 479-4700
2. **Texas State Office of Risk Management (SORM)**
   Joe Deering, Risk Management Specialist
   P.O. Box 13777
   Austin, TX 78711-3777
   (512) 463-2100
3. **Texas Department of Mental Health and Mental Retardation (TDMHMR)**
   http://www.mhmr.state.tx.us
   Sally Anderson, Information Services Director
   Jon Newman, Year 2000 Coordinator
   909 West 45th Street
   P.O. Box 12668
   Austin, TX 78711-2668
   (512) 454-3761
   Consumer Services and Rights Protection
   (800)-252-8154
   MHMR Disaster Assistance Program
   Daniel M. Thompson, Director
   (512) 206-4656
4. **Texas Department of Public Safety (DPS)**
   http://www.txdps.state.tx.us
   Mary Lauderdale, Year 2000 Coordinator
   Tom Jackson, Embedded Systems
   P.O. Box 4087
   Austin, TX 78773
   (512) 424-2000
5. **Texas Department of Insurance (TDI)**
   http://www.tdi.state.tx.us
   Andy Robinson, Information Services Director
   333 Guadalupe
   Austin, TX 78701
   (512) 463-6169

6. **Texas General Services Commission (GSC)**
   http://www.gsc.state.tx.us
   Mike DuBois, Year 2000 Coordinator
   (512) 463-3293
   Chester Beattie, Jr., Legal Counsel on the
   Year 2000 Issues/Leases
   (512) 936-2149
   Aubrey Johnson, Interim Leasing Director
   (512) 475-4928
   Joe Dykes, Building and Property Services Division
   (512) 463-3565
   Central Services Building
   1711 San Jacinto Boulevard
   Austin, TX 78701
   (512) 463-3035
7. **Public Utilities Commission (PUC)**
   http://www.puc.state.tx.us
   Susan Durso, Administrative Counsel
   Hal Hughes, Electricity and the National Transmission Grid
   Nara Srinivasa, Communications
   1701 N. Congress
   P.O. Box 13326
   Austin TX 78711
   (512) 936-7000
8. **Texas Railroad Commission (RRC)**
   http://www.rrc.state.tx.us
   Debra Williams, Director of Information Technology Services
   1701 North Congress Avenue
   Box 12967
   Austin, TX 78711
   (512) 463-7288
9. **State Department of Information Resources (DIR)**
   http://www.dir.state.tx.us
   Shannon Porterfield, Director – Year 2000 Project Office
   300 West 15th St. Suite 1300
   P.O. Box 13564
   Austin, TX 78711-3564
   (512) 475-4700
10. **City of Austin**
    Office of Emergency Management
    Steve Collier, Director
    Scott Swearengin, Assistant Director
    124 W. 8th St. #207
    Austin, TX 78767
    (512) 370-8800

11. **Austin Police Department (APD)**
    Victim Services Division
    Ann Hutchinson, Director
    715 E. 8th St
    Austin, TX 78701
    (512) 480-5037
12. **Texas State Attorney General (OAG)**
    Carey Smith
    P.O. Box 1254A
    Austin, TX 78711
    (512) 463-2100
13. **Texas Association of Regional Councils (TARC)**
    Jim Ray, Executive Director
    Katherine Cannon
    1305 San Antonio Street
    Austin, TX 78701
    (512) 478-4715
14. **Texas Association of Counties (TAC)**
    Graham Baker
    Cathy Argo
    1204 San Antonio
    Austin, TX 78701
    (512) 478-8753
15. **Texas Municipal League (TML)**
    Frank J. Sturzl, Executive Director
    Karla Vining, Assistant to the Executive Director
    1821 Rutherford Lane, Suite 400
    Austin, TX 78754-5128
    (512) 719-6300

The following websites have information about the Year 2000 problem specifically for cities and counties:

Public Technology, Inc. –
http://www.pti.org

Riverside, CA –
http://www.ci.riverside.ca.us/riverside/year2000.html

San Bernardino County, CA –
http://www.co.san-bernardino.ca.us

Orlando, FL –
http://www.ci.orlando.fl.us/departments/y2kinter/y2k.html

Tallahassee, FL –
http://www.ci.tallahassee.fl.us:/citytlh/info_systems/alt2k1.html

Indianapolis, IN –
http://www.indygov.org/cio/index1.htm

Montgomery County, MD –
http://www.co.mo.md.us/Year2000

Albuquerque, NM –
http://www.cabq.gov/y2k/index.html

Portland, OR –
http://www.ci.portland.or.us/y2k

Plano, TX –
http://www.ci.plano.tx.us/y2000.htm

Arlington County, VA –
http://www.co.arlington.va.us/arlcty/budget/thmtech.htm

Roanoke, VA –
http://www.ci.roanoke.va.us/depts/cis/y2k.html

APPENDICES

A. Sample Letter Certification Letter

B. Sample Lessor Letter

C. Sample Year Sign-Off Form

D. Sample Year 2000 Warranty Clause

E. Sample Inventory Collection Forms

F. Suggested Test Dates

Appendix A

A. Sample Vendor Certification Letter

August 7, 1998

Dear _____ :

The so-called "Year 2000" (Y2K) issue has been well-documented and widely publicized. A key step in *(your organization name)*'s compliance effort is ensuring that all the computer systems and components supporting our operations, including hardware and software, operating systems, application programs, and network and communications hardware and software, be fully Y2K-compliant. Furthermore, we require that business solutions offered by our suppliers, maintenance and service contractors, and strategic partners be fully Y2K-compliant. Naturally, this requirement extends to your own suppliers and contractors as well, to the extent they provide you with goods or services necessary for you to be in Y2K compliance with us.

We need information from you to evaluate our Year 2000 options. Enclosed is a definition of "Y2K-compliant" that states our expectations in greater detail. Please review the enclosed material and indicate your compliance status on the certificate. The certificate must be executed on your behalf by an authorized officer and returned to us for review by *(date)*. After we have completed our evaluation, we will contact you concerning open points, clarifications, and any confirmation or testing process needed.

Nothing in this letter or the enclosures should be interpreted as expressing any opinion or conclusion by *(your organization name)* as to the scope of the necessary compliance effort or allocation of costs. This letter is not a request for you to start any Y2K-compliance work at our expense.

If you have any questions about the enclosures, please do not hesitate to contact *(contact name and phone number)*. We look forward to working with you and sincerely appreciate your cooperation.

Thank you for your support in advance.

Sincerely,

Vendor Certification

Definitions

"Y2K-compliant" or "Y2K compliance" means that the software, hardware, machinery, equipment, program, application, routine, module, process, or tool will, on a timely basis and as corroborated in a manner approved by (your organization), satisfy the following criteria:

(a) General integrity. No value for current date will cause interruptions in normal operation. All date and period of time routines, functions, algorithms, and other features of the product/service and all constituent software, controller, central processing units, etc., and all modules thereof, accommodate accurately calendar and date data before, on, and after December 31, 1999. As a system date advances normally on a processor, each date rollover must not lead either the process or any software to erroneous processing.

(b) Date integrity. All manipulations of calendar-related data will produce desired results for all valid data values within the applications domain. These manipulations need to be reliable over the range of dates that an applications is expected to handle. "Manipulations" include:

(i) arithmetic, such as calculations in accordance with the Gregorian calendar of dates, months, days of the week, weeks of the year, day of the year, leap years, durations and lapse of time (including number of days elapsed) from one date to another, including differences spanning different centuries or more than one century in duration;

(ii) logical, such as comparing and branching;

(iii) formatting, such as presentation and visual user interfaces; and

(iv) data management, such as the input, acceptance of date data, and the storage/recording, retrieval, sorting, indexing, and reference thereto.

(c) Explicit century. Date elements in interfaces and data storage permit specifying century to eliminate date ambiguity. This criterion essentially requires the capability to store explicit values for century. For example, a four-digit year is in all date data elements that are stored and passed accurately across each interface (including the user interface). A base-and-offset representation of dates that covers all centuries of interest also would satisfy this criterion.

(d) Implicit century. To the extent approved by (your organization) as a cost-risk trade-off, a date element can be represented without century indicator only if the correct century is unambiguous for all manipulations involving that element. If the century is not explicitly provided, its value must be correctly inferred with zero errors from the value of the date provided.

(e) Variations in user interface. The number of variations in date syntax in the visual user interface of any application is no more than four. The term "user interface" includes screens, windows, character-oriented dialogues, LED read-outs, paper reports, on-line reports, generated consumer mailings, user-accessible logs, etc.

(f) Common routines. All applications in the same source language share the same date routines for all date manipulations.

(g) Semantic extensions. ALL extensions to date semantics are eliminates. So-called "extended semantics" include techniques such as reserving specific values for a date field for special interpretation, e.g., interpreting "99" in a two-digit year field as an indefinite, non-expiring end-date. "Extended semantics" also include embedding a date value in a non-date data element.

"Error" means inaccurate, invalid or incorrect result, abnormal end (abend), failure, deviation, fault, or mistake, or any combination of the foregoing.

Certification

Return To:

(Your organization's contact)
(Mailing address)

The undersigned, a duly authorized officer of [Vendor] empowered to do so, hereby certifies to the following with respect to supplied product and/or services provided with specific reference to the preceding Definitions :

YES	NO	Vendor acknowledges and agrees to the above definition of "Y2K -complaint" Describe any difference in the definition used by Vendor: _____ _____ _____
YES	NO	Vendor is fully Y2K-compliant as of the date hereof _____ If not fully Y2K-compliant as of the date hereof, date upon which Vendor expects to become fully Y2K-compliant _____
YES	NO	Vendor will not become fully Y2K-compliant

If Vendor is or expects to become Y2K-compliant, the responses below refer to the current date or the date stated above on which Y2K compliance is expected to be achieved.

GENERAL INTEGRITY:

TRUE	FALSE	No value for current date will cause interruptions in normal operation.
YES	NO	All date and period of time routines, functions, algorithms, and other features of the product/service and all constituent software, controller, central processing units, etc., and all modules thereof, accommodate accurately calendar and date data before, on and after December 31, 1999.
YES	NO	As a system date advances normally on a host processor, each date roll-over must not lead either the host process nor any software to erroneous processing.

DATE INTEGRITY:

YES	NO	Arithmetic manipulation
YES	NO	Logical manipulation
YES	NO	Formatting
YES	NO	Data management

SPECIFICATION OR YEAR OR CENTURY TO ELIMINATE DATE AMBIGUITY:

YES NO CCYY

YES NO YYYY

OTHER TECHNIQUE OR CONVENTION (DESCRIBE OR EXPLAIN):

YES NO Date element represented without century indicator**

Mechanism by which date value is correctly inferred with 100% accuracy from the value of provided**

_____

_____

_____

** Subject to review and approval by *(your organization)*

_____ Number of variations in date syntax in the visual user interface of any application

YES NO All applications in the same source language share the same date routines for all date manipulations

YES NO All extensions to date semantics are eliminated

Exceptions:

_____

_____

_____

_____ Range of dates that an application is expected to handle

_____ Release/version level/model number of products/service which is, or is expected to be, Y2K-compliant

_____ Date on which Y2K-compliant release/version/model was or will be available

If not fully Y2K-compliant, please describe any date-related processing problems being encountered in your business or the product/service (or which are foreseeable or expected to be encountered in the course of migrating to Y2K compliance) that are not covered above:

_____

_____

_____

_____

Date: _____

By: _____

Printed Name: _____

Title: _____

Return to:

(Your organization's contact)
(Mailing address)

B. Sample Lessor Letter

August 7, 1998

Dear _____ :

The *(your organization name)* is notifying lessors with leases having ending dates of January 1, 2000 or later of potential Year 2000 (Y2K) problems that may occur in some of your building systems. This problem is due to embedded microchips and software that record the year using only the last two digits (e.g. "98" rather than "1998").

On January 1, 2000, these embedded microchips have the potential to cause system failure for building systems in the facility we currently occupy, such as heating and air conditioning, elevators, energy management control systems, alarms, security systems, and electronic access. Any equipment or building system that contains date-sensitive microchips or software may not work if they cannot recognize "00" as the year 2000. The result could be disruptive, at least.

The *(your organization name)* wants to ensure uninterrupted services through the 1/1/2000 date. Because service delivery includes access to and use of leased facilities by the public and employees of the *(your organization name)*, we are ascertaining the Year 2000 compliance status of our leased facilities.

As a lessor of space in _____, we know that you strive to ensure uninterrupted operation of your building systems. It is your responsibility, under the terms of our lease, to ensure that all computer-controlled facility components and facility systems are Y2K-compliant. Failure to ensure this may violate the terms of the lease contract and could result in termination of the lease.

In order for us to ensure that our leased space will continue to be accessible, provide a comfortable environment for our employees and citizens, and function in the manner intended with uninterrupted service, we are requesting that you fill out the attached survey and return it within thirty (30) days from the date of this letter to: _____.

Also, please provide us with the most up-to-date information available should you for any reason find out at a later date that the referenced lease space is not Y2K-compliant or that you will not be able to meet your scheduled date(s) for compliance.

If you need additional information on the Y2K issue, it can be obtained at the Internet site <<www.year2000.com>> as well as many news and business publications. For other questions regarding this lease, please contact _____. Thank you for your cooperation in this matter.

Sincerely,

C. Sample Year 2000 Sign-Off Form

Information Technology Systems	Yes	No	N/A
1. Have you identified your software, including custom-developed, vendor-supplied, and utility and operating system software, and compiled the inventory?			
2. Have you identified your hardware, including PCs, file servers, and network equipment, and compiled the inventory?			
3. Have you identified and inventoried internal and external interfaces?			
4. Have you completed containment activities by inserting a warranty clause in all new and existing IT contracts you have?			
5. Have you distributed third-party confirmation letters to your vendors addressing Year 2000 compliance?			
6. Are you logging responses to the letters and following up on vendors who do not respond?			
7. Have you completed a Y2K assessment of your IT systems to determine the impact to your department?			
8. Have IT systems been prioritized? Are all systems that support critical services identified and addressed?			
9. Have you developed contingency plans for critical systems?			
10. Have systems, including interfaces, been tested for Y2K readiness?			
Embedded Systems			
11. Have you identified your embedded systems, including manufacturing, process control, transportation, building/facility, communication, medical, commerce, and office devices?			
12. Have you completed containment activities by inserting a warranty clause in all new and existing embedded systems contracts you have?			
13. Have you distributed third-party confirmation letters to your vendors addressing Year 2000 compliance?			
14. Are you logging responses to these letters and following up with vendors who do not respond?			
15. Have you completed a Y2K assessment of your embedded systems to determine the impact to your department?			
16. Have embedded systems been prioritized? Are systems that support critical services identified and addressed?			
17. Have you developed contingency plans for critical systems?			
18. Have all systems that are critical been upgraded or replaced?			
19. Have systems been tested for Y2K readiness?			

I certify that, to the best of my abilities and knowledge, I have completed the efforts noted above to address the Year 2000 date problem within my department. Year 2000 readiness activities are complete.

Date: _____ Department/Division: _____

Signature: _____ Title: _____

Print Name: _____

Appendix D

D. Sample Year 2000 Warranty Clause

State of Texas

Year 2000 Warranty - Commercial Supply Items

1 TAC § 201.12(e)

The contractor warrants that each hardware, software, and firmware product delivered under this contract and listed below shall be able to accurately process date data (including, but not limited to, calculating, comparing, and sequencing) from, into, and between the twentieth and twenty-first centuries, including leap year calculations, when used in accordance with the product documentation provided by the contractor, provided that all listed or unlisted products (e.g., hardware, software, firmware) used in combination with such listed product properly exchange date data with it. If the contract requires that specific listed products must perform as a system in accordance with the foregoing warranty, then that warranty shall apply to those listed products as a system. The duration of this warranty and the remedies available to the State of Texas for breach of this warranty shall be as defined in, and subject to, the terms and limitations of the contractor's standard commercial warranty or warranties contained in this contract, provided that notwithstanding any provision to the contrary in such commercial warranty or warranties, the remedies available to the State of Texas under this warranty shall include repair or replacement of any listed product whose non-compliance is discovered and made known to the contractor in writing within ninety (90) days after acceptance. Nothing in this warranty shall be construed to limit any rights or remedies the State of Texas may otherwise have under this contract with respect to defects other than Year 2000 performance.

Appendix E

E. Sample Inventory Collection Forms

Type: Custom Developed Software				
Business Function (i.e., Accounting, HR)	Program Name	Programming Language (COBOL, Natural, MS Basic)	Location (machine type/name)	Date Affected? (Y/N)

Appendix E (cont.)

Type: Vendor Supplied Software; PC Applications; Network Software						
Business Function (i.e., Accting, HR)	Product Name	Version/ Release Number	Vendor Name (Microsoft, IBM)	Vendor Contact Information	Location	Vendor Certified Compliant? (Y/N)

Appendix E (cont.)

Type: All Hardware Types						
Business Function (i.e., Accting, HR)	Hardware Identifier	Hardware Type (Mini, PC file server	Vendor Name (IBM, HP DEC)	Vendor Contact Information	Location	Vendor Certified Compliant? (Y/N)

Appendix E (cont.)

Type: Interfaces					
Interface Name	Interface Type	Originating Entity (internal business function or an outside organization)	Receiving Entity (internal business function or an outside organization)	Date Affected? (Y/N)	Interface Medium (tape, electronic tape)

F. Suggested Test Dates

01/01/1999	Systems that look one year ahead may fail.
04/09/1999	Special-use Julian date (99th day of 99th year).
07/01/1999	Many governments begin their fiscal year.
08/21/1999	Global Positioning System date rollover affects military, transportation, Geographic Information System, and Automatic Vehicle Locator.
09/01/1999	State of Texas begins FY 2000.
09/09/1999	Programmers use 9/9/99 as an end of file or infinity; will cause numerous problems (ninth day of ninth month of 99th year).
10/01/1999	Federal government and others begin FY 00.
12/31/1999	End-of-year baseline (and to be used in rollover scenario).
01/01/2000	Date rollover will halt, confuse, or otherwise disrupt many systems and devices.
01/10/2000	First date requiring full use of seven digits.
02/28/2000	Day prior to leap year (to be used in rollover scenarios).
02/29/2000	Many systems will not recognize leap year in 2000.
02/30/2000	Invalid date. Test to ensure that leap year logic is functioning.
10/10/2000	First date requiring full use of eight digits; may cause failures.
12/31/2000	Some systems using Julian dates may not recognize the 366th day of the year (another leap year problem).

01.01, By-Laws of the Texas Tech Board of Regents

1. **Authority.**

   a. The Legislature, in Chapter 109 and Chapter 110 of the *Texas Education Code*, has delegated to the Board of Regents of Texas Tech University the power and authority to govern, control and direct the policies of Texas Tech University and Texas Tech University Health Sciences Center (hereinafter together referred to as "Texas Tech" or "the Universities").

   b. By Section 109.23 of the *Texas Education Code*, the Board of Regents is directed to "provide a chief executive officer, who shall devote his attention to the executive management of the University and who shall be directly accountable to the Board for the conduct of the University."

   c. Under the authority of Section 109.23, *Texas Education Code*, the Board of Regents, while sitting as a Board for Texas Tech University, may appoint a Chancellor to act as the chief executive officer. The Chancellor will serve at the pleasure of the Board of Regents.

   d. Section 110.04, *Texas Education Code,* states: "The chief executive officer of Texas Tech University is also the chief executive officer of the Health Sciences Center under the authority of Section 109.23 of this code."

   e. As provided by the 66th Texas Legislature in 1979 (Section 110.01, *Texas Education Code*), "Texas Tech University Health Sciences Center is a separate institution and not a department, school, or branch of Texas Tech University but is under the direction, management, and control of the Texas Tech University Board of Regents."

   f. In Section 110.02, *Texas Education Code*, Concurrent and Separate Powers are discussed. "The board of regents has the same powers of direction, management, and control over the Health Sciences Center as they exercise over Texas Tech University. However, the board shall act separately and independently on all matters affecting the Health Sciences Center as a separate institution."

   g. General powers of the Board of Regents are addressed in Section 110.03, *Texas Education Code*, "The board may make rules and regulations for the direction, control, and management of Texas Tech University Health Sciences Center as necessary for it to be an institution of the first class."

   h. Section 110.06, *Texas Education Code*, states: "The board may, when in the best interests of medical education at the Health Sciences Center, execute and carry out affiliation or coordinating agreements with any other entity or institution in the Lubbock area, Amarillo area, El Paso area and the Odessa-Midland area to provide clinical, postgraduate, including internship and residency, or other levels of medical educational work for the Health Sciences Center. Additionally, the board may execute and carry out affiliation or coordinating agreements with any other entity or institution necessary to conduct and operate the Health Sciences Center as a first-class institution. The board may utilize the facilities and staffs of other state biomedical units."

2. **Composition.** The Board of Regents is composed of nine members appointed by the Governor with the advice and consent of the Senate for staggered terms of six years each, the terms of three members expiring on January 31 of odd numbered years.

3. **Separate Actions.** The Board of Regents shall, as directed by law, take actions on all matters affecting Texas Tech University and Texas Tech University Health Sciences Center as separate institutions while sitting as a Board for each particular institution.

4. **Chair of the Board.**

   a. **Election of the Chair.** The Chair of the Board (the "Chair") shall be elected by the Board from its number at the regular November or December meeting of even-numbered years for a two-year term, and the Chair will take office on January 1 following the meeting at which he is elected. The Chair shall report to and be responsible to the Board. In case of the death, resignation, disability, removal, or disqualification of the Chair, the Board shall elect a successor as soon as practicable. No member shall serve more than one term as Chair unless the members shall reelect such person for each term by unanimous vote at a meeting at which at least six members are present. Newly elected Board officers shall take office on January 1 following the meeting at which they are selected.

   b. **Duties and Responsibilities of the Chair.**

      (1) Be responsible for the agendas of the meetings of the Board.
      (2) Preside over the meetings of the Board.
      (3) Have authority to call special meetings of the Board, as herein provided.
      (4) Appoint the standing and special committees of the Board, as herein provided.
      (5) Be an *ex officio* member of all committees of the Board.
      (6) The Chair is to conduct or cause to be conducted an appropriate orientation for new board members as soon as possible after appointment and deliver to each a copy of the current *Board of Regents Policy Manual* and charts of organization of the principal executive and administrative officers of Texas Tech.

5. **Vice Chair of the Board.** The Vice Chair of the Board (the "Vice Chair") shall be elected by the Board from its number when the Chair is elected. In case of the absence, death, resignation, disability, removal, or disqualification of the Chair, the Vice Chair shall perform the duties of the Chair until the Chair shall resume such office or a successor shall have been elected as herein provided. Upon the death, resignation, disability, or removal of the Vice Chair, the Board shall elect a successor as soon as practicable.

6. **Secretary of the Board.**

   a. **Appointment of the Secretary.** The Board shall elect a Secretary of the Board (the "Secretary") who is not a member of the Board and who shall receive such compensation as may be fixed by the Board. The Secretary shall report to and be responsible to the Board of Regents and serve at their pleasure. Upon the death, resignation, disability, removal, or disqualification of the Secretary, the Board shall elect a successor as soon as practicable. The Board also may elect an assistant secretary who shall routinely perform duties as delegated by the Secretary and who, when there is a vacancy in the office of the secretary, or if the Secretary is absent, incapacitated, or for any reason unable to perform the duties of the office, shall have the same duties and authority as the Secretary. If the Secretary is absent, incapacitated, or for any reason unable to perform the duties of the Office and an Assistant Secretary has not been elected previously, the Chair may appoint an Assistant Secretary who shall have the same duties and authority as the Secretary.

   b. **Duties and Functions of the Secretary.**

      (1) **Meetings.** The Secretary shall make preparations for all meetings of the Board and its Committee including such notices as is required by law including Executive Sessions.

(2) **The Agenda.** Under the direction of and upon approval by the Chair of the Board, the Secretary shall, with the cooperation of the principal officers of Texas Tech, distribute the agenda for all meetings of the Board and its committees. Not less than two weeks prior to the day of regular meetings, the Secretary of the Board shall mail to each member copies of all proposals to be considered by the Board, including an outline of the agenda, which copies shall include: a complete statement of the proposal, including any proposed resolution which it is desired that the Board shall pass, such statement to be signed by the Chancellor and the originator (President, Vice President or Vice Chancellor), and where funds are necessary, a statement by the Vice Chancellor for Administration and Finance or the appropriate Vice President for Fiscal Affairs indicating their source and availability. Urgent and emergency items may be added and are to be approved by the Chair. Such items shall be added to the agenda and appropriate notification given to the Office of the Secretary of State as required by law.

(3) **Minutes.** The Secretary shall attend all open meetings of the Board, record, prepare, and index the official minutes of the meetings of the Board and distribute copies thereof, including the annual budgets, to members of the Board, the Chancellor, and to such other individuals as designated by the Chancellor. The Official Minutes shall be kept in the Office of the Secretary and certified excerpts from these minutes shall be prepared and distributed by the Secretary.

(4) **Documents.** The Secretary shall keep on file in the Office of the Secretary all official documents, correspondence, and proceedings of the Board.

(5) **Seals.** The custody of the official seals of Texas Tech University and Texas Tech University Health Sciences Center shall be with the Secretary. The Secretary shall affix such official seal to, and attest, all documents executed in the name of the Board of Regents and requiring attestation. The Board of Regents may authorize by resolution certain other officials of Texas Tech to affix such seal and to attest to specific documents.

(6) **Official Regents' Rules and Regulations.** The Secretary shall keep an official copy of the *Board of Regents Policy Manual* in which the Regents' Rules and Regulations are published. Said copy shall contain all current rules and regulations and policies as set by the Board of Regents. Any changes or additions thereto shall be entered in the official copy and such changes and additions shall be furnished members of the Board and officers of Texas Tech as designated by the Chancellor.

(7) **Reports.** The Secretary as directed by the Board of Regents shall prepare and distribute reports and communications.

(8) **Other Duties.** In addition, the Secretary shall perform such functions and have such other duties and responsibilities as may be assigned to the Secretary by the Board of Regents or as are usual and customary to the members of the Board of Regents in the discharge of their official duties.

7. **Meetings of the Board.**

a. **Regular Meetings.** A minimum of four meetings of the Board of Regents shall be held each year on dates and times to be chosen by the Board of Regents, provided, however, that one such meeting shall be held in November or December of each even-numbered year at which time officers shall be elected. Regular meetings shall be held in the Board Room of the Administration

Building of Texas Tech University, or at such other place as may be determined by the Board in advance of such meeting.

b. **Special Meetings.** A special meeting of the Board may be called for special or emergency purposes by the Chair of the Board or at the joint written request of not fewer than five members thereof. The time and place of such meeting shall be set by the Board in its usual manner; however, in the absence of majority agreement, the meeting shall be held at the regular meeting place at a time set by the Chair, taking into account the schedules of each member of the Board of Regents in order to insure maximum attendance. The Chair shall notify or cause to be notified each member by an expeditious manner of the time and place for the meeting. No other business than that embraced in the notice, and/or any supplemental notice, for the special meeting shall be transacted.

c. **Notices.** Notices for all meetings of the Board or committees thereof shall conform to requirements of state law.

8. **Committees of the Board.**

a. **Appointments.** The Chair of the Board shall appoint all committee members and shall designate a chair of each committee except as otherwise provided herein. All Board members shall be *ex officio* members of each committee.

b. **Times and Places of Committee Meetings.** Standing and special committees shall meet at times and at places as set by the chair of each such committee.

c. **Standing Committees.**

(1) **Academic, Clinical, and Student Affairs Committee.** The Academic, Clinical, and Student Affairs Committee shall consist of three members. This committee shall consider:

(a) The educational mission and academic programs of the various schools and units within Texas Tech.
(b) The clinical programs (both patient care services and clinical investigation) within the Health Sciences Center and their relationship to the educational mission and academic programs.
(c) Student affairs within Texas Tech.
(d) Faculty affairs within Texas Tech.
(e) Current and long-range governmental actions which may affect Texas Tech and make recommendations which will ensure, when necessary, continuous and prompt action by Texas Tech on such matters.
(f) Research programs within Texas Tech and their relationship to the graduate program.
(g) Policies essential to the growth and development of research.
(h) Research incentives for faculty.
(i) Fund-raising programs and investments to strengthen research.

The Committee shall summarize facts and present alternatives as necessary.

(2) **Facilities Committee.** The Facilities Committee shall consist of three members. This committee shall consider:

(a) Use and occupancy of Texas Tech property.
(b) Planning of, locating of, receiving bids for, awarding contracts for, construction of, and maintenance of buildings, utilities, and other physical facilities of the campuses.

The Committee shall summarize facts and present alternatives as necessary.

(3) **Finance and Administration Committee.** The Finance and Administration Committee shall consist of three members. This committee shall consider:

(a) The budgeting and appropriations request processes.
(b) All request for appropriations and budgets covering expenditures of educational and general funds, and auxiliary programs.
(c) Handling of Texas Tech funds, depositories, etc., whether from appropriated or contributed funds.
(d) All administrative matters relating to affirmative action, central computing services, communication services, physical plant operations (not construction or campus planning), purchasing and contracting, office services, financial administration of grants, accounting services, personnel, budgeting, cash management, investments, water management, internal audit, police operations, and traffic and parking, and all parts thereof.
(e) Contracts and easements that require action by the Board, and affiliation agreements.
(f) The Committee shall summarize facts and present alternatives as necessary. In addition, the Finance and Administration Committee shall review annually all actual expenditures as well as review in detail those expenditures of the Offices of the Chancellor, the Vice Chancellors, Presidents, Vice Presidents and the Deans. Appropriations requests and budgets shall be approved by the Board of Regents.
(g) All private fund-raising activities for Texas Tech and each component thereof and make recommendations that will insure coordination of all private fund-raising functions including any funds used to supplement the salary of any employee of Texas Tech or its components.

The Committee shall summarize facts and present alternatives as necessary.

(4) **Executive Committee.** The Executive Committee shall consist of the Chair and Vice Chair of the Board of Regents and the chairs of the standing committees. The Committee shall consider items requiring action at such times as Board action is not possible.

d. **Special Committees.** The Chair of the Board and/or not less than six members thereof at a meeting of the Board of Regents may at any time appoint special committees, name the members thereof and designate the chair. Any special committee so created shall be temporary and shall be charged in writing as to its particular duties and functions and the period in which it is to serve. Action by Chair of the Board and/or six such members will be required to extend this period.

9. **Procedure.**

a. **Rules of Order.** *Robert's Rules of Order*, when not in conflict with any of the provisions of this chapter, shall be the rules of parliamentary procedure when the Board is in session.

b. **Order of Business.** With the exception of any Executive Session, the order of business for regular meetings of the Board of Regents shall be as follows, unless the Chair otherwise directs:

(1) Invocation.
(2) Approval of the minutes of the preceding meeting.
(3) Approval of administrative actions not previously acted upon.
(4) Reports of standing committees.
(5) Reports of special committees.
(6) Other business.
(7) Report of the Chancellor.
(8) Adjournment.

c. **Executive Sessions.**

(1) Executive Sessions shall be attended by the Board of Regents only except for such persons invited to be in attendance by the Board of Regents.

(2) All executive sessions of the Board shall be conducted in compliance with the applicable provisions of Chapter 551, the Texas Government Code, which authorizes such sessions, and other such applicable statutes.

10. **Communications to the Board.**

a. It is not only the right but the duty of each member of the Board of Regents to be fully informed on all matters which influence or have impact on their obligations as members of the Board of Regents. All staff and faculty proposals that are to be acted upon by the Regents shall be presented to the Office of the Chancellor in sufficient time to permit the Office of the Chancellor to consider such proposals, make recommendations thereon, and transmit them to the Secretary, so that the Secretary may mail proposals no later than fourteen days prior to the next meeting of the Board, and in order that the calendar, agenda, and supporting material may be prepared in time to mail to the members of the Board for their review prior to the meeting. Except where emergency proposals are involved, all such proposals not submitted to the Secretary within the time prescribed shall normally be deferred until the next meeting of the Board.

b. A request to appear before the Board shall be filed with the Chair, the Secretary, or the Chancellor of Texas Tech, not less than one week in advance of the meeting and shall state the purpose of such appearance. The Chair shall approve or disapprove such a request.

c. Administrative actions which are required to be approved by the Board of Regents in accordance with established policies of the Board shall be prepared as directed and approved by the Office of the Chancellor and shall be mailed to each Board member by the Secretary at least fourteen days prior to the scheduled Board meeting. Administrative actions that are required to be reported for information to the Board in accordance with established policies of the Board shall be listed in the materials to be mailed to the Board by the Secretary and shall be available for review at the scheduled Board meeting.

d. The Board of Regents hereby reserves to itself the authority and responsibility for determining matters of policy, official statements concerning any political or other subjects of an obviously controversial nature which represent an official policy, statement, or position of the Board of Regents, Texas Tech and components thereof. Statements, policies, and positions by the Board of Regents on such matters shall be made by the Board through the Chair or the Chancellor. No regent, officer, or faculty or staff member shall have the authority to speak for

or issue any public statement on policy for and on behalf of the Board of Regents, Texas Tech or other components thereof on such matters, without prior approval of the Board. Any statement on matters of any emergency nature shall be cleared by the Chancellor with the Chair. This policy declaration is intended to set forth the position, authority, and responsibility of the Board on these matters without suggesting any limitation on the rights of persons to speak in their individual and personal capacities.

11. **Quorum.** Five members or more present in person shall constitute a quorum of the Board of Regents, and no official action shall be taken or recorded at any regular or called meeting thereof unless a quorum be present.

12. **Board Members Entitled to Vote.** No member of the Board of Regents shall be entitled to vote in any regular or called meeting thereof unless such regent be present in person. This requirement shall not preclude the Board from meeting by teleconference as provided by State law.

13. **Making Amendments to the Bylaws.** The Rules and Regulations shall be added to or amended only by vote of at least five members of the Board at a regular meeting. Any proposed addition or amendment shall be filed with the Secretary of the Board in writing not less than thirty days before such meeting, and it shall be the duty of the Secretary forthwith to mail a copy of such proposed addition or amendment to every member of the Board.

14. **Administrative Organization and Personnel Matters.**

    a. **Administrative Appointments.**

        (1) Employment contracts will be entered into only rarely and only in accordance with the provisions of this paragraph, 14.a.

        (2) The Presidents, Deputy Chancellor, and Vice Chancellors shall be appointed by the Chancellor with prior notification to the Board of Regents. Any multi-year employment contract, employment contract modification or contract extension related to such officers shall be approved by the Chancellor with prior review and advice by the Board of Regents.

        (3) The Provosts, Vice Presidents, Vice Provosts, Deans of Schools and Colleges, Director of Intercollegiate Athletics, Head Coaches of baseball, men's and women's basketball and football shall be appointed by the President with prior approval of the Chancellor and prior notice to the Board of Regents. Any multi-year employment contract, employment contract modification or contract extension related to persons filling such positions shall be approved by the President with prior approval of the Chancellor and prior notification to the Board of Regents.

    b. **Performance and Salaries.**

        (1) The performance of the Chancellor, the Deputy Chancellor, and the Presidents will be reviewed annually by the Board of Regents.

        (2) The salary of the Chancellor, any supplement thereto and any emoluments or other benefits to the office shall be determined by the Board of Regents. The salaries of the Deputy Chancellor, Vice Chancellors, and Presidents shall be set by the Chancellor with prior notice to the Board of Regents. Salary actions related to the Chancellor, the Deputy

Chancellor and the Presidents shall take place at the same meeting, and in conjunction with the performance reviews, outlined in paragraph (1), above.

(3) The salaries of the Provosts, all Vice Presidents, Vice Provosts, and Deans of Colleges and Schools of Texas Tech shall be set by the Presidents with prior approval of the Chancellor and prior notice to the Board of Regents.

(4) The terms, conditions and stipulations of any employment agreement or contract by and between the University, Health Sciences Center and/or any components and the Chancellor or any other principal officer thereof shall be in writing and duly recorded in the minutes of the Board of Regents.

c. **Administrative Organizational Structure.** The organizational structure, and any changes thereto, of Texas Tech shall be approved by the Board of Regents.

01.02, **Amendment of Board of Regents' Policies of ~~TTUHSC~~ Texas Tech**

1. The Board of Regents will, from time to time, issue statements of policy expressing the position of the Institutions on matters of concern.

2. Because policy must grow in order to meet the needs of and effectively guide a dynamic institution, the Board of Regents reserves the right to change its policies as circumstances seem to require.

3. A duplicate copy of the Board's policies, including effective amendments thereto, is maintained in the Office of the General Counsel ~~of Texas Tech University Health Sciences Center~~.

4. Board of Regents' Policy can be amended only through formal action of the Board at its regular meeting or a special meeting called for that purpose.

5. Proposals for a change in Board of Regents Policy or for the creation of a new policy, where either such proposal is not from a member of the Board of Regents, must be routed through the Office of the ~~President~~ Chancellor.

01.03, **Service of Board Members on Support and Advisory Groups**

Members of the Board of Regents are frequently asked to serve on support and advisory groups for various units of ~~the Health Sciences Center~~ Texas Tech. Such service, when requested because of unique contributions which can be made because of the Regents' capabilities related to the work of the group, can make important contributions to the efforts of ~~the Health Sciences Center~~ Texas Tech. It is noted, however, that casting a vote in such groups may place a member of the Board in the position of casting a vote with the support group and again when the matter is presented to the Board of Regents. This eventuality should be avoided, and the Board therefore restricts any membership on such groups to non-voting participation, and any exception to this policy must be approved by the Board.

01.04, **Selection of a New ~~President~~ Chancellor**

1. The Board of Regents shall name a Selection Committee, which shall be comprised of two subcommittees, a Search Committee and an Advisory Committee. The Search Committee shall be composed of four Regents, one Texas Tech University Health Sciences Center faculty member and two Texas Tech University faculty members. The Advisory Committee shall be composed of four Regents, one Texas Tech University Health Sciences Center student, two Texas Tech University students, one Texas Tech University Health Sciences Center former student, two Texas Tech University former students, and one faculty member from each independently organized college and school of Texas Tech University Health Sciences Center and Texas Tech University.

   a. The Search Committee shall receive, review, and screen all applications and either accept or reject the candidates. It will prepare a final list of candidates, who will be interviewed by the Selection Committee, prior to an interview by the Board of Regents.

   b. The Advisory Committee shall evaluate each candidate, using criteria established by the Board of Regents as guidelines.

2. The Board of Regents shall determine the criteria to be considered in selecting a new ~~President~~ Chancellor.

3. The Board of Regents shall select a ~~President~~ Chancellor.

01.05, **Recognition of Retiring Regents, Chancellors and Presidents**

In awareness of the years of dedicated service rendered by retiring members of the Board of Regents, Chancellors and Presidents, Texas Tech ~~University Health Sciences Center~~ will present to each retiring Regent, Chancellor and President an appropriate and distinctive symbol of recognition. This symbol will be presented at an official dinner honoring Regents, Chancellors or Presidents at the time of retirement from office.

01.06, **Seal of Texas Tech University and Texas Tech University Health Sciences Center**

1. The Seal of Texas Tech University shall be:

(add seal)

2. The Seal of Texas Tech University Health Sciences Center shall be:

(add seal)

~~2.~~ 3. The Secretary of the Board of Regents of Texas Tech ~~University Health Sciences Center~~ shall be the custodian of the Seals of the University and the Health Sciences Center. The Seal shall be used by the Secretary to attest to acts of the Board and its ~~Chairman~~ Chair and to demonstrate the validity and authenticity of documents, artifacts, deeds, contracts and other instruments as authorized by the Board of Regents. Where necessary and proper, the Secretary shall use the Seal to attest to the authority of administrative or executive officers of the Health Sciences Center and the University.

~~3.~~ 4. The Secretary is authorized to permit the Registrars of Texas Tech University and Texas Tech University Health Sciences Center to use the Seal for the purpose of authenticating student transcripts.

01.07, **Appellate Procedures for Grievances**

1. The Board of Regents of Texas Tech ~~University Health Sciences Center~~ does not serve as an appellate body for individual grievances of students, faculty or staff members.

2. Texas Tech University and Texas Tech University Health Sciences shall establish grievance procedures for various types of grievances of students, faculty and staff members. Each such procedure will indicate the final level of review within the ~~Health Sciences Center~~ institution that is available to an individual grievant, and a decision at the level so indicated will constitute final ~~Health Sciences Center~~ institutional action on the grievance.

01.08, **Distinguished Service Award**

A Distinguished Service Award may be presented by the Board of Regents to individuals in recognition of distinguished contributions to Texas Tech ~~University Health Sciences Center~~ in support of teaching, research or public service programs.

01.09, **Seal of Texas Tech University School of Law**

1. The Seal of Texas Tech University School of Law shall be:

(add seal)

2. The Dean of the School of Law shall be the custodian of the Seal and he and the Registrar shall use the Seal for those purposes which they deem appropriate.

~~01.09~~ 01.10. Plaques Commemorating Ex-Chancellors and Ex-Presidents of ~~Texas Tech University Health Sciences Center~~ Texas Tech

The purpose of this policy is to establish a tradition for recognition of ex-chancellors and ex-presidents of Texas Tech ~~University Health Sciences Center~~ by the permanent installation of plaques noting the contributions of each during the individual's tenure in office. This policy does not apply to interim chancellors or interim presidents. The following guidelines are established for carrying out this tradition.

1. Each plaque will bear a likeness of the chancellor or the president, the term of office, and a brief account of the significant contributions made by that individual's administration. As far as possible each plaque will conform to the original style.

2. A period of five years must elapse between the time of a chancellor's or president's leaving office and the preparation of plaque copy in order that each plaque will reflect a proper historical perspective.

3. Qualified historians are to be selected to prepare the text for the plaques.

4. The Board of Regents will approve installation of each plaque and its proposed location.

~~01.10~~ 01.11, Vice ~~President~~ Chancellor and General Counsel Responsibility to the Board of Regents

The Vice ~~President~~ Chancellor and General Counsel functions under the administrative direction of the ~~President~~ Chancellor in representing and advising ~~the Health Sciences Center~~ Texas Tech and shall have access to the Board of Regents, in order to bring any matter to the Board which, in the opinion of the Vice ~~President~~ Chancellor and General Counsel, could have a material impact on ~~TTUHSC~~ Texas Tech.

01.12, Ethics Policy

1. **Introduction.**

It is important that the people of the State of Texas have complete confidence in the integrity of their public servants. This need is especially critical in the area of state supported higher education. The responsibility for education and training the future leaders of the state and nation carries with it the duty to adhere to the highest ethical standards and principles. The principles and guidelines contained in this policy shall apply to all persons employed by any component institution, agency, or service of Texas Tech regardless of rank or position. If a topic has also been addressed in other policy statements or manuals of Texas Tech, the procedures and statements contained therein are hereby reaffirmed and made a part hereof for all purposes. Specifically, Texas Tech OPs should be referenced for further information and/or greater specifics. References of the term "Texas Tech employees" throughout these documents include all persons employed by Texas Tech.

2. **Standards of Conduct.**

a. Texas Tech officers and employees should not:*

(1) Accept or solicit any gift, favor, or service that might reasonably tend to influence the officer or employee in the discharge of official duties or that the officer or employee knows, or should know, is being offered with the intent to influence the officer's or employee's official conduct;

(2) Accept other employment or engage in a business or professional activity that the officer or employee might reasonably expect would require or induce him or her to disclose confidential information acquired by reason of the official position;

(3) Accept other appointments or any employment or compensation that could reasonably be expected to impair the officer's or employee's independence of judgment in the performance of official duties;

(4) Make personal investments that could reasonably be expected to create a substantial conflict between the officer's or employee's private interest and the public interest; or

(5) Intentionally or knowingly solicit, accept, or agree to accept any benefit for having exercised his or her official powers or performed official duties in favor of another.

* Government Code 572.051

3. **Principles of Ethical Behavior.****

a. Texas Tech officers and employees:

(1) Shall put forth honest effort in the performance of their duties.

(2) Shall not make unauthorized commitments or promises of any kind purporting to bind Texas Tech or any of its components.

(3) Shall not use their public offices for private gain.

(4) Shall act impartially and not give preferential treatment to any private or public organization or individual.

** For more information, see Board Policy 04.06

(5) Shall protect and conserve public property and shall not use it for anything other than authorized activities.

(6) Shall promptly disclose waste, fraud, abuse, and corruption to appropriate authorities.

(7) Shall adhere to all laws, regulations, and policies that provide equal opportunity for all persons regardless of race, color, religion, sex, national origin, age, or disability; and

(8) Shall endeavor to avoid any actions that would create the appearance that they are violating the law or the ethical standards of Texas Tech.

4. **Conflict of Interest.***

It is the policy of the State of Texas that state officers and employees may not have direct or indirect interests, including financial and other interests, engage in business transactions or professional activities, or incur any obligation of any nature that is in substantial conflict with the proper discharge of the officer's or employee's duties in the public interest.

* Government Code 572.001(a); TTU OP 32.33

5. **Travel.****

Heads of agencies shall plan the travel of all employees under their authority so as to achieve maximum savings and efficiency. The meals, lodging, transportation, and incidental expenses of a state employee must be the lowest possible considering all relevant circumstances. Travel expenses may be reimbursed from the appropriations made in the General Appropriation Act only where the purposes of travel performed are clearly for the conduct of the state's official business and in accordance with the legal responsibilities of the state agency. The voucher must contain a brief statement which clearly shows the purpose of the trip and the benefit to the state.

a. **General Provisions - Officers and Employees of Higher Education.**

(1) None of the monies appropriated in the General Appropriations Act may be expended for official travel expense incurred by members of governing boards, executive and administrative heads, by any employee of state agencies of higher education except for official business as approved by the appropriate governing board.

(2) A state employee may receive reimbursement for meals, lodging, transportation, and incidental expenses <u>only</u> when the purpose of travel clearly involves official state business and is in accordance with legal responsibilities of the employing state agency (Texas Tech).

(3) For the purpose of either in-state or out-of-state travel, however, the respective governing

boards may delegate their authority to authorize and approve official travel reimbursements from appropriations made in the General Appropriations Act to presidents, chief executive heads, vice presidents, deans, or fiscal officers of the institution of higher education (Texas Tech). Provided, that such delegations of authority shall specify the kind or nature of official travel to be approved and the termination date of such delegated authority, that such delegations are entered in the official minutes of the governing board and that a copy of such delegation is filed with the Comptroller.

** TTU OP 79.01 through OP 79.11

6. **Benefits, Gifts, and Honoraria.***

a. A "benefit" is anything reasonably regarded as pecuniary gain or pecuniary advantage, including benefit to any other person in whose welfare a Texas Tech employee has a direct and substantial interest [PC36.01(5)].

(1) Bribery: No Texas Tech officer or employee may solicit, offer, or accept any benefit in exchange for their decision, opinion, recommendation, vote, or other exercise of official power or discretion [PC36.02;EAO130]. A benefit that is otherwise allowed by Texas Tech policy is nevertheless prohibited if it is offered in exchange for official action.

(2) Prohibited Benefits: A public servant who exercises discretion in connection with contracts, purchases, payments, claims, and other pecuniary transactions of government, commits an offense if he or she solicits, accepts, or agrees to accept any benefit from any person against any person the public servant knows is interested in or is likely to become interested in any contract, purchase, payment, claim, or transaction involving a Texas Tech officer or employee's discretion [PC36.08(d)]. The prohibition does not apply to, (1) gifts or other benefits conferred on account of kinship or a personal, professional, or business relationship independent of the official status of the recipient [PC36.10(a)(2)], (2) a fee prescribed by law to be received by a public servant or any other benefit to which he or she is lawfully entitled or for which he or she gives legitimate consideration in capacity other than as a public servant [PC36.10(a)(1)]; (3) a gift, award, or memento that is received from a lobbyist who is required to make reports under Chapter 305 of the Government Code [PC36.10(a)(5)]; and, (4) items having a value of less than $50, not including cash or negotiable instruments [PC36.10(a)(6)]. A Texas Tech officer or employee who receives an unsolicited benefit that he or she is prohibited from accepting by law may donate the benefit to a governmental entity that has the authority to accept the gift or may donate the benefit to a recognized tax-exempt charitable organization formed for educational, religious, or scientific purposes [PC36.08(i) PC36.08(d); PC36.10(b); EAO 130].

(3) Food, Lodging, Transportation, and Entertainment Received as a Guest: A public servant may accept food, lodging, transportation, or entertainment from persons or entities he or she knows or reasonably should know, are interested in or likely to become interested in a contract, purchase, payment, claim, decision, or transaction involving the exercise of the public servant's discretion only if the public servant is a "guest" as defined by Texas law [PC36.10(b)]. A public servant is a "guest" if the person or a representative of the entity providing the food, lodging, transportation, or entertainment is present at the time the food, lodging, transportation, or entertainment is received or enjoyed by the public servant [PC36.10(b); EAO 130]. Public servants are required to report any such benefits valued at

over $250 on their annual disclosure statements filed with the Texas Ethics Commission [PC36.10(b);EAO 130].

(4) Benefits from Friends, Relatives, and Associates: Public servants may accept benefits from personal friends, relatives, or business associates with whom they have a relationship independent of their official status, so long as the benefit is not offered in exchange for official action or decision [PC36.10(a)(2);EAO 130].

(5) Awards: Public servants may accept plaques and similar recognition awards. (Ethics Advisory Opinion 36 issued by the Texas Ethics Commission)

* Texas Penal Code, as amended through the 73rd Legislative Session (1993), and Ethics Advisory Opinion (issued by the Texas Ethics Commission).

(6) Honoraria: Public servants may not solicit, accept, or agree to accept an honorarium in consideration for services they would not have been asked to provide, but for their official position or duties [PC36.07(a);EAO 17, 19]. This prohibition includes a request for or acceptance of a payment made to a third party if made in exchange for such services [PC36.07;EAO 19]. However, they may accept the direct provision of or reimbursement for expenses for transportation and lodging incurred in connection with a speaking engagement at a conference or similar event [EAO 17]. Meals provided as a part of the event or reimbursement for actual expenses for meals may also be accepted [EAO 17]. Participation by a public servant must be more than merely perfunctory [PC36.07(b)].

7. **Political Activities.***

a. Use of Texas Tech Funds or Property: No public servant shall expend or authorize the expenditure of any Texas Tech funds for the purpose of influencing the outcome of any election, or the passage or defeat of any legislative measure (see TTU OP 62.10).

b. Political Contributions: Public servants may make personal contributions to candidates for office and political organizations, with one exception. A public servant may not expend more than $100 for the cost of correspondence to aid or defeat the election of a Speaker of House of Representatives candidate.

* Appropriations Act as passed by the 73rd Legislature (1993) and Texas Government Code, as amended through the 73rd 1993 Legislative Session

8. **Use of Authority.****

a. Misapplication of Property: It is a violation of state law for a public servant, acting with the intent to obtain a benefit or with intent to harm another, to intentionally or knowingly misapply any thing of value belonging to the government that comes into a public servant's custody or possession by virtue of his or her office [PC39.01(2)(A)].

b. Misuse of Official Information: It is a violation of state law for a public servant if, in reliance on information to which he or she has access in an official capacity and which has not been made public, he or she (1) acquires or aids another to acquire a pecuniary interest in any property, transaction, or enterprise that may be affected by the information; or (2) speculates or aids

another to speculate on the basis of the information [PC39.06].

** Texas Penal Code, as amended through the 73rd Legislative Session (1993)

9. **Sexual Harassment.*****

a. It is the policy of the public servant to maintain a workplace environment that is free of sexual harassment and intimidation.

b. It is a violation of Title VII of the Civil Rights Act of 1964 to engage in sexual harassment. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

(1) Submission to such conduct is made either explicitly or implicitly a term or condition of employment;

*** See TTU OP 10.09, 32.04, and 70.31; also, 42 United States Code ' 2000e-2

(2) Submission to or rejection of such conduct is used as the basis for employment decisions; or

(3) Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

10. **Nepotism.***

Employees are prohibited from appointing, voting for, or confirming the appointment of any person related to such employee within the third degree by consanguinity (blood) or within the second degree by affinity (marriage) when the salary or compensation for such person is to be paid from public funds. Relatives within the third degree by consanguinity include an employee's parent, child, grandparent, sibling, grandchild, great grandparent, uncle, aunt, nephew, niece, and great grandchild. Relatives within the second degree by affinity include employee's spouse; the spouse's parents, grandparents, and siblings; the employee's son or daughter-in-law; and the employee's grandchild's spouse. In addition, employees may not take such action on behalf of any individual who is related to any employee within such degrees. These prohibitions do not apply if the person who is related to the employee has been continuously employed in the office or position for at least thirty days prior to appointment or employment of the employee. If the related person continues in such a position, the employee may not participate in any deliberation or voting on the appointment, reappointment, confirmation of the appointment or reappointment, employment, reemployment, change in status, compensation, or dismissal of the related individual if that action applies only to that individual and is not taken regarding a bona fide class or category of employees.

* See TTU OP 70.08 and the Texas Government Code, as amended through the 73rd Legislative Session (1993).

11. **Affirmative Action.**

Texas Tech officers and employees will not discriminate against any employee or applicant for

employment because of race, color, religion, sex, national origin, age, physical or mental disability, Vietnam Era or Special Disabled Veteran Status. Texas Tech personnel will take affirmative action to provide a nondiscriminatory application process. Such action shall include, but not be limited to the following employment transactions: upgrading, demotion, or transfer; recruitment or recruitment advertising; lay-off or termination; rate of pay or other forms of compensation; and selection for training, including apprenticeship. (See TTU OP 40.01.)

12. **Private Use of University Facilities, Equipment, Supplies, and Services is Prohibited.****

a. It is the intent of the Texas Constitution and the Board of Regents that University facilities, equipment, supplies, and services are to be used only for duly authorized University purposes. Accordingly, the use of University-owned resources or resources for which the University has acquired stewardship responsibilities in which title is vested to others, including but not limited to, buildings, equipment, materials, supplies, telephones, utilities, and services of University personnel for personal purposes, is prohibited. Furthermore, equipment the University owns or is responsible for, shall not be removed from the University premises.

b. Services of Personnel: The use of University personnel for personal work is strictly prohibited. This work includes, but is not limited to, typing and secretarial services on personal and/or private consulting correspondence, running personal errands, and other like personal services.

** See TTU OP 61.01.

Board Minutes, TTU, August 11, 1995

02.01, **Purpose of Texas Tech University Health Sciences Center and Texas Tech University**

1. The role of Texas Tech University is that of a multi-purpose state university with a range of program offerings which provide the opportunity for a liberal education for all students and for professional training at the undergraduate and graduate levels. In addition, the University recognizes the value of the University's participation in community service and the significance of scholarly research leading to effective dissemination of knowledge.

2. The role of Texas Tech University Health Sciences Center is to be a multi-level educational system directed toward:

   ~~1.~~ a. The education of health professionals at both the pre- and post- doctoral levels with additional provision of continuing education for all health professionals;

   ~~2.~~ b. Providing an environment in which research may flourish; and

   ~~3.~~ c. Improving the health care system through clinical service programs in the West Texas region.

02.02, **Honorary Degrees**

1. Honorary degrees conferred by Texas Tech ~~Texas Tech University Health Sciences Center~~ must be recommended by the President to the Chancellor and authorized by the Board of Regents.

2. Honorary degrees may be conferred for public service, scholarship, or other contributions in the public interest.

3. Nominations for honorary degrees may be made by faculty, staff, or members of the Board of Regents.

4. No person actively associated with ~~the Health Sciences Center~~ Texas Tech at the time of the award will be considered for an honorary degree.

5. Honorary degrees will be awarded at Commencement.

6. Nominations will be evaluated by an advisory committee appointed by the President, with administrative, ~~and~~ faculty and student representation, and recommendations will be made to the President.

7. The President will inform the Board of nominations at least one month prior to the Board meeting when candidates are scheduled to be considered for approval.

02.03, **Seating of the Board of Regents at Commencement**

Members of the Board of Regents are expected to participate in the Commencement exercises of Texas Tech ~~Texas Tech University Health Sciences Center~~. A seat on the platform will be provided for each member who attends.

02.04, **The Museum of Texas Tech University**

1. The activities and facilities of the Museum of Texas Tech University are a part of the teaching and research function of the University. Accordingly, the Museum should be supported in order to develop an excellent academic and cultural unit.

2. The West Texas Museum Association will contribute to this development by securing donations of materials and collections of historic, scientific and artistic value. The Association will also serve as a conduit for gifts with which to enlarge the Museum facility.

3. The University will serve as the holder of title to the following properties utilized in the operation of the Texas Tech University Museum:

   a. The Museum building.

   b. Equipment and installations.

   c. All materials and collections purchased with state funds and all materials and collections secured by staff whose salaries are paid by state funds.

   d. All materials and collections specifically donated to the University.

4. The West Texas Museum Association will serve as the holder of title to all materials and collections secured by the efforts of the members of the Association and which have not become a part of any permanent exhibition.

5. The Association will not remove permanently from the campus any collection for which it has title without the approval of the Board of Regents.

6. The Museum will be administered by a Director who shall be recommended by the ~~Executive Vice President and Provost~~ University President to the Chancellor ~~University President~~ and approved by the Board of Regents.

7. The West Texas Museum Association and the Ranching Heritage Association shall have opportunity for providing advice and consultation in the process of selecting the Director of the Museum.

02.05, **Educational Television**

1. The primary mission of KTXT-TV, Channel 5 is to provide educational programs for the Texas Tech community and the community which the University serves.

2. To effect this mission, priority will be given to programming composed of courses carrying academic credit.

3. Careful review will be made of enrichment programming.

03.01. **Building Program**

1. The Office of the Chancellor is authorized to initiate construction projects and to proceed through the completion of the schematic design phase. The Office of the Chancellor is authorized to select an architect for the project, establish a planning budget, and to develop a schematic design for the project.

2. Construction projects in the amount of $300,000 or more for new construction projects, or $600,000 or more for repair and rehabilitation projects require the following actions by the Board of Regents:

   a. Authorization to the Office of the Chancellor to proceed with the project, establish a project budget, approval of the schematic design, and authority to bid the project;

   b. Acceptance of bids and award of contracts; and

   c. Recording of a completion date.

   In the interest of expediting projects, any of the above steps may be combined in the Board approval process.

   Any project whose budget is estimated to exceed the Board approved maximum project budget by greater than 10 percent will be brought back to the Board for approval of the new project budget. This authorization cap of 10 percent will provide consistency between Texas Tech policies and procedures and those of the Coordinating Board with respect to project budget approvals/authorizations.

3. All building renovations not classified as emergency repairs, and construction projects not performed by Texas Tech personnel will be bid in accordance with Section 4, Bidding Methods, unless otherwise approved by the Board, in accordance with Texas Tech policies, state purchasing regulations and applicable laws. The resulting contracts will be executed by the Office of the Chancellor or a designee of the Chancellor. An information list will be provided to the Board of Regents identifying all construction contracts between $50,000 and $600,000, excluding those previously approved by the Board of Regents, as to:

   a. Project name;

   b. Purpose of contract;

   c. Bidders, including potential bidders to whom the proposal was sent;

   d. Bid tally, including successful bidder;

   e. Date of award; and

   f. Contract amount.

4. Bidding Methods.*

   * Derived from V.T.C.A., Education Code, Chapter 51, Subchapter S, Construction and Repair of Permanent Improvements, Sections 51.766 through 51.784.

Board Minutes, TTU, August 13, 1993
Board Minutes, TTU, February 9, 1996
Board Minutes, TTU, April 13, 1998

03.01. **Building Program**

a. Competitive Bidding on Contracts.

(1) Except as otherwise provided in this section, all contracts for the construction of permanent improvements at Texas Tech University will be awarded only after advertising for bids for the contracts in accordance with the University's Operating Policies and Procedures, receiving sealed competitive bids, and awarding of the contract to the lowest responsible bidder.

(2) If a contract awarded is to be recommended for award to other than the lowest bidder, any bidder making a lower bid than the recommended bid shall be notified of the recommendation for award and shall be allowed an opportunity before the award to present evidence to the Board of its designated representative as to the responsibility of that bidder.

b. Competitive Sealed Proposals.

(1) Except as otherwise provided in this policy, the Board of Regents may use competitive sealed proposals to select a contractor for construction services, to select a construction manager, or to award a job-order contract for construction services. The Board shall base its selection or award on a combination of price and other factors that the Board determines provides the best value to the institution.

(2) The University may discuss proposals with offerors after proposals have been opened to allow for clarification and changes; however, the University shall take adequate precautions to ensure that information from competing proposals is not disclosed to other offerors.

c. Design-Build.

(1) Definitions.

(a) "Design-build contract" means a single contract with a design-build firm for the design and construction of a facility.

(b) "Design-build firm" means a partnership, corporation, or other legal entity or team that includes an engineer or architect and builder qualified to engage in building construction in Texas.

(c) "Design criteria package" means a set of documents that provides sufficient information to permit the design-build firm to prepare a response to the University's request for proposals. The design criteria package must specify criteria the University considers necessary to describe the project and may include, as appropriate, the legal description of the site, survey information concerning the site, interior space requirements, special material requirements, material quality standards, conceptual criteria for the project, special equipment requirements, cost or budget estimates, time schedules, quality assurance and quality control requirements, site development requirements, applicable codes and ordinances, provisions for utilities, parking requirements, or any other requirement as applicable.

(2) Texas Tech University may use the design-build method for the construction, rehabilitation, alteration, or repair of a facility. The following procedures will be followed:

Board Minutes, TTU, August 13, 1993
Board Minutes, TTU, February 9, 1996
Board Minutes, TTU, April 13, 1998

03.01. **Building Program**

(a) The Board of Regents may designate an engineer or architect to act as its representative. If the engineer or architect is not a full-time employee of the institution, any engineer or architect designated shall be selected on the basis of demonstrated competence and qualifications in accordance with V.T.C.A., Government Code, Subchapter A, Chapter 2254, as amended or modified.

(b) The University shall prepare a request for qualifications that includes general information on the project site, project scope, budget, special systems, selection criteria, and other information that will assist potential design-build firms in submitting proposals for the project. A design criteria package that includes more detailed information on the project will also be included. If preparation of the design criteria package requires engineering or architectural services, those services shall be provided in accordance with V.T.C.A., Government Code, Subchapter A, Chapter 2254, as amended or modified.

(c) The Board of Regents shall publish the request for qualifications in the manner set forth in the University's Operating Policies and Procedures.

(d) The Board or its representative shall evaluate proposals and select a design-build firm in two phases:

- In phase one, the Board or its representative shall evaluate each offeror's experience, technical competence, and capability to perform, the past performance of the offeror's team and members of the team, and other appropriate factors submitted by the team or firm in response to the request for qualifications, except that cost-related or price-related evaluation factors are not permitted. Each offeror must certify to the Board that each architect or engineer that is a member of the team was selected based on demonstrated competence and qualifications. The Board or its representative shall qualify a maximum of five potential offerors to submit additional information regarding technical proposals, implementation, and costing methodologies in response to a formal request for proposals based on the design criteria package.

- In phase two, the Board or its representative shall evaluate offerors on the basis of demonstrated competence and qualifications, considerations of the safety and long-term durability of the project, the feasibility of implementing the project as proposed, the ability of the offeror to meet schedules, costing methodology, or other factors as appropriate. Detailed engineering or architectural design may not be required to be submitted as part of the proposal. The Board shall select the design-build firm that submits the proposal offering the best value for the institution.

(e) Following selection of a design-build firm under the procedure set forth in the preceding paragraph, the firm's engineers or architects shall complete the design, submitting all design elements to Facilities Planning and Construction for review and determination of scope compliance before or concurrently with construction.

(f) An engineer shall have responsibility for compliance with the engineering design requirements and all other applicable requirements of The Texas Engineering Practice Act (Article 3271a, Vernon's Texas Civil Statutes), as amended or modified. An architect shall have responsibility for compliance with the requirements of Chapter 478, Acts of the 45th Legislature, Regular Session, 1937 (Article 249a, Vernon's Texas Civil Statutes), as amended or modified.

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(g) Texas Tech University shall provide or contract for, independently of the design-build firm, the inspection services, the testing of construction materials engineering, and the verification testing services necessary for the acceptance of the facility by the University. If contracted, these services shall be selected in accordance with V.T.C.A., Government Code, Section 2254.004, as amended or modified.

(h) The design-build firm shall supply a signed and sealed set of construction documents for the project to the institution at the conclusion of construction.

(i) A payment or performance bond is not required for, and may not provide coverage for, the portion of a design-build contract that includes design services only.

d. Construction Manager-Agent.

(1) A construction manager-agent is a sole proprietorship, partnership, corporation, or other legal entity that provides consultation to the institution regarding construction, rehabilitation, alteration, or repair of a facility. A construction manager-agent acts in a fiduciary capacity, except that it may perform general conditions as provided by the contract. The following procedures and requirements apply:

(a) Before or concurrently with selecting a construction manager agent, the Board shall select or designate an engineer or architect who shall prepare the construction documents for the project and who has full responsibility for complying with The Texas Engineering Practice Act (Article 3271a, Vernon's Texas Civil Statutes) or Chapter 478, Acts of the 45th Legislature, Regular Session, 1937 (Article 249a, Vernon's Texas Civil Statutes), as applicable and as amended or modified. If the engineer or architect is not a full-time employee of Texas Tech University, the Board shall select the engineer or architect on the basis of demonstrated competence and qualifications as provided by Section 2254.004, Government Code, as amended or modified.

(b) The Board shall select a construction manager-agent on the basis of demonstrated competence and qualifications in the same manner as provided for the selection of engineers or architects under Section 2254.004, Government Code, as amended or modified.

(c) The Board using the construction manager-agent method shall procure, in accordance with applicable law, a general contractor, trade contractors, or subcontractors who will serve as the prime contractor for their specific portion of the work.

(d) The Board or the construction manager-agent shall procure, in accordance with Section 2254.004, Government Code, as amended or modified, all of the testing of construction materials engineering, the inspection services, and the verification testing services necessary for acceptance of the facility.

e. Construction Manager-At-Risk.

(1) The University may use the construction manager-at-risk method for the construction, rehabilitation, alteration, or repair of a facility.

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03.01. **Building Program**

(2) A construction manager-at-risk is a sole proprietorship, partnership, or corporation or other legal entity that assumes the risk for construction, rehabilitation, alteration, and repair of a facility at the contracted price as a general contractor and provides consultation to Texas Tech University regarding construction during and after design of the facility. The following procedures and requirements apply:

(a) Before or concurrently with selecting a construction manager-at-risk, the Board shall select or designate an engineer or architect who shall prepare the construction documents for the project and who has full responsibility for complying with The Texas Engineering Practice Act (Article 3271a, Vernon's Texas Civil Statutes) or Chapter 478, Acts of the 45th Legislature, Regular Session, 1937 (Article 249a, Vernon's Texas Civil Statutes), as applicable and as amended or modified. If the engineer or architect is not a full-time employee of Texas Tech University, the Board shall select the engineer or architect on the basis of demonstrated competence and qualifications as provided by Section 2254.004, Government Code, as amended or modified.

(b) The Board shall provide or contract for, independently of the construction manager-at-risk, the inspection services, the testing of construction materials engineering, and the verification testing services necessary for acceptance of the facility. If contracted, these services shall be selected by the Board in accordance with Section 2254.004, Government Code, as amended or modified.

(c) The Board shall prepare a request for competitive sealed proposals that includes general information on the project site, project scope, schedule, selection criteria, estimated budget, the time and place for receipt of proposals, and other information that may assist the Board in its selection of the construction manager-at-risk. The construction manager's proposed fee and its price for fulfilling the general conditions shall be included. The selection criteria will be included in the request for proposals, and will include the offeror's experience, past performance, safety record, and proposed personnel and methodology, or other appropriate factors demonstrating the construction manager's capability.

(d) The Board shall publish the request for proposals in the manner set forth in the University's Operating Policies and Procedures.

(e) The Board may prequalify offerors before proposals are submitted. Prequalification may not be a conclusive determination that an offeror offers the best value to the institution, and a prequalified offeror may be rejected on the basis of subsequently discovered information. A failure to prequalify does not bar a subsequent determination that an offeror offers the best value with respect to a given proposal.

(f) The Board will receive, publicly open, and read aloud the names of the offerors and the monetary proposals. Within 45 days after the date of opening the proposals, the Board shall evaluate and rank each proposal submitted in relation to the criteria set forth in the request for proposals.

(g) The Board shall select the offeror that offers the best value to the institution based on the published selection criteria and on its ranking evaluation. If unable to reach a contract agreement with the selected offeror, discussions shall terminate and proceed to the next offeror in the order of the selection ranking until a contract agreement is reached or all proposals are rejected.

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(h) A construction manager-at-risk shall publicly advertise and solicit either competitive bids or competitive sealed proposals from trade contractors or subcontractors for the performance of all major elements of the work other than the minor work that may be included in the general conditions. A construction manager-at-risk may seek to perform portions of the work itself if the construction manager-at-risk submits its bid or proposal for those portions of the work in the same manner as all other trade contractors or subcontractors, and if the Board determines that the construction manager-at-risk's bid or proposal provides the best value for the institution.

(i) The construction manager-at-risk and the Board or its representative shall receive and open all trade contractor or subcontractor bids or proposals in a manner that does not disclose the contents of the bid or proposal during the selection process. All bids or proposals shall be made public within seven days after the date of final selection.

(j) If the construction manager-at-risk reviews, evaluates, and recommends to the Board a bid or proposal from a trade contractor or subcontractor but the Board requires another bid or proposal to be accepted, Texas Tech University shall compensate the construction manager-at-risk by a change in price, time, or guaranteed maximum cost for any additional cost and risk that the construction manager-at-risk may incur because of the requirement that another bid or proposal be accepted.

f. Competitive Sealed Proposals.

(1) Competitive sealed proposals may be used for construction, rehabilitation, alteration, or repair services for a facility. The following procedures and requirements apply:

(a) The Board shall select or designate an engineer or architect to prepare construction documents for the project. The selected or designated engineer or architect has full responsibility for complying with The Texas Engineering Practice Act (Article 3271a, Vernon's Texas Civil Statutes) or Chapter 478, Acts of the 45th Legislature, Regular Session, 1937 (Article 249a, Vernon's Texas Civil Statutes), as applicable and as amended or modified. If the engineer or architect is not a full-time employee of the institution, the Board shall select the engineer or architect on the basis of demonstrated competence and qualifications as provided by Section 2254.004, Government Code, as amended or modified.

(b) The Board shall provide or contract for, independently of the contractor, the inspection services, the testing of construction materials engineering, and the verification testing services necessary for acceptance of the facility. If contracted, the Board shall select these services in accordance with Section 2254.004, Government Code, as amended or modified.

(c) The Board shall prepare a request for competitive sealed proposals that includes construction documents, selection criteria, estimated budget, project scope, schedule, and other information required to respond to the request. The Board shall state the selection criteria in the request for proposals, which may include the offeror's experience, past performance, safety record, proposed personnel and methodology, and other appropriate factors demonstrating the contractor's capability.

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(d) The Board shall publish the request for proposals in the manner set forth in the University's Operating Policies and Procedures.

(e) The Board may prequalify offerors before proposals are submitted. Prequalification may not be a conclusive determination that an offeror offers the best value to the institution, and a prequalified offeror may be rejected on the basis of subsequently discovered information. A failure to prequalify does not bar a subsequent determination that an offeror offers the best value with respect to a given proposal.

(f) The Board will receive, publicly open, and read aloud the names of the offerors and the monetary proposals. Within 45 days after the date of opening the proposals, the Board shall evaluate and rank each proposal in relation to the public selection criteria.

(g) The Board shall select the offeror that offers the best value based on the published selection criteria and on its ranking evaluation. The Board and its engineers or architect may discuss options for cost reduction with the selected offeror. If unable to reach a contract agreement with the selected offeror, the Board shall terminate further discussions and proceed to the next offeror in the order of the selection ranking until a contract agreement is reached or all proposals are rejected.

(h) In determining best value for the University, the Board is not restricted to considering price alone but may consider any other factor stated in the selection criteria.

g. Job Order Contracts for Facilities Repair.

(1) Texas Tech University may award job order contracts for the minor repair, rehabilitation or alteration of a facility if the work is of a recurring nature but the delivery times are indefinite and indefinite qualities and orders are awarded substantially on the basis of prescribed and prepriced tasks.

(2) The Board shall advertise for, receive, and publicly open competitive sealed proposals for job order contracts based on time and material rates for various types and classifications of work. The rates under a job order contract shall be in effect for at least six months and for not longer than two years.

(3) The Board may require offerors to submit additional information besides rates, including experience, past performance, and proposed personnel and methodology.

(4) The Board may award job order contracts to one or more contractors based on price proposals, experience, past performance, proposed personnel, methodology and safety record, and other appropriate factors.

(5) An order for a job or project under the job order contract must be signed by the Board's representative and the contractor. The order may be a fixed price, lump-sum contract based on a statement of work negotiated between the Board or its representative and the contractor, or the order may be a unit price order based on estimated quantities. The contractor shall provide payment and performance bonds, if required by law, based on the amount or estimated amount of any order.

5. For all bidding methods outlined in Section 4, Building Methods, above, when the Board of Regents in authorized to act through a representative, the Office of the Chancellor shall serve as said representative.

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03.01, **Building Program**

6. If a renovation or construction project as defined in Section 2. is considered an emergency, the Chair of the Board of the Chair of the Facilities Committee may approve steps 2.a. and 2.b.

7. The schedule of wage rates included in the bid specifications for projects other than maintenance projects, as required under V.T.C.A., Government Code, Section 2258.021, as amended or modified, will be the wage schedule established and currently used by the city for work of similar character and where the work is to be performed.

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03.02, **Naming of ~~TTUHSC~~ Texas Tech Buildings and Facilities**

1. The naming of buildings, auditoriums, rooms, laboratories, streets, athletic fields, land masses, and other facilities on the Texas Tech ~~University Health Sciences Center (TTUHSC)~~ campus and its outlying campuses shall be reserved to the Board of Regents for final approval.

   ~~All designations involving the above to be named for individuals, foundations, and corporations must receive final approval from the Board of Regents before said designation can be announced.~~

   a. **Academic Buildings** shall be named on the basis of the major academic use of the building. All new buildings should be named, wherever practicable, by the time the preliminary architects drawings are approved. Any name changes of existing buildings should be determined as far as possible ahead of occupancy.

   b. **Residence Halls** may be named for a person, provided the individual is not actively connected with ~~TTUHSC~~ Texas Tech at the time the building is named.

   c. **Subunits of Buildings** (Auditoriums, Offices, Reading Rooms, Libraries, Conference Rooms, Laboratories, etc.) may be named after an individual who, as an employee, has provided exemplary service to ~~TTUHSC~~ Texas Tech or who, as a volunteer, has avidly pursued a program of excellence for a department, school, college or for ~~TTUHSC~~ Texas Tech. An individual, foundation, or corporation wishing to expand the facilities of ~~TTUHSC~~ Texas Tech may have an area named after the donor provided fifty (50) percent of the designated area and/or equipment therein is provided by the donor.

   d. **Streets and Designated Landscape Areas of the Campus** may be named after individuals or groups of individuals who have brought honor and distinction to the institution.

   e. **Athletic and Recreational Facilities or Areas** may be named after a donor(s) or family who wish to donate a substantial contribution toward the cost of the project (normally a minimum of 50 percent).

2. In no case shall a campus site, structure or facility bear the name of more than two (2) individuals or one foundation or corporation.

3. In the case of subunits of buildings the ~~President~~ Chancellor is authorized to approve the naming of such units with the concurrence of the Board of Regents.

4. All designations involving the above to be named for individuals, foundations, and corporations must receive final approval from the Board of Regents before said designation can be announced.

5. Exceptions to the above sections may be made by the Board of Regents when it is determined that a building should be named for a major donor or other person deserving special attention.

03.03, **Use of ~~TTUHSC~~ Texas Tech Space and Facilities**[1]

1. Texas Tech ~~University Health Sciences Center (TTUHSC)~~ space and facilities for ~~TTUHSC~~ Texas Tech functions are available according to the following priorities:

   a. Regular institutional programs.

   b. Programs sponsored and conducted by ~~TTUHSC~~ Texas Tech academic and administrative departments or organizations which are affiliated with such departments.

   c. Activities which have as their purpose, service or benefit to the entire health professional community or to the entire Texas Tech community and which are sponsored by registered student organizations.

2. ~~University~~ Texas Tech space and facilities are not available for use by nonregistered student groups or off-campus groups or organizations.

~~2.~~ 3. Off-campus health professional groups may attend functions at TTUHSC and may utilize TTUHSC space as approved by the ~~Executive Vice President and Provost~~ President or his designee. Off-campus persons may attend functions on ~~University~~ Texas Tech property, but such functions must be sponsored by and be affiliated with ~~University~~ a Texas Tech department or registered student organization.

4. A department or registered student organization may not gain permission to use space or facilities on campus and then permit the space or facilities to be utilized by any other person, organization or off-campus group. The penalty for violation of this provision may include forfeiture of the privilege of using ~~University~~ Texas Tech space or facilities for a period of time not to exceed one year.

~~3.~~ 5. Office space and other assistance including, but not limited to, utilities, telephone service, custodial service, maintenance and use of ~~TTUHSC~~ Texas Tech services may be provided to non-profit organizations which exist for the purpose of supporting the educational undertaking of ~~TTUHSC~~ Texas Tech and thereby serve a public purpose and where the provision of this assistance is not otherwise prohibited by law. Organizations authorized for this support are:

   West Texas Museum Association
   Ranching Heritage Association
   Ex-Students Association
   Dads Association
   Texas Tech Foundation
   ~~Texas Tech Medical Foundation~~
   Texas Tech University Federal Credit Union

6. The Jones Stadium, baseball field, R.P. Fuller track facilities, and other facilities under the control of the Athletic Department are available for the following uses:

   a. Athletic Department events.

   b. Texas Tech Band and Spirit activities.

   c. High School Band Day.

   d. Texas High School All-Star football games

03.03, **Use of ~~TTUHSC~~ Texas Tech Space and Facilities**[1]

e. High school playoff games.

f. Physical Education classes.

g. Intramural playoffs between leagues.

h. Academic convocations of Texas Tech.

Responsibility for expenses incurred for cleaning, provision for security officers and any other expenses will be mutually determined by the Director of Athletics and the activity proposing to use the facility.

The Athletic Director is responsible for determining use of the athletic facilities within the above policy.

03.04, **Use of Loudspeaker Equipment**

1. Sound amplification devices may be used within the confines of ~~Texas Tech University Health Sciences Center~~ Texas Tech only upon the approval of the ~~Executive Vice President and Provost~~ President or his designee.

2. Sound amplification devices may be used at Texas Tech ~~University Health Sciences Center~~ for outdoor student assemblages under the following conditions, as well as others which may be prescribed by the ~~Executive Vice President and Provost~~ President or his designee; ~~with the provision that no disturbance to classes or disruption to the normal activities of TTUHSC may result.~~

   a. No disturbance to classes or disruption to the normal activities ~~in~~ of Texas Tech or Texas Tech University residence halls may result.

   b. Outdoor dances utilizing sound amplification devices may be held in approved locations only on Friday and Saturday nights and must terminate by 1:00 a.m. Bands may use their own equipment at such dances.

03.05, **On Campus Speakers** ~~o~~

1. This policy applies to all persons who wish to speak within the physical confines of ~~the Health Sciences Center~~ Texas Tech unless such person is a regular employee or student of Texas Tech University or Texas Tech University Health Sciences Center or both. Members of the Board of Regents are also exempt from the application of this policy.

2. No one shall be denied the right to speak within the physical confines of Texas Tech ~~University Health Sciences Center~~ solely because the views sought to be advocated differ from those of the Board of Regents, its members, the Chancellor, the ~~University~~ President or another officer or employee of ~~the Health Sciences Center~~ Texas Tech.

3. Access to speak within the physical confines of Texas Tech ~~University Health Sciences Center~~ shall be denied to those who are likely to advocate:

   a. Lawlessness or disregard for the laws of the United States or the State of Texas; or

   b. A change to the laws of the United States or the State of Texas, by other than constitutionally or statutorily prescribed processes; or

   c. The violent overthrow of the government of the United States or the State of Texas.

   In determining the likely conduct of speech of the proposed speaker, consideration shall be given to past performance of the proposed speaker.

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o Also see Board Policy 03.03, Use of ~~TTUHSC~~ Texas Tech Space and Facilities

03.06, Distribution of Handbills, Leaflets and Advertising Materials

1. Individuals and organizations, other than students, faculty, staff and organizations consisting solely of members of one or more of these classes of individuals, may not distribute handbills, leaflets or any other form of advertising media on campus.

2. Advertising by such individuals and organizations, even if conducted through student representatives, must be restricted to that which is allowed in the advertising policies of ~~University's~~ Texas Tech publications, such as *The University Daily* and *La Ventana*, or the University's Athletic Departments.

~~2~~ 3. Individuals and organizations hereinbefore described may make advertising media available to students, faculty and staff by utilizing the U.S. mail.

~~3~~ 4. Students, faculty, staff and organizations consisting solely of members of one or more of these classes of individuals may distribute advertising media on campus as long as it is:

   a. Within the bounds of good taste;

   b. Not in contravention of a published policy, a state or federal law; or

   c. Not inaccurate.

~~4~~ 5. Media otherwise permissible under this policy which is to be distributed by an individual or group otherwise authorized under this policy may not be distributed by placement on or around automobiles parked or in motion in the physical confine of Texas Tech ~~University Health Sciences Center~~.

~~5~~ 6. The ~~President of Texas Tech University Health Sciences Center~~ Chancellor is authorized to promulgate policies which may be necessary to effectuate the purpose of this policy or to otherwise provide for the orderly conduct of the academic institution.

03.07, Solicitations

1. Solicitation is defined as requesting money, seeking a pledge or agreement to pay, taking subscriptions, or selling merchandise, tickets or future interests.

2. On-campus solicitations may be conducted only by students, faculty, staff or student organizations as demonstrated by a current and valid student or faculty/staff identification card.

3. No solicitation is permitted within ~~the Health Sciences Center~~ Texas Tech buildings ~~(Lubbock) or its Regional Academic Health Centers (Amarillo, El Paso, and Odessa).~~ , except in the University Center, University Bookstore and residence halls.

4. Solicitations in the University Center and University Bookstore must be conducted under the terms and conditions established by these entities. The terms and conditions shall give weight to these criteria: compatibility of the solicitation activity with the educational purpose of the institution, compatibility of the solicitation activity with the orderly operation of the Center or Bookstore and the availability of space.

5. Solicitations in the residence halls must be conducted entirely from within the student's room or in an assigned public area. Solicitations within the student rooms require the consent of the roommate(s), and there may be no parties or group demonstrations to advertise a product. There can be no advertising on room doors or within the residence halls. Application for permission for solicitation privileges in the residence halls should be referred to the Office of the Dean of Students.

~~4.~~ 6. A request to solicit off campus in the name of Texas Tech ~~University Health Sciences Center (TTUHSC)~~ or one of its affiliated organizations may be made by students, faculty, staff or a student organization to the ~~Executive Vice President and Provost~~ appropriate President.

~~5.~~ 7. An on-campus solicitation may be made by an organization not associated with ~~TTUHSC~~ Texas Tech if the organization is sponsored by a registered student organization and if the solicitations are for a community-wide benefit such as a symphony or for recognized and established charitable purposes.

~~6.~~ 8. This policy does not apply to:

a. Canvassing of membership by campus organizations. The canvassing of their own membership by campus organizations in money-raising projects or in the sale of tickets to programs sponsored by them to their own membership is recognized as a permissible privilege which does not require approval through the procedures established in the policy. If the request for money is made to persons other than members of the organization, such as the sale of tickets at the door to the general public, the entire solicitation is not exempted and is subject to approval as a solicitations project.

b. Use of public agencies. Solicitations are permitted through such public agencies as the U.S. Postal Service and advertisements in local newspapers, which include the *University Daily*, are not within the jurisdiction of this policy.

c. ~~TTUHSC~~ Texas Tech components. Occasionally ~~TTUHSC~~ Texas Tech departments may wish to sponsor activities which have an educational value for students at ~~TTUHSC~~ Texas Tech. Such activities by ~~TTUHSC~~ Texas Tech departments should be approved by appropriate ~~TTUHSC~~ Texas Tech authorities.

03.07, Solicitations

d. Solicitations by the Ex-Students Association within the Ex-Students Association Building, the Texas Tech Museum, and contract vending machines.

9. The ~~President~~ Chancellor is responsible for the administration of this policy.

03.08, **Solicitations and Sale of Publications on Campus**

1. Solicitations for and sale of publications shall be conducted only to produce a direct and real benefit to ~~the Health Sciences Center~~ Texas Tech in fulfilling its primary educational mission.

2. If the principal purpose of the solicitation project is to raise money, then the proposed use for the money so raised must be identified and the benefit to the educational, intellectual or cultural growth or development of ~~the Health Sciences Center~~ Texas Tech or its faculty, staff or students specified.

3. Where the principal purpose of the solicitation is other than to raise money, a determination will be made as to whether the solicitation project will be approved based on the contribution of the project to the educational, intellectual, or cultural growth or development of ~~the Health Sciences Center~~ Texas Tech, its faculty, staff or students.

03.09, **Military Recruitment and Activity**

1. Facilities of ~~the Health Sciences Center~~ Texas Tech are available for reasonable use by recruiters for the military services of the United States.

2. The establishment of programs whereby students are members of the military while enrolled and attending classes is encouraged.

03.10, Authority to Control Traffic

1. The ~~President~~ Chancellor of Texas Tech ~~University Health Sciences Center~~ shall have the power, authority, and responsibility to make any and all rules and regulations for the control and management of traffic of all kinds and types on and over the campuses of Texas Tech. ~~University Health Sciences Center located in the City of Lubbock, Lubbock County, Texas.~~

2. Every regulation, designation, delineation or determination, as the case may be, promulgated by the ~~President~~ Chancellor of Texas Tech ~~University Health Sciences Center~~ pursuant to this authority will be in writing, or by a map or plat, and filed with the Secretary of the Board of Regents. Such writing, map or plat, shall constitute a public record and all persons shall be charged with notice of the contents of the same.

3. Any person failing or refusing to comply with the directions indicated on any sign, marker, or other visible regulatory device, or with other regulatory action taken in accordance with the provisions of this policy shall be subject to any appropriate action in accordance with the applicable law of the State of Texas.

03.11. Traffic and Parking Regulations

1. **Introduction.**

These regulations are established by Texas Tech University and Texas Tech University Health Sciences Center campuses in order to facilitate the safe and orderly conduct of University business and to provide registered vehicles parking space as conveniently as possible within the limits of space available. Operating a motor vehicle on campus is a privilege and is conditioned, in part, on complying with these rules and regulations.

2. **Applicability of State General and Criminal Laws.**

Article 51.201 of the *Texas Education Code* provides that: "All the general and criminal laws of the state are declared to be in full force and effect within the areas under the control and jurisdiction of the state institutions of higher education of this state."

3. **Authority of Board of Regents to Make Rules and Regulations.**

Article 51.202 of the *Texas Education Code* provides as follows: "Rules and Regulations: Penalty --

a. The governing board of each state institution of higher education, including public junior colleges, may promulgate rules and regulations for the safety and welfare of students, employees, and property, and other rules and regulations it may deem necessary to carry out the provisions of this subchapter and the governance of the institution, providing for the operation and parking of vehicles on the grounds, streets, drives, alleys and any other institutional property under its control including, but not limited to, the following:

(1) Limiting the rate of speed;

(2) Assigning parking spaces and designating parking areas and their use and assessing a charge for parking;

(3) Prohibiting parking as it deems necessary;

(4) Removing vehicles parking in violation of institutional rules and regulations or law at the expense of the violator; and,

(5) Instituting a system of registration for vehicle identification including a reasonable charge.

b. A person who violates any provision of this subchapter or any rule or regulation promulgated under the authority of this subchapter is guilty of a misdemeanor and on conviction is punishable by a fine of not more than $200."

4. **General Regulations for Traffic and Parking.**

a. Texas Tech is committed to the principle that in no aspect of its programs shall there be differences in the treatment of persons because of race, creed, national origin, age, sex, or disability, and that equal opportunity and access to facilities shall be available to all.

b. Due to the diverse nature of operations between the University and the Health Sciences Center campuses, it is necessary to have certain regulations that pertain to the specific institution; these are included as Attachment A for the University. Following are the regulations that apply to Texas Tech as defined in c.(1) below.

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03.11. Traffic and Parking Regulations

c. **Definitions**

(1) The campus is defined as all lands owned, managed, or otherwise controlled by the University and the various Health Sciences Center campuses, herein called "Texas Tech."

(2) Impoundment refers to the actual towing of a vehicle or immobilizing a vehicle by means of an "Auto-Boot."

(3) A visitor is an individual with no official connection with Texas Tech as a student, faculty, or staff member.

(4) A valid parking space is defined as an area designated on three sides by lines and/or posts, curbs, or other types of barriers.

d. Texas Tech makes every effort to provide protection for vehicles parking on campus, but cannot assume responsibility for any loss.

e. The person to whom a vehicle is registered with Texas Tech is responsible for all violations of the parking rules. If a vehicle is not registered with Texas Tech, and a family member is a currently enrolled student, it shall be presumed that the student is the operator of the vehicle and is responsible for all violations of the parking rules and is, therefore, subject to all Texas Tech traffic rules, policies, and penalties, associated with monetary obligations owing Texas Tech.

f. Pedestrians in crosswalks will be given the right-of-way at all times.

g. Speed limits on campus are radar and/or lidar enforced.

h. No person shall drive, cause or permit a vehicle to be driven on Texas Tech property at a speed greater than is reasonable and prudent under the circumstances then existing, but any speed in excess of the posted limits shall be prima facie evidence that the speed is not reasonable and prudent and that it is unlawful:

Speed Limits:

(1) Campus Streets: Twenty miles per hour unless otherwise posted.

(2) Parking Lots: Ten miles per hour unless otherwise posted.

i. Inoperable vehicles are to be reported to the Texas Tech Police as soon as possible. Operators should identify their problem immediately and follow the instructions given.

j. The campus is restricted for use as described in these regulations. Any vehicle in violation of the regulations or not having a valid Texas Tech registration permit properly displayed may be issued a campus citation.

k. These regulations apply to all persons who operate vehicles on Texas Tech property.

l. The Chief of the Texas Tech Police Department, the Director of Accounting Services at the Health Sciences Center (responsible for managing the parking function on that campus), and the Manager of Traffic and Parking Services on the University campus are responsible for the implementation and the just and proper enforcement of these regulations.

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03.11. Traffic and Parking Regulations

m. **Skates and Skateboards on the Campus of Texas Tech.**

(1) No person may skate or use a skateboard:

(a) On or in any University buildings, structures, stairways, elevated side-walks, access ramps, steps, retaining walls, handrails, malls, benches, fountain areas or other architectural elements;
(b) On or in planting areas, grass area or seeded areas;
(c) On streets open for vehicular traffic;
(d) Where prohibited by sign, by police officer, or where otherwise prohibited by law; or
(e) In a manner that is incompatible with the flow of vehicular or pedestrian traffic.

(2) No person may use a skateboard in such a way that it is;

(a) Not under the control of the user; or
(b) Operated in an unsafe manner.

(3) No person who is skating or using a skateboard may fail to yield the right-of-way to;

(a) A pedestrian;
(b) A bicyclist;
(c) A motor vehicle; or
(4) A wheelchair or other device designed for the transport of persons with disabilities.

Pursuant to Section 51.202, Texas Education Code, a person who violates any provision of this regulation is guilty of a misdemeanor and upon conviction is punishable by a fine of not more than $200.

5. Vehicle Registration.

a. In order to operate or benefit from the use of a motor vehicle on campus, each member of the Texas Tech community must obtain in his or her name, a vehicle registration permit. No person may register a motor vehicle in his or her name which belongs to another student, faculty, or staff member. Violation of the Traffic and Parking Regulations is prohibited by the *Student Affairs Handbook* and by Texas Tech policy.

b. Students are required to register each motor vehicle to be operated on campus at the time they register for school or at the time they commence operating a motor vehicle on campus.

c. Faculty and staff are required to register their motor vehicles on or before the date they commence operating a vehicle on campus. Faculty and staff who share a motor vehicle where one is employed at the University and the other at the Health Sciences Center, must register at each campus if they intend to park at both campuses.

d. Faculty and staff, whose dependents are students, may allow those dependents to register a commonly operated motor vehicle for a student permit in addition to the reserved permit. If the faculty or staff member has two motor vehicles registered, and if both motor vehicles are on campus at the same time, the motor vehicle with the student permit must be parked in the designated student parking area and not in either the faculty or staff member's reserved space or in the time limit areas on campus.

e. Any person giving false information when registering a vehicle is subject to appropriate disciplinary action and revocation of their motor vehicle registration permit and related parking privileges.

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f. Texas Tech issues two types of registration permits, nontransferable and transferable.

(1) **Nontransferable Permits.**

Nontransferable permits must be permanently affixed to the front windshield in the lower corner of the driver's side. All such permits are self-adhering and application in any other manner may subject the motor vehicle to ticketing. Vehicle registration is not complete until the permit is properly and completely affixed to the vehicle of record.

(2) **Transferable Permits.**

Transferable permits are designed and intended to be hung from the rearview mirror. The purpose of these permits is to allow the owner to move them from vehicle to vehicle; the permit MUST be displayed on the motor vehicle parked on campus. Be sure to contact Traffic and Parking personnel if you have any problems with your transferable permit. Texas Tech Police recommend you properly secure your vehicle and any valuables contained therein.

(3) All outdated Texas Tech registration permits must be removed from the motor vehicle(s) prior to installation of the current year permit.

g. Lost or stolen permits should be reported as soon as possible to the Texas Tech Police or the appropriate Traffic and Parking Office. The recovery of a lost or stolen permit must be reported immediately to the Texas Tech Police or the appropriate Traffic and Parking Office.

h. **Replacement Permits.**

(1) Replacement for a nontransferable permit will be issued when identifiable remnants or proof of loss or destruction of the permit are provided. A fee of $2.00 will be charged for each replacement permit.

(2) Replacement for a transferable permit which is reported lost or stolen will be issued for $5.00 the first time and $10.00 the second time; thereafter, the cost will be the full price of the permit.

i. Persons who hold nontransferable reserved registration permits and are assigned reserved spaces may obtain one duplicate permit at no additional charge. One additional permit may be purchased for $2.00. Duplicate permits do not allow for more than one motor vehicle to be on campus during the reserved period.

j. Persons who hold Health Sciences Center registration permits and are assigned to reserved or area reserved spaces may also park on the University campus in Visitor and Time Limit spaces. University reserved and area reserved permits will be honored in Health Sciences Center Patient and Visitor parking spaces. Parking is restricted to use in the individual's capacity as an employee which does not include going to class.

k. Upon termination of employment with Texas Tech, an employee's parking privileges are revoked. If the registration permit(s) is returned to the appropriate Traffic and Parking Office, the refund in effect at the time it is returned will be issued.

6. **Parking Enforcement, Parking Violations, and Sanctions.**

a. Parking is governed by markers and traffic signs. Parking is permitted only in areas clearly identified for parking.

b. The absence of "No Parking" signs does not imply that parking is allowed. Street parking is prohibited except where signs indicate parking is permitted.

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03.11. Traffic and Parking Regulations

c. The following illegal parking acts may result in a citation being issued:

Violation	Fine
*(1) Parking in nondesignated areas.	$15
(2) Permit not properly installed.	10
*(3) Parking in a fire lane.	25
(4) Failure to remove expired permit(s).	10
*(5) Parking in a no-parking or tow-away zone.	15
*(6) Parking in service vehicle spaces, service drives or access drives.	15
*(7) Unauthorized parking in reserved parking spaces.	25
*(8) Obstructing traffic, street, sidewalk, crosswalk, driveway, trash container, building entrance or exit, or space and/or curb cut designed to aid persons with disabilities.	25
*(9) Parking overtime in a time limit zone.	10
*(10) Parking bicycle in violation of these regulations.	10
(11) Parking a motor vehicle beyond the lines of a parking space.	10
*(12) Parking in reserved zones without proper permit.	15
(13) Parking on wrong side of street facing oncoming traffic.	15
*(14) Parking without a valid permit.	25
*(15) Parking a motor vehicle upon any unmarked (including turf) or unimproved ground area which has not been designated for parking.	25
*(16) Parking in a space or area designated for persons with disabilities without the proper insignia.	100
*(17) Blocking an access ramp or curb cut designed to aid persons with disabilities.	100
*(18) Display or use of a lost, stolen, forged, or altered permit. Such violation may result in the responsible party/parties being referred to the appropriate office for disciplinary action which may include the loss of parking privileges for the remainder of the academic year.	50
(19) Other parking violations as defined on the face of the citation.	10

* Impoundable offenses

d. In the State of Texas, motorcycles, mopeds and bicycles are subject to the same rules and regulations as automobiles. Operators are subject to a moving violation, to be adjudicated in a court of competent jurisdiction as provided in the *Texas Education Code*, Article 51.208, for failing to comply with the official Texas Motor Vehicle Laws and these Regulations. Examples of the most common bicycle violations are:

(1) Riding on sidewalks or other prohibited areas;

(2) Failing to stop at stop signs and red lights;

(3) Failing to yield right-of-way to pedestrians in crosswalks;

(4) Operating bicycle without proper lights and reflectors when required; and

(5) Failing to drive on the right side of the roadway.

The maximum fine for violation of these STATE LAWS is $500.00.

e. Motorcycles and mopeds must be parked in areas designated for parking of such vehicles. Motorcycles and mopeds are not permitted to park in time limit areas .

f. All motorcycle registration permits are issued for the academic year. They may be purchased at any time during the year at a rate that is prorated monthly (see schedule in Attachment A).

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g. Bicycles should be parked in racks whenever available. Use of shrubs, trees, or any architectural structures to secure bicycles is prohibited. Bicycles are not permitted in Texas Tech academic or administrative buildings. Any bicycle found in violation of this subsection may be impounded. The normal impoundment fee is $40.00. THE IMPOUNDMENT FEE DOES NOT INCLUDE THE COST OF THE CITATION OR ANY APPLICABLE STORAGE FEES (see section 8.a.(1) and (2).

h. No person shall operate a bicycle or any other vehicle upon a sidewalk or sidewalk area except those vehicles expressly designed for the transport of persons with disabilities and bicycles operated by officers of the Texas Tech Police Department when necessary to fulfill their lawful duties.

i. Bicycle registration is encouraged and conducted free of charge, 24 hours a day, at the Texas Tech Police Department. In addition to registration services, the Texas Tech Police Department offers a Bicycle Safety course. The course is available to any campus user. The goals of the course are to enhance safety and awareness through education and training. Additional information concerning this course is available by contacting the Texas Tech Police Department at 742-3931.

j. **Moving Violations.**

(1) All the general and criminal laws of the state are declared to be in full force and effect within the areas under the control and jurisdiction of the state institutions of higher education of this state, Article 51.201, *Texas Education Code*. All violations as set forth above may be adjudicated in a court of competent jurisdiction as provided in the *Texas Education Code*, Article 51.208.

(2) All violations as set forth in ordinances enacted by the City of Lubbock, Texas, may be adjudicated in Municipal Court, 10th Street and Avenue J, Lubbock, Texas.

(3) It shall be unlawful for any person to drive, operate, push, park or leave standing a motor vehicle on any area of the campus not designated for driving such a motor vehicle.

(4) It shall be unlawful for any person to drive by, through or beyond a barricade or a roadblock that is lawfully erected.

(5) No person shall willfully fail or refuse to comply with any lawful order or direction of any police officer invested by law with authority to direct, control, or regulate traffic.

7. **Resolving Citations.**

Citations for parking violations may be resolved in one of the following ways:

a. Pay the stated fee for each citation. If payment is not received within (10) ten calendar days, an additional $5.00 charge will be assessed.

b. Appeal the citation in writing, within (10) ten calendar days of the alleged violation through the individual designated as the Supervisor of Parking Appeals for University violations or the Traffic and Parking Office at the Health Sciences Center for violations that occur there.

c. The Presidents shall provide equitable and efficient appeals processes through the establishment of Parking Violation Appeals and Parking Policy Advisory Committees. Written appeals will be provided to the appropriate Appeals Committee when there is a significant dispute over the facts or major extenuating circumstances.

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d. After a period of (10) ten days from the date of issuance of the citation or from the date of final determination of an appealed citation, citations not resolved through the appropriate Traffic and Parking Office will be overdue. Overdue citations may subject the permit holder's motor vehicle(s) to impoundment and removal of the parking permit(s). Overdue citation(s) may result in restriction of subsequent academic registration and withholding of a student's transcript at Texas Tech until such time as the obligation is satisfied. Parking and these restricted services may be restored when all overdue citations have been resolved. At the discretion of Texas Tech, overdue citations may be adjudicated in a court of competent jurisdiction in accordance with Article 51.208 of the *Texas Education Code*.

e. Notice of violation for motor vehicles without permits and returned notices of violation will be sent to the address on file with the Texas Department of Transportation, Division of Motor Vehicles.

f. Four valid violations of the Traffic and Parking Regulations within the academic year may result in the revocation of the individual's parking privileges for a period of 90 days. If, at the end of the 90 days, the individual's parking privileges are restored, a single violation of the Regulations may result in permanent revocation for the academic year.

   (1) All citations must be resolved before any parking privileges are restored.

   (2) The revocation period shall commence with the return of the registration permit(s) to the appropriate Traffic and Parking Office.

8. **Impounding Vehicles.**

a. When a vehicle has been impounded, it will be necessary for the operator of the vehicle to contact the appropriate Texas Tech parking dispatcher for release. Prior to the release of the impounded vehicle, satisfactory arrangements for payment shall be made.

   (1) The normal impoundment fee is $40.00. THE IMPOUND FEE DOES NOT INCLUDE THE COST OF THE CITATION. Some fees may be higher, depending on the vehicle impounded and the wrecker service used.

   (2) Vehicles impounded will be charged storage at the rate of $6.00 per day including tax, commencing 24 hours after impoundment.

   (3) The maximum storage fee to be charged is $130.00 per month, including tax.

b. If the owner or driver of a motor vehicle to be impounded arrives before impoundment has begun, the vehicle will not be impounded. If the owner or driver arrives after impoundment, the vehicle will not be impounded if the driver opts to pay the tow truck driver or Texas Tech parking enforcement personnel a fee of $17.50 (payable in a manner acceptable to either the towing company or Texas Tech) in lieu of impoundment.

c. If a motor vehicle or bicycle is parked on Texas Tech property and is not moved for a period of 30 days, Texas Tech may deem the same to be abandoned. Abandoned motor vehicles or bicycles may be impounded and disposed of in the manner prescribed by law. This includes those motor vehicles which have a valid registration permit.

d. No personal property or vehicles (including boats, trailers, motor homes, etc.) shall be permitted to be stored on the campus without permission from the appropriate Traffic and Parking Office.

e. The owner of any vehicle that has been damaged or dismantled to the extent that it is inoperable for a period of more than one week must contact the Texas Tech Police Department so that appropriate arrangements can be made.

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03.11. Traffic and Parking Regulations

9. **Texas Tech Police.**

a. Texas Tech Police Officers are duly commissioned peace officers of the State of Texas. Upon request of a police officer of Texas Tech, any person on the campus is required to identify himself with proper identification.

b. All thefts, accidents, or other offenses that occur on campus should be reported to the Texas Tech Police Department immediately. Accidents should be reported prior to moving the involved vehicles. One-vehicle accidents and inoperable vehicles must also be promptly reported. Keys or valuables should not be left in a motor vehicle. ALWAYS KEEP YOUR VEHICLE LOCKED.

c. The University provides a shuttle bus service to assist persons with their on-campus transportation needs. The shuttle bus service is operated between the hours of 5:00 p.m. and 4:00 a.m. during the fall and spring semesters (when school is in session). One of the buses is lift equipped to accommodate persons with disabilities. Shuttle bus schedules are available at various locations on campus including the residence halls, the Texas Tech Police Department, and the Dean of Students Office.

d. Texas Tech is concerned about the protection of persons and property and places a high priority on striving to maintain a safe environment for students, faculty, staff, and visitors. The University cannot, however, guarantee the absolute safety of any one individual. Personal safety must begin with individual responsibility. With that thought in mind, a Personal Safety brochure has been prepared which contains personal safety recommendations, crime statistics, safety services and programs, as well as a list of telephone numbers to contact for help. All visitors and members of the campus community are encouraged to make themselves familiar with this information. The Personal Safety brochure is available at various locations on campus including the Personnel Department, the Texas Tech Police Department, the Dean of Students Office, and the residence halls.

e. Chapter 46, Section 46.03, Texas Penal Code, provides that a person commits a felony offense if the person carries a firearm, illegal knife, club, or other prohibited weapon listed in Section 46.05(a) on the physical premises of an educational institution.

ATTACHMENT

Board Minutes, TTU, February 9, 1996
Board Minutes, TTU, February 14, 1997
Board Minutes, TTU, November 7, 1997
Board Minutes, TTU, June 19, 1998

03.11. Traffic and Parking Regulations, Attachment A for Texas Tech University (September 1, 1998 - August 31, 1999)

1. The following are the regulations that apply to the University, including fee and refund schedules, and are effective May 17, 1997 through the end of the week following graduation in the Spring Semester.

2. **Types of Registration Permits.** ~~(See Map for Areas)~~

   a. Reserved parking spaces are assigned to full-time faculty and staff and part-time faculty and staff not enrolled as students as space is available. Any space remaining after the needs of the faculty and staff are met will be available for assignment to part-time instructors, graduate teaching assistants and graduate research assistants who hold contracts for one-half time or more. Such assignments may be revoked as necessary to accommodate regular faculty and staff requirements. Nine-month registration permits will not be issued to staff members holding twelve-month appointments.

      (1) Nontransferable permits will be issued for reserved spaces. The permit will contain the lot and space number assigned to the registrant. The space is reserved from 7:30 a.m. to 5:30 p.m., Monday through Friday. Additionally, in certain designated faculty/staff reserved lots, a limited number of parking spaces are reserved after these hours until 11:00 p.m. for use by any reserved permit holder.

      (2) Access to the interior portion of the campus during the hours that parking spaces are reserved is restricted to motor vehicles with reserved space permits and visitors. The interior portion of the campus is that area controlled by entry stations.

      (3) Certain residence halls staff living in the residence halls may be assigned spaces that are reserved 24 hour daily.

   b. Reserved area parking spaces are available to qualified faculty and staff in certain designated parking lots. Transferable permits may be issued for all area reserved lots.

   c. Renewal notices for persons assigned reserved and area reserved spaces are sent out prior to the end of the Spring Semester. Employees who wish to retain their space for the next year must renew their registration by the date stated in the renewal notice. Most major credit cards (Visa, Mastercard and Discover) may be used to make this payment, as well as cash and personal checks.

   d. Residence hall lots are reserved for respective residence hall permit holders from 7:30 a.m. to 5:30 p.m., Monday through Friday, unless otherwise posted.

      (1) Nontransferable permits will be issued for residence halls parking lots.

      (2) The owner of a residence hall permit should use the commuter lots when space is not available in the residence hall parking lot.

      (3) Motor vehicles which cannot be accommodated in the residence hall lot will be assigned to the commuter lots until the residence hall lot has available space.

      (4) Students changing residence halls or moving off campus must exchange permits at the Traffic and Parking Office.

      (5) Residence hall permits are issued to individuals and OWNERSHIP is not transferable. Use of a residence hall permit by anyone other than the individual to whom it was issued is not

permitted. Violation of this regulation may result in ticketing, impoundment and loss of all vehicle registration privileges on campus, including parking, for the academic year for all parties involved.

e. Commuter permits will be issued for motor vehicles belonging to students residing off campus.
   (1) Nontransferable permits will be issued to commuters.

   (2) Commuter permits are issued to individuals and OWNERSHIP is not transferable. Use of a commuter permit by anyone other than the individual to whom it was issued is not permitted. Violation of this regulation may result in ticketing, impoundment and loss of all vehicle registration privileges on campus, including parking, for the academic year for all parties involved.

   (3) Parking is available in commuter lots around the periphery of the campus, as well as in certain designated commuter areas at the Health Sciences Center.

   (4) When not in use for programs and events, the Auditorium/Coliseum lot, which is leased from the City of Lubbock, will also be available, with the exception of the area directly east of the Auditorium which is marked as reserved for the Auditorium/Coliseum.

   (5) Commuter parking east of Jones Stadium, with the exception of that area marked as reserved, is also available. The use of the 24-hour reserved area requires a valid permit and an "A" permit which can only be authorized by the Athletics Department.

   (6) On days of home football games, the C1, C2, and R15 parking lots (west and east of Jones Stadium and west of the Athletic Training Center), are reserved for game day football parking permit holders. **VEHICLES PARKED IN THESE LOTS NOT DISPLAYING A VALID GAME DAY FOOTBALL PARKING PERMIT MAY BE TOWED BY THE ATHLETICS DEPARTMENT THROUGH AN INDEPENDENT TOWING SERVICE AT THE VIOLATORS EXPENSE.**

   (7) Parking in the north section of the C1 parking lot, west of aisle "F", is prohibited on days of home basketball games beginning two hours prior to game time. This area is reserved for holders of special athletics basketball parking permits. **VEHICLES PARKED IN THESE LOTS NOT DISPLAYING A SPECIAL ATHLETICS BASKETBALL PARKING PERMIT MAY BE TOWED BY THE ATHLETICS DEPARTMENT THROUGH AN INDEPENDENT TOWING SERVICE AT THE VIOLATORS EXPENSE.**

f. Persons with disabilities may be issued disability access registration permits designed to assist them in campus mobility. Parking in spaces reserved for persons with disabilities requires the correct registration permit and the appropriate state issued placard or license plate.

g. Motorcycle permits allow parking of motorcycles or mopeds in designated two-wheel areas. Permits must be permanently affixed to the top of the front head-light, front fender or shock absorbers. Motorcycles are not permitted in the interior of the campus unless registered by a faculty or staff member who parks in a reserved parking space. Mopeds and motorcycles may not park in bicycle racks. All motorcycle permits expire in August.

h. Temporary registration permits will be issued for $2.00 per week for assignment to area parking and $3.00 per week for assignment to reserved parking. Temporary permits are not refundable. Certain temporary permits, which may be purchased in advance, are available for $1.00 per day.

i. Students attending summer school who have a valid summer school registration permit may utilize residence hall and commuter parking lots.

j. Students bringing a new motor vehicle on campus when the Traffic and Parking Office is closed are to report to the Texas Tech Police where a temporary one-day permit may be issued. This permit is intended to allow students sufficient time to register their new motor vehicle in accordance with these regulations.

3. **Texas Tech Bookstore.**

Time limit parking is available for Texas Tech Bookstore patrons. Individuals may enter the campus at University Avenue and 15th Street and proceed directly to the lot west of the Bookstore. Parking is limited to 30 minutes and is restricted for use by bookstore patrons only.

4. **Visitor and Time Limit.**

a. Visitors are welcome to the campus and special parking areas are set aside for them. Visitor passes are required throughout the University campus during the hours of 7:30 a.m. to 3:00 p.m., Monday through Friday, excluding University holidays. Visitor passes may be obtained at any entry station.

(1) Visitors' motor vehicles parked in areas not designated for visitor parking are subject to receiving a campus citation and being impounded at the owner's expense.

(2) Use of outdated or altered visitor passes is prohibited.

b. Designated time limit parking areas are enforced from 7:30 a.m. to 5:30 p.m., Monday through Friday, unless otherwise posted.

5. **Service and Vendor Vehicle Parking.**

Service and vendor motor vehicles found to be blocking a street or creating a hazard may be ticketed and impounded.

a. **University Service Vehicle Parking**

Faculty, staff and students who operate Texas Tech University service vehicles on campus should become familiar with the contents of Operating Policy/Procedure (OP) 78.18. University service vehicles may be parked only in the following areas which are listed in priority order:

(1) Service area or service drive must be used if the building has one.

(2) Time Limit Space

(3) Visitor Space

(4) On-Street Parking

b. **Vendor Parking**

Vendor vehicles may be parked only in the following areas which are listed in priority order:

(1) Service area or service drive MUST be used if the building has one.

(2) Time limit space

(3) Visitor space

(4) On-street parking

c. **Construction Contractor Parking**

(1) Parking space for construction contractor vehicles will be designated by the Manager of Traffic and Parking Services or by the contracting department (i.e., Building Maintenance, Grounds Maintenance, etc.) on the University campus.

(2) Construction contractor vehicles will display a dash pass, issued by the appropriate Traffic and Parking Office, on the dash of each vehicle which is parked on University property.

03.11, **Traffic and Parking Regulations, Attachment B for Texas Tech University Health Sciences Center** (Sept.1, 1998 - August 31, 1999)

1. The following are the rules and regulations that apply to all of the Health Sciences Center campuses including fee and refund schedules to be effective for the academic year for students and the fiscal year for faculty/staff.

2. **Types of Motor Vehicle Registration Permits.**

   a. Reserved parking spaces are assigned to full-time faculty and staff and part-time faculty and staff not enrolled as students as space is available. Any space remaining after the needs of the faculty and staff are met will be available for assignment to part-time instructors, graduate teaching assistants, and graduate research assistants who hold contracts for one-half time or more. Such assignments may be revoked as necessary to accommodate regular faculty and staff requirements.

      (1) Non-transferable permits will be issued for reserved spaces. The permit will contain the lot and space number assigned to the registrant. The space is reserved from 6:30 a.m. to 5:30 p.m., Monday through Friday, year-round, excluding holidays.
      (2) Access to the campus interior portion during the hours that parking spaces are reserved is restricted to vehicles with valid parking permits, visitors and patients. The interior portion of the campus is that area controlled by entry stations.

   b. Reserved Area parking spaces are available to qualified faculty and staff in certain designated parking lots. Non-transferable permits will be issued for all area reserved lots.

   c. Reserved Area parking spaces may be purchased by part-time employees (less than 20 hours a week) at half the specified cost. An approved PAF must accompany the vehicle registration.

   d. Renewal notices for persons assigned reserved and area reserved spaces are sent out prior to the end of the Spring Semester. Employees who must renew their vehicle registration by the date stated in the renewal notice. Payment may be made by credit card (Visa, MasterCard, or Discover), cash or personal checks.

   e. Commuter permits will be issued to motor vehicles belonging to students.

      (1) Commuter permits will be of the non-transferable type.
      (2) Commuter permits are issued to the individual's vehicle and ownership is not transferable. Use of a commuter permit by anyone other than the individual to whom it was issued is not permitted. Violation of this regulation may result in ticketing, impoundment, and loss of all parking privileges on campus, including parking for the academic year for all parties involved.
      (3) Parking is available in certain designated lots.
      (4) Health Sciences Center commuter permits will be allowed in commuter lots around the periphery of the Tech campus.

   f. Persons with disabilities may be issued disability access motor vehicle registration permits designed to assist them in campus mobility.

      (1) Parking in spaces reserved for persons with disabilities requires the correct motor vehicle registration permit and the appropriate state issued placard or license plate.
      (2) State placard or license plates must be displayed at all times when a vehicle is parked in these areas.

(3) The designated disability parking areas are reserved 24 hours daily.

g. Motorcycle registration permits will allow parking of motorcycles or mopeds in designated two-wheel areas. Motorcycle registration permits must be permanently affixed to the top of the front headlight, front fender or shock absorbers. Mopeds and motorcycles may not park in bicycle racks. All motorcycle registration permits expire in August.

h. Temporary registration permits will be issued for $2.00 per week for assignment to area parking and $3.00 per week for assignment to reserved space parking. Temporary permits are not refundable.

3. **General Regulations.**

a. Persons who hold a Thompson Hall motor vehicle registration permit (R-25 or C-5) may park in the visitor lots at the Health Sciences Center (A1, B1, C1).

b. Persons who hold a Health Sciences Center motor vehicle registration permit (A2, A3, B2, B3, C2 , C3, or E1) may park in the R-25 visitor's area at Thompson Hall.

c. Persons who hold a motor vehicle registration permit for reserved or area reserved parking from any Health Sciences Center campus may park in a designated visitor's area when visiting another campus. Parking in these areas is restricted to use for official business only. (This does not include going to class.)

4. **Texas Tech Bookstore.** Time limit parking is available for Texas Tech Bookstore patrons. Individuals may enter the campus at University Avenue and 15th Street and proceed directly to the lot west of the Bookstore. Parking is limited to 30 minutes and is restricted for use by Bookstore patrons only.

5. **Visitor and Patient Parking.** Visitors and patients are welcome to the campus. Special parking areas are designated for patients and visitors. Parking information may be obtained at any entry station. Visitors' motor vehicles parked in areas not designated for visitor parking are subject to receiving a campus citation.

6. **Time Limit.** Designated time limit parking areas are enforced from 7:30 a.m. to 5:30 p.m., Monday through Friday, unless otherwise posted.

7. **Loading Dock.** Parking at the loading dock is enforced 24 hours daily.

8. **Service and Vendor Vehicle Parking.** Service and vendor motor vehicles found to be blocking a street or creating a hazard may be ticketed and impounded.

a. **University Service Vehicle Parking.** Faculty, staff, and students who operate Texas Tech service vehicles on campus should become familiar with the contents of Health Sciences Center Operating Policy/Procedure 76.37. Texas Tech service vehicles may be parked only in the following areas which are listed in priority order:

(1) In designated service vehicle parking at the loading dock.
(2) Time limit space for specified time.
(3) Visitor space.

(4) On-street parking.

b. **Vendor Parking.** Vehicles belonging to vendors may be parked only in the following areas which are listed in priority order:

(1) In designated service vehicle parking at the loading dock.
(2) Visitor parking.

9. **Contractor Parking.**

a. Contractors may obtain, at no charge, a construction permit for their trucks or cars from the TTUHSC Traffic and Parking Office, Room BAB-007 (located next to the Lockshop in the basement of Pod A).

b. Contractors must display parking permit on the rear view mirror.

c. Parking for contractors is limited to the following area:

(1) Contractor's parking lot is located to the north of the Power Plant (CHACP2), on 9th Street.
(2) Parking outside the designated contractor's lot is a violation of the parking regulations and does subject the vehicle to a citation and/or impoundment.

03.11, **Traffic and Parking Regulations, Attachment B for Texas Tech University Health Sciences Center** (Sept.1, 1998 - August 31, 1999)

10. **Parking Fees and Refunds**

1997-1998 Rates Through	Faculty/Staff Reserved Space		Faculty/Staff Reserved Area		Commuter		Commuter		Two-Wheeler	
	12 Months		12 Months		12 Months		12 Months		12 Months	
	Cost	Refun	Cost	Refun	Cost	Refun	Cost	Refun	Cost	Refun
Sep. 30	$109.0	$94.90	$79.0	$69.00	$57.0	$48.00	$43.0	$33.20	$17.0	$10.50
Oct. 31	$99.90	$85.80	$72.5	$62.50	$52.5	$43.50	$38.2	$28.40	$15.5	$9.00
Nov. 30	$90.80	$76.70	$66.0	$56.00	$48.0	$39.00	$33.4	$23.60	$14.0	$7.50
Dec. 31	$81.70	$67.60	$59.5	$49.50	$43.5	$34.50	$28.6	$18.80	$12.5	$6.00
Jan. 31	$72.60	$58.50	$53.0	$43.00	$39.0	$30.00	$23.8	$14.00	$11.0	$4.50
Feb. 28	$63.50	$49.40	$46.5	$36.50	$34.5	$25.50	$19.0	$9.20	$9.50	$3.00
Mar. 31	$54.40	$40.30	$40.0	$30.00	$30.0	$21.00	$14.2	$4.40	$8.00	$1.50
Apr. 30	$45.30	$31.20	$33.5	$23.50	$25.5		$9.40	$0.00	$6.50	$0.00
May 31	$36.20	$22.10	$27.0	$17.00	$21.0		$4.60	$0.00	$5.00	$0.00
Jun. 30	$27.10	$13.00	$20.5	$10.50	$16.5	$7.50			$3.50	$0.00
Jul. 31	$18.00	$3.90	$14.0	$4.00	$12.0	$0.00			$2.00	$0.00
Aug. 31	$8.90	$0.00	$7.50	$0.00	$7.50	$0.00			$1.00	$0.00

REFUNDS ARE BASED ON THE SCHEDULE.

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

Additional Permits (after two)	$2.00
Replacement Permits w/identifiable remnants; non-transferable permit	$2.00
Temporary Permits (Non-Refundable)	
Area Parking per Week	$2.00
Reserved Space per Week	$3.00

03.11, **Traffic and Parking Regulations, Attachment B for Texas Tech University Health Sciences Center** (Sept.1, 1998 - August 31, 1999)

10. **Vehicle Registration Fees, Refunds and Penalties: Violations and Impoundment**

VIOLATION #	VIOLATION	FINE	IMPOUNDABLE OFFENSE
1	Parking in non-designated areas.	$15.00	YES
2	Parking Permit not properly installed.	$10.00	NO
3	Parking in a fire lane.	$25.00	YES
4	Failure to remove expired permit(s).	$10.00	NO
5	Parking in a no parking or tow away zone.	$15.00	YES
6	Parking in service vehicle spaces, service drives or access drives.	$15.00	YES
7	Unauthorized parking in reserved parking spaces.	$25.00	YES
8	Obstructing traffic, street, sidewalk, crosswalk, driveway, trash container, building entrance or exit.	$25.00	YES
9	Parking overtime in a time limit zone.	$10.00	YES
10	Parking a bicycle in violation of these regulations.	$10.00	YES
11	Parking a vehicle beyond the lines of a parking space.	$10.00	NO
12	Parking in reserved zones without proper permit.	$15.00	YES
13	Parking on wrong side of street facing oncoming traffic.	$15.00	NO
14	Parking without a valid permit.	$25.00	YES
15	Parking a motor vehicle upon any unmarked or unimproved ground which has not been designated for parking.	$25.00	YES
16	Parking in a space or area designated for persons with disabilities without the proper insignia.	$100.00	YES
17	Blocking an access ramp or curb cut designed to aid persons with disabilities.	$100.00	YES
18	Display or use of a lost, stolen, forged, or altered permit.	$50.00	YES
19	Other parking violations as defined on the face of the citation.	$10.00	YES

03.11, **Traffic and Parking Regulations, Attachment B for Texas Tech University Health Sciences Center** (Sept.1, 1998 - August 31, 1999)

$5.00 Late Fee after 10th day

IMPOUNDING FEE

$40.00	Initial fee, not including the cost of citation(s).
$17.50	If owner/driver arrives before impoundment has begun, they can pay this fee to the tow truck driver or Texas Tech Parking Enforcement to prevent towing
$ 6.00	Storage fee per day, including tax, commencing 24 hours after impoundment. Maximum storage fee is $130.00 per month, including tax.

03.12. Architectural and Aesthetic Style of University Campus

1. **Architectural and Site Design Character.**

   a. Architectural and site design guidelines shall be developed, approved by the Board of Regents, and thereafter adhered to for each Texas Tech campus.

   b. Unless an exception is granted by the Board of Regents, the Texas Tech University Campus Master Plan shall guide as the blueprint for new construction, new infrastructure, traffic and parking modifications, necessary demolition and enhancement of pedestrian space.

   c. Unless an exception is granted by the Board of Regents, the Texas Tech University *Architectural and Site Design Guidelines* shall serve as the guiding document regarding architectural and site design on the Lubbock campus.

2. **Art Acquisitions for New Facilities.**

   The Office of the Chancellor shall cause to be allocated one percent (1%) of the estimated construction cost of each construction project, unless an exception is approved by the Board of Regents. These funds shall be utilized for the acquisition of works of art or other aesthetic improvements to be located at or near the site of the construction project. This allocation shall be limited to new construction projects estimated to cost in excess of $300,000.

3. **Landscaping for New Facilities.**

   The Office of the Chancellor shall cause to be allocated one percent (1%) of the estimated construction cost of each building project to be used for the acquisition of exterior hardscape, waterscape and landscape features (unless an exception is granted by the Board of Regents) at or near the site of the construction project. This allocation shall be limited to new construction projects estimated to cost in excess of $300,000.

4. **Establishment of University Art Committee.**

   To create an art rich and aesthetically stimulating learning environment that celebrates the academic excellence and character of Texas Tech, the Office of the Chancellor shall cause a University Art Committee to be established. The committee shall be composed of students, faculty, and staff of Texas Tech University and Texas Tech University Health Sciences Center, individuals from the communities surrounding the various campuses of Texas Tech, and professional artists who are Texas Tech alumni. The committee will advise the administration and the Board of Regents on major art acquisitions for campus buildings and public spaces.

Board Minutes, TTU, March 30, 1979
Board Minutes, TTU, June 19, 1998

03.13, **Preservation of Campus Buildings**

The Board may provide for the preservation of certain buildings because of their historical significance, unique architecture or other reason.

03.~~13~~14, Plaques for ~~TTUHSC~~ Texas Tech Buildings

1. A plaque shall be placed on each new building and major addition at the time it is constructed.
2. The plaque shall show, as of the date of the contract award, the following:
   a. The name of the building;
   b. The names of the Board members serving at that time, arranged in alphabetical order;
   c. The names of those occupying at that time the following positions:
      (1) The ~~Chairman~~ Chair of the Board of Regents;
      (2) The Chancellor
      ~~(2)~~(3)The President ~~of the University~~;
      ~~(3)~~(4)The architect; and
      ~~(4)~~(5)The contractor.
   d. The year the construction contract is awarded.

03.~~12~~ 15, Construction Code Requirements

1. It is the policy of the Board of Regents to make all construction/renovation projects conform to the most current edition of the following codes:

   a. Uniform Building Code
   b. National Electrical Code
   c. Uniform Plumbing Code
   d. NFPA 101, Life Safety Code
   e. National Fire Protection Association Codes and Standards
   f. ANSI/ASME A17.1 Safety Code for Elevators and Escalators
   g. ANSI Z136.1 Standards for Safe Use of Lasers
   h. State Insurance Board requirements governing fire sprinkler systems
   i. U. S. Environmental Protection Agency regulations
   j. ASHRAE Standard 90A,B,&C - Energy Conservation in New Building Design
   k. U.S. Department of Health, Public Health Service regulations and guidelines
   l. State statutes regulating, but not limited to, the following

      (1) Asbestos
      (2) Boilers
      (3) Control of Radiation
      (4) Energy Consumption
      (5) Fire Escapes
      (6) Fire Alarms
      (7) Plumbing Fixtures

   m. Texas Accessibility Standards of the Architectural Barriers Act, Article 9102, Texas Civil Statutes
   n. Americans with Disabilities Act (ADA) - Accessibility Guidelines for Buildings and Facilities
   o. U. S. Department of Labor Occupational Safety and Health Administration (OSHA) regulations
   p. Any other applicable codes deemed necessary by the project's nature shall be specified during the design development review process.

2. In those cases where more than one agency or code has set forth regulations and those regulations are in conflict, the more stringent or more detailed code or regulation shall apply.

04.01. Use and Operation of Aircraft

1. General.

All staff, faculty, and students traveling on official University business or activities will use only those aircraft and aircraft operators that meet the requirements set forth below. The travel regulations contained in the Texas Appropriations Act and other applicable laws will be followed by the University. Allowable reimbursements will be established by the Texas Appropriations Act, regardless of the source of funds. In addition, University employees are encouraged to be as conservative as possible in the use of air travel, using charter flights only when cost-effective or absolutely necessary.

2. Requirements for Air Travel.

The University will only use aircraft and aircraft operators that are flight worthy and are certified and operate under Federal Aviation Regulations, 14 C.F.R., Chapter 1, Subchapters F & G, Parts 91, 119, 121, 125, or 135, as applicable. In addition, all aircraft used pursuant to this provision must, at a minimum, be piloted by pilots that are fully qualified and insured in the aircraft being flown, possessing a commercial pilot certificate with instrument rating. All flights involving student travel must be piloted by two pilots.

3. Foreign Air Travel.

Air travel to or in foreign countries by University faculty, staff or students will be arranged only through commercial air carriers regularly engaged in scheduled passenger air transportation.

4. Information Required.

With the exception of commercial, certified domestic and flag air carriers, aircraft operators will provide the University with the following information:

a. Type of certificate;

b. Certificate number;

c. Date issued;

d. Expiration date;

e. Type and registration number of aircraft authorized;

f. Name of Federal Aviation Administration Flight Standards Office having jurisdiction over certificate holder; and

g. Schedule of insurance coverage in effect, showing insurance companies, policy numbers, type, amounts, period of coverage and special conditions, exceptions and limitations.

5. Aircraft Made Available to the University by Other than Commercial Operations.

Aircraft and crew made available to the University by other than commercial operators must, as a minimum, qualify under all regulations regarding aircraft and crew outlined in 14 C.F.R., Chapter 1, Subchapter G, Part 91, and conform to the insurance provisions set forth in Section 6. of this policy, below. In addition, all aircraft used pursuant to this provision to transport students, must, at a minimum, contain a multi-turbo prop engine or jet engine and be piloted by two pilots, fully qualified and insured in the aircraft being flown, possessing a commercial pilot certificate with instrument rating.

Board Minutes, TTU, March 30, 1979
Board Minutes, TTU, June 19, 1998

04.01, Use and Operation of Aircraft

6. **Insurance.**

   Aircraft owners/operators must furnish a certificate of insurance to the University as proof of $300,000 coverage per passenger, or the minimum amount required by law, whichever is greater.

7. **Administrative Requirements.**

   a. **Chancellor's Approval of Leased, Chartered or Section 5. Use of Aircraft.** All flights involving leased or chartered aircraft, or aircraft made available to the University pursuant to Section 5. of this policy must be requested from and approved in advance by the Chancellor or his or her designee.

   b. **Chancellor's Approval of Student Travel.** All flights involving student travel, other than travel on commercial air carriers, must be approved in advance by the Chancellor or his or her designee.

   c. **Review by Office of General Counsel.** The University department arranging travel under subsections a. or b., above, will ensure that contracts and other appropriate documents are reviewed by the Office of General Counsel prior to approval by the Chancellor or his or her designee.

Board Minutes, TTU, March 30, 1979
Board Minutes, TTU, June 19, 1998

04.02, Debt Management Policy

1. General Debt Management Policy.

a. As provided in the Texas Education Code, each member of the Board of Regents has the legal responsibilities of a fiduciary in the management of indebtedness for Texas Tech University (TTU) and Texas Tech University Health Sciences Center (TTUHSC). All debt programs will be made in accordance with applicable state and federal statutes and regulations. The Board of Regents will authorize the issuance of all TTU and TTUHSC indebtedness.

b. The Board of Regents has granted to the Office of the Chancellor the authority for the issuance of short-term indebtedness up to $50 million of Higher Education Assistance Fund Commercial Paper to the extent permitted by law and an initial aggregate principal amount not to exceed $50 million of Revenue Financing System Commercial Paper, but with a maximum aggregate limit of $100 million if subsequently authorized by the Board of Regents. The short-term debt program will be utilized for capital projects during construction and equipment acquisition. All conversions to long-term or bond indebtedness will be approved by the Board of Regents.

c. The Deputy Chancellor is authorized to approve the pricing of bond and note issues and is responsible for assuring that all bond covenants are in compliance and that all necessary approvals, certifications and authorizations are fully documented and made available to the Board of Regents and to all bondholders.

d. The Vice Chancellor for Administration and Finance is responsible for assuring that all debt service payments are made in a timely manner to the appropriate paying agents.

e. Debt service funding is the responsibility of each institution participating in the Revenue Financing System and the Higher Education Assistance Fund programs.

f. If a project requires Texas Higher Education Coordinating Board approval, no debt proceeds will be allocated to that project prior to receiving such approval.

2. Revenue Financing System (RFS) Debt Management Policy.

a. **General.** Both TTU and TTUHSC are eligible to participate in the Revenue Financing System (RFS).

b. **Guidelines.**

(1) Capital Construction: Buildings and other major capital projects will be financed for a period of up to the lesser of the project's estimated useful life or 40 years.

(2) Equipment: Equipment will be financed for a period up to the lesser of its projected useful life or ten years.

(3) To the extent required by law, Texas Higher Education Coordinating Board approval will be obtained if project costs exceed $300,000 for new construction or $600,000 for major repair and rehabilitation. Debt proceeds will not be allocated to a project prior to receiving Coordinating Board approval. If Coordinating Board approval is not required, documentation of the excepting criteria will be provided to the Chancellor by the Vice Chancellor for Administration and Finance.

Board Minutes, TTU, February 14, 1997
Board Minutes, TTU, April 13, 1998

(4) Individual revenue streams considered for debt service must meet a 1.15 debt coverage ratio test, unless the debt is being issued as "tuition revenue" debt in which case, it must meet a 1.00 debt coverage ratio test. Debt coverage is defined as total revenue divided by total debt service. In arriving at the 1.15 debt coverage ratio, it is considered prudent to use no more than 25 percent of available pledged revenues, after expenditures, for capital projects.

(5) Designated debt financing resources will be approved by the Board when a project is initiated. Reimbursement clauses, revenue stream certification, nondefault certification, and all requirements of the RFS Master Resolution will be included in agenda items submitted to the Board.

(6) Application to and approval from the Texas Bond Review Board is required for all new long-term issues. Long-term issuances are also subject to the approval of the Texas Attorney General.

c. **General.**

(1) **Certification by TTU and TTUHSC.** As long as RFS debt remains outstanding, an end of fiscal year certification will be prepared by TTU and TTUHSC. The certification, signed and approved by the President and Vice President for Fiscal Affairs of each entity, will be submitted to the Vice Chancellor for Administration and Finance no later than November 15 of each year and will be used as input for reporting on the status of the RFS to the Deputy Chancellor, the Chancellor, and the Board of Regents. The certification will include the following:

(a) A comparison of revenue projections with those actually collected in the previous year and an updated assessment of anticipated future revenues. If actual revenues were not sufficient, then an explanation as to why they were insufficient and the impact on the institution's current and future ability to pay for its share of debt service will be required;
(b) Verification that the institution has sufficient legally available funds for the next fiscal year's principal/interest payments; and,
(c) Verification that the institution is in compliance with all RFS bond covenants and Board policies relative to the issuance of RFS debt.

(2) **Report on the Status of the Revenue Financing System.** The Vice Chancellor for Administration and Finance will prepare an annual report on the status of RFS obligations for the Deputy Chancellor, the Chancellor, and the Board of Regents. The report will include the following:

(a) The balance of RFS obligations outstanding at the beginning of the fiscal year and on the date of the report;
(b) A listing of projected needs (by institution and funding source) for the next year;
(c) The amount of RFS obligations that will be necessary to fund each institution's needs for the next year;
(d) A certification that TTU and TTUHSC are current on debt service funding for RFS obligations outstanding. If an institution is not in compliance, the steps being taken to bring the institution into compliance will be included and will be reported quarterly until compliance is achieved.

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04.02, Debt Management Policy

3. **Higher Education Assistance Fund (HEAF) Debt Management Policy.**

   a. **General.** TTU and TTUHSC are eligible to participate in Higher Education Assistance Funds (HEAF) financing.

   b. **Guidelines.**

      (1) Except as described in section (4) below, HEAF debt proceeds may be used for acquiring land, construction, and equipping permanent improvements, major repair and rehabilitation of permanent improvements and refunding previously issued HEAF indebtedness.

      (2) Indebtedness will be payable with state appropriated moneys. Maturities will not exceed 10 years and will be limited to the current HEAF funding cycle. HEAF bonds will be competitively bid. HEAF notes (e.g., commercial paper notes) need not be competitively bid. HEAF indebtedness is subject to approval by the Texas Attorney General.

      (3) No more than 50 percent of the annual HEAF allocation of TTU and TTUHSC will be used for paying debt service on HEAF indebtedness issued on behalf of TTU or TTUHSC.

      (4) HEAF debt proceeds are not permitted by current law to be used for maintenance, minor repairs, operating expenses, student housing, intercollegiate athletics, or auxiliary enterprises.

      (5) Prior approval of the Legislature or the Texas Higher Education Coordinating Board is required for expenditure of HEAF fund proceeds for new construction in excess of $300,000, major repair and rehabilitation in excess of $600,000, and land acquisitions, providing that any acquisition request submitted within a three-month period before a legislative session shall automatically be referred to the Legislature.

4. **Equipment Financing Program Procedures Under the Commercial Paper Program(s).**

   a. **General.** In order to obtain approval for the issuance of RFS debt to purchase equipment, each of TTU and TTUHSC must, by July 1 of each fiscal year, determine equipment needs for the following fiscal year. The Board of Regents will approve the aggregate amount of capital equipment to be financed through the Equipment Financing Program at their August meeting. The Office of the Chancellor will then submit the aggregate equipment financing amount by institution to the Texas Bond Review Board at the beginning of each fiscal year.

   b. **Guidelines.** The minimum aggregate amount of equipment value to be financed under the Equipment Financing Program is $100,000 for each of TTU and TTUHSC. Several smaller equipment purchases may be commingled to achieve the minimum amount. Each piece of equipment must have a useful life of not less than three years. The equipment will be purchased from the vendor by TTU or TTUHSC and RFS will be issued on any business day for direct acquisition or to reimburse TTU or TTUHSC for the equipment purchases. The debt will be amortized each February 15 and August 15 and will be fully amortized up to the lesser of its project useful life or 10 years.

Board Minutes, TTU, February 14, 1997
Board Minutes, TTU, April 13, 1998

5. **Procedures to be Used in the Event of a Failed Remarketing of RFS Commercial Paper.**

   a. **Notice by Commercial Paper Dealer of Failure to Purchase Maturing RFS Commercial Paper Notes.** The commercial paper dealer, J. P. Morgan, has until 12:00 p.m., New York time on the day of maturity of TTU Tax-Exempt Commercial Paper Notes to notify TTU/TTUHSC that they are unable to purchase such notes and to request that TTU/TTUHSC provide funds with which to purchase the maturing notes. The notice is to be received in writing and delivered by registered mail, postage prepaid, tested telex or facsimile transmission. The notice is to be delivered by registered mail, postage prepaid, tested telex or facsimile transmission. The notice is to be delivered to: Mr. Ed McGee (or his successor in function, as provided in Section 1.01 of the Liquidity Agreement), Office of the Assistant Vice Chancellor for Investments, Texas Tech University, Drane Hall, Room 135, Lubbock, Texas 79409 - Attention: Office of the Assistant Vice Chancellor for Investments, Telephone (806) 742-3243, Telecopier (806) 742-0717.

      The dealer contact person is: Mr. Tom Gallo (or his successor in function, as provided in Section 8 of the Liquidity Agreement), J. P. Morgan Securities, Inc., 60 Wall Street, 33rd Floor, New York, New York 10260-0060 - Attention: Tax Exempt Commercial Paper Origination, Telephone (212) 648-0913, Telecopier (212) 648-5916. The paying agent contact person is: Ms. Collene Shay-Persaud (or her successor in function, as provided in Section 8 of the Liquidity Agreement), Bankers' Trust Company, 4 Albany, 4th Floor, Mailstop 5041, New York, New York 10006, Telephone (212) 250-6125, Telecopier (212) 250-6727.

   b. **Advance Request - Commercial Paper Liquidity Provider.** Morgan Guaranty Trust Company of New York is the commercial paper liquidity provider. The TTU/TTUHSC representatives authorized to request an advance from the commercial paper liquidity provider are: Chancellor of TTU and TTU Health Sciences Center, Deputy Chancellor of TTU and TTU Health Sciences Center, Vice Chancellor for Administration and Finance, Vice President for Fiscal Affairs of TTU, Vice President for Fiscal Affairs of TTUHSC, Assistant Vice Chancellor for Investments, and other officials appointed by the Chair of the Board of Regents.

      The request for an advance to fund the maturing Commercial Paper Notes must be made no later than 12:45 p.m., New York time. The request shall be delivered telecopied or sent by telephonic notice, confirmed as soon as possible (but in no event later than 1:00 p.m., New York time) to: Morgan Guaranty Trust Company of New York - Attention: Mr. William Wood (or his successor in function, as provided in Section 8 of the Liquidity Agreement), c/o J. P. Morgan Services, Inc., 500 Stanton Christiana Road, Newark, Delaware, 19713, Telephone (302) 634-4204, Telecopier (302) 634-4061, Telex (177425, Answer Back: 174425 MBDELUT).

      The request shall be a signed Notice of Advance, substantially in the form of Exhibit B of the Liquidity Agreement. The Notice of Advance shall specify the time and date of the advance and the amount of the advance.

      At, or prior to, 3:00 p.m., New York time, on the date for which the advance is requested, Morgan Guaranty shall make available to the paying agent (Bankers' Trust) the funds necessary to repurchase the maturing TTU Tax-Exempt Commercial Paper Notes.

Board Minutes, TTU, February 14, 1997
Board Minutes, TTU, April 13, 1998

04.03, Audits

1. **Mission Statement.**

The Office of Internal Audit is an independent department within Texas Tech ~~University Health Sciences Center (TTUHSC)~~. 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 TTUHSC~~ Texas Tech 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 ~~TTUHSC~~ Texas Tech 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~~ Chancellor 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 and Administration Committee of the Board of Regents and administratively to the ~~President~~ Chancellor. Annually, the ~~President~~ Chancellor 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 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 auditor review does not substitute or relieve other ~~University~~ Texas Tech 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 TTUHSC~~ Texas Tech, a portion of time is set aside for audits of selected Texas Tech operations ~~of the University Health Sciences Center~~. 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 and Administration Committee of the Board of Regents, Chancellor, President of TTU, President of TTUHSC, Vice Chancellor for Administration and Finance, Vice President for Fiscal Affairs of TTU and Vice President for Fiscal Affairs of TTUHSC 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 and Administration Committee of the Board of Regents and the Presidents 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 appropriate President and the Chancellor.

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, 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 Presidents, the Chancellor and the Chair of the Finance and Administration 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~~ the Presidents and the Chancellor.

04.04, Budget Rules and Procedures

1. **General.**

   a. The Board is required by law and Board Policy 01.01 to approve an itemized annual budget covering the operation of the ensuing fiscal year. This budget shall be prepared within the limits of revenue available from legislative appropriations and estimated local and other funds.

   b. The budget is to be constructed along organizational lines and using appropriate fund groupings required by state law or recommended by the State Auditor's Office or the State Comptroller's Office.

   c. The Board has the overall responsibility for the budget; however, limitations of time make it impractical and inappropriate for the Board to address other than major policies and priorities. The Board effectively discharges its budgetary responsibilities by reviewing and approving general policies. Detailed budgetary development and control is delegated to the Presidents and to the chief fiscal officers.

   d. The annual budget shall be prepared and adopted well in advance of the fiscal period and shall include all anticipated operating revenues, expenditures, transfers, and allocations. Adjustments to the budget will be approved in accordance with Board policy stated in Section 4. below.

   e. The chief fiscal officers ~~is~~ are responsible for the compilation of estimates of revenues and the development of appropriate contingencies.

   f. The Presidents, with the assistance of the chief fiscal officers, will work with principal administrators of the institutions to develop recommendations on major budgetary policies and programs. These include such items as salary and wage increases, improvements in certain programs, implementation of new programs, reduction or elimination of existing programs, and other items. The Board budgetary policies will be communicated by the Presidents, with the assistance of the chief fiscal officers, to the deans, directors, and departmental heads.

   g. The Presidents, with the assistance of the chief fiscal officers, shall present the budget recommendations to the Board which include a comparison of the proposed budget with those of previous years, explanation of major changes, description of programs added or eliminated, and salary and wage policies.

   h. The chief fiscal officers ~~is~~ are responsible for communicating with budgetary units and providing each unit a copy of its approved budget.

2. **Budgetary Control.**

   a. An essential element of budgeting is the establishment of effective budgetary control. Budgetary control shall ensure that expenditures do not exceed available funds.

   b. The chief fiscal officers ~~is~~ are responsible to the ~~Executive Vice President and Provost, the~~ Presidents, the Chancellor and to the Board of Regents for maintaining budgetary controls. All expenditures in the institutions must be made within ~~an~~ approved budgets. Administrators are not authorized to commit funds without a budget approved by the chief fiscal officer or his designee. The chief fiscal officer of each institution shall inform the President, the Chancellor and Board of any major deviations from this policy.

04.04, **Budget Rules and Procedures**

c. Budgetary control starts with the responsible department head (e.g., dean, chairman, director). This officer has the primary responsibility to control expenditures within his department. Once the budget has been approved, department heads are responsible for assuring that there is no deviation without approval from the appropriate authority.

d. The chief fiscal officers ~~is~~ are responsible for assuring that monthly reports of revenues and expenditures are prepared and sent to the budget units.

3. **Certification of Budgets and Other Expenditures.**

a. Administrators must receive an approved budget from the chief fiscal officer or his designee prior to expending funds or committing to expenditures. The chief fiscal officers ~~is~~ are responsible for certifying that funds are available for each budget approved.

b. Expenditures requiring Board approval, including the annual operating budget and construction projects, must have a separate written certification statement by the chief fiscal officers. The purpose of the statement is to provide the Board an objective analysis of the adequacy of the funding provisions.

c. Certification may be made with or without qualifications. If the certification is qualified, these qualifications will be identified. Typical qualifications would be assumptions which are material to the adequacy of the funding.

4. **Budget Adjustments.** Adjustments to the annual operating budget or to any other expenditures requiring Board approval are defined in the following sections. Adjustments may not be split to fall within lower levels of approval.

a. **Board of Regents approval is required prior to effective date of action for:**

(1) Adjustments which establish a new budget for or increase an existing one by an amount of $250,000 or more.
(2) Adjustments which appropriate funds from E&G unappropriated balances.
(3) Adjustments to salary not required by law for the ~~President~~ Chancellor.
(4) In an emergency, adjustments of $250,000 or more may be approved by either the ~~Chairman~~ Chair of the Board or ~~Chairman~~ Chair of the Finance and Administration Committee with subsequent ratification at the next regular Board meeting.

b. **~~Presidential~~ Chancellor's approval is required prior to effective date of action with subsequent ratification by the Board at the next regular meeting for the following:**

(1) Adjustments which establish a new budget for or increase an existing one by an amount of $100,000 to $249,999.
(2) Adjustments to the salary of an administrative head who reports directly to the ~~Executive Vice President and Provost~~ Presidents except for positions covered under the provisions of Board of Regents Policy 01.01, Paragraph 14.b.~~(2)~~ (3).
(3) Adjustments to an employee's total salary rate or wage rate not required by law when such adjustment is 10% more per annum. This does not apply to:

(a) Bona fide promotions,
(b) Supplemental compensation payments as provided by law,
(c) Adjustments on annual contracts from non-appropriated funds which have a period

other than the state fiscal year if the increase is consistent with the institutional increases given to other persons and if the Vice President for Fiscal Affairs has reviewed the adjustment and the President has approved it,

(d) Adjustments to an employee's total salary rate or wage rate that result in a per annum increase of an amount less than or equal to $2,000, or

(e) Adjustments to salaries for positions covered under the provisions of Board of Regents Policy 01.01, Paragraph 14.b.(2) and 14.b.(3).

(4) Adjustments to establish a budget for new activities which will be conducted away from facilities or property controlled by the Board of Regents.

(5) Adjustments authorized by law, but which require Board approval.

(6) Fiscal adjustments of more than $100,000 required to close one fiscal year and open the following fiscal year.

c. **Presidential approval is required for the following:**

(1) All other budget adjustments of less than $100,000 to the original operating budget.

(2) Budgets for Continuing Education or Extension courses funded from individual student fees for $250,000 or more. In the President's absence, the ~~Executive Vice President and Provost, or the~~ Vice President for Fiscal Affairs may approve these budgets.

~~(3)~~ (4) The President may delegate authority to appropriate budget and financial officials to approve budget adjustments that do not require approval or ratification by the Board of Regents.

~~d. **Executive Vice President and Provost approval is required for the following:**~~

~~(1)~~ (3) For research contracts, grants, and sponsored projects, any budget adjustments exceeding $100,000 and, supplemental awards and renewal proposals greater than $250,000. These changes will be reported to the Board at the next scheduled meeting. In the ~~Executive Vice~~ President's ~~and Provost's~~ absence, the Vice President for Fiscal Affairs ~~or the Vice Provost for Research~~ may approve these budgets.

~~(2) Budgets for Continuing Education or Extension courses funded from individual student fees for less than $250,000. In the Executive Vice President and Provost's absence, the Vice President for Fiscal Affairs may approve these budgets.~~

~~e.~~ d **Salary lapse adjustments are to be made as follows:**

Any savings resulting from salary lapses in accounts funded from legislative appropriations will be lapsed from these accounts and rebudgeted in accordance with the above procedures and appropriate law to satisfy other requirements. Accounts for Organized Activities, Extension and Public Service, and Service Departments shall not rebudget savings from salary lapses without approval by the Vice President for Fiscal Affairs or his designee.

~~f.~~ e Approval of any agreement or contract, in accordance with Board Policy 04.05, constitutes authority to accept the award or consideration and establish a maximum budget that does not exceed the amount of the approved agreement or contract without further Board action.

04.05, Contracting Policy and Procedures

1. **General.**

   a. This policy shall establish the authority for Board members and Texas Tech personnel to approve, sign, and execute contracts committing Texas Tech to the performance of any act. It is intended to be compatible with all other current Board policies, but in cases of conflict, the provisions of this policy will govern, except in those cases pertaining to mineral leases, geophysical surveys, depository contracts, construction and renovation work.

   b. Contracts approved and signed prior to the approval of this policy shall remain in effect and in force, but any changes to such contracts shall be approved and signed in accordance with the provisions of this policy.

   c. Written contracts shall be executed whenever Texas Tech enters into a binding agreement with another party which involves any material consideration. The Vice President for Fiscal Affairs or a designee may waive the requirement for a written contract if the material consideration is less than $10,000.

   d. Contracts are construed to include, but not be limited to: agreements, cooperative agreements, memorandums of understanding, interagency contracts, grants, loans, easements, licenses, leases, permits and restrictions on acceptances of gifts and bequests. Other parties include, but are not limited to: federal, state and local agencies, nonprofit organizations, private businesses, partnerships and individuals.

   e. Except as herein provided in Section 1.a., this policy shall apply to all contracts for the initial periods, amendments or extensions thereto and shall also apply to, but not be limited to, loans from the Department of Housing and Urban Development, grants and/or loans under the Higher Education Facilities Act of 1963, loans under the National Defense Education Act, Fellowships under the National Defense Act, State of Texas Interagency Cooperation Contracts, including those between Texas Tech University and Texas Tech University Health Sciences Center, and cooperative agreements with affiliated and nonaffiliated hospitals and other health care agencies, private corporations, sole proprietorships, federal agencies, private partnerships and individuals. This contracting policy does not apply to purchasing documents, which shall be processed in accordance with State of Texas Purchasing Regulations.

   f. In the event a contract which has been executed under other provisions of this policy is subsequently found to be required by law to be approved by and/or executed by a member of the Board, it shall continue to be in full effect and in force, but shall be submitted for ratification at the next available Board meeting. In addition, the administration is directed to recommend a revision to this policy which will bring it into compliance with such law.

   g. Approval and signature of a contract constitutes approval to establish an operating budget, which does not exceed the consideration of the contract without further Board approval. The operating budget will then be considered approved in accordance with the provisions of Board Policy 04.04 and related implementing procedures.

   h. Contracts shall not be split to fall within lower levels of approval.

2. **Approval of the Board of Regents is Required for:**

   a. Contracts which involve a stated or implied consideration of $250,000 per annum or more, unless a different consideration is specified by this policy. This is applicable to both cash and noncash considerations.
   b. Contracts which provide for the services of a consultant with an initial consideration of more than $15,000, and all modifications increasing that contract. Approval is also required for any modification to a contract where the initial consideration was $15,000 or less, and the modification will cause the total consideration to exceed $15,000.

   c. Contracts which involve the sale or a lease of land for more than four years or which involve a commitment of funds or of other resources for more than four years except all multi-year employment contracts, employment contract modifications and extensions covered under the provisions of Board of Regents Policy 01.01, Section 14.a.(2).

   d. Contracts for vending machines, games, or any other coin operated food, refreshment and amusement devices placed in service in any facility owned, operated, or controlled by Texas Tech.

   e. Unless prohibited by law, emergency approval may be given for a contract by individual verbal approval of the ~~Chairman~~ Chair of the Board or the ~~Chairman~~ Chair of the Finance and Administration Committee and four other Board members.

   f. Contracts in the above categories are to be signed by the ~~Chairman~~ Chair of the Board or the Chancellor, as specified in the Board order in which it was approved. Such contracts shall be filed with the Secretary of the Board of Regents.

3. **Approval of the Chancellor-and Concurrence of either the ~~Chairman~~ Chair of the Board or the ~~Chairman~~ Chair of the Finance Committee is Required for:**

   a. Contracts which involve a stated or implied consideration of $100,000 to less than $250,000 per annum, except as prescribed in 3.b., 3.c., and 6 below. This is applicable to both cash and noncash considerations.

   b. Contracts and proposals for research or other sponsored programs with an initial award of $250,000 or more. To meet an agency deadline, research proposals may be submitted prior to regental concurrence; however, if such concurrence is not received within 30 days, the proposal will be withdrawn.

   c. Contracts for continuing education and extension course activities which involve a consideration of $250,000 or more.

   d. Contracts in the above categories will be signed by the Chancellor or, in his absence, by the Deputy Chancellor, the President or the Vice President for Fiscal Affairs.

4. **Approval of the Chancellor is Required for:**

   a. Contracts which involve a stated or implied consideration of less than $100,000 per annum. This is applicable to both cash and noncash considerations.

b. Contracts for all research or other sponsored programs which involve a stated or implied consideration of less than $250,000. This is applicable to both cash and noncash considerations.

c. All contracts for renewals of research or other sponsored programs and athletic events and all athletic contest contracts without regard to the stated or implied consideration.

d. All faculty employment contracts greater than $100,000 per annum shall be approved by the President. Authority to approve all faculty employment contracts less than or equal to $100,000 per annum will be delegated to the appropriate Dean. A list of all faculty employment contracts greater than $100,000 per annum will be provided to the Board as an information item at the next Board of Regents meeting. Faculty employment contracts executed under this provision will have a term no longer than two years.

e. Contracts in the above categories will be signed by the Chancellor or, in his absence, by the Deputy Chancellor, the President or the Vice President for Fiscal Affairs unless signature authority is delegated in accordance with Section ~~6~~5. below.

5. **Approval of the President is Required for:**

All contract renewals or amendments greater than $100,000 per annum which have changed in consideration by no more than 10% from the previous agreement. A list of those renewal contracts greater than $100,000 per annum, including the amount of the contract, will be provided to the Board as an information item at the next Board of Regents meeting.

6. **Delegation of Authority:**

a. The Chancellor may delegate his authority to approve and sign contracts for proposals or awards for research or other sponsored projects which involve a consideration of less than $250,000 to the Deputy Chancellor or, in his absence, the President or, in his absence, the Vice President for Fiscal Affairs.

b. The Chancellor may delegate his authority to approve and sign contracts for continuing education and extension course activity which involve a consideration of less than $250,000 to the Deputy Chancellor or, in his absence, the President or in his absence, the Vice President for Fiscal Affairs.

c. The Chancellor may delegate his authority to approve and sign other contracts involving a consideration of less than $100,000 to selected senior administrative officers as appropriate, provided that an adequate review is conducted by a senior fiscal officer for contracts of $25,000 or more, but retains overall responsibility for their actions.

04.06, Conduct of Texas Tech ~~University Health Sciences Center (TTUHSC)~~ Members

1. Colleges and universities which are tax supported must function in accordance with the public trust and the actions by faculty, staff and students within them must be consistent with the execution of that trust.

2. The following offenses are hereby defined to exemplify and define actions which are in breach of the trust:

   a. Academic dishonesty such as giving or receiving aid on a test, examination, quiz or other academic assignment plagiarism;

   b. Forgery, alteration or unauthorized use of ~~TTUHSC~~ Texas Tech documents, records, or identification materials;

   c. Knowingly furnishing false information to ~~TTUHSC~~ Texas Tech;

   d. The use of force or violence or other methods of obstructing the functions of ~~TTUHSC~~ Texas Tech which include teaching, research, administration, public service, presentations by guest lecturers and speakers, and other authorized activities;

   e. Physical abuse of any person on ~~TTUHSC~~ Texas Tech-owned or controlled property or at ~~TTUHSC~~ Texas Tech-sponsored or supervised functions or conduct which threatens or endangers the health or safety of any such person;

   f. Theft of or damage to the tangible property of ~~TTUHSC~~ Texas Tech or of a member of the ~~TTUHSC~~ Texas Tech community or campus visitor;

   g. Unauthorized entry to or use of ~~TTUHSC~~ Texas Tech facilities;

   h. Unlawful manufacture, distribution, dispensing, possession or use of a controlled substance, or any substance the possession or distribution of which is regulated by federal or Texas law, except where the manufacture, distribution, dispensing, possession or use are in accordance with the laws of each;

   i. Lewd, indecent or obscene conduct on ~~TTUHSC~~ Texas Tech-owned or controlled property or at a ~~TTUHSC~~ Texas Tech-sponsored or supervised function;

   j. Failure to comply with the lawful directions of ~~TTUHSC~~ Texas Tech officials where such directions are issued in the performance of their duties;

   k. Violation of other promulgated ~~TTUHSC~~ Texas Tech policies or rules.

3. Each faculty, staff and/or student employee is required to notify ~~TTUHSC~~ Texas Tech of any criminal drug conviction no later than five days after such conviction.

4. Adjudication of a violation of the standards established in this policy will result in the assessment of a penalty ranging from an oral reprimand to separation from ~~TTUHSC~~ Texas Tech.

5. Each employee of ~~TTUHSC~~ Texas Tech shall be furnished a copy of this policy and shall be required to abide by the terms of this policy as a condition of employment.

04.07, **Consulting or Outside Employment**

1. Outside employment is defined to be any compensated service or employment by an entity, other than Texas Tech ~~University Health Sciences Center~~, of a ~~Health Sciences Center~~ Texas Tech employee.

2. The primary responsibility of ~~Health Sciences Center~~ Texas Tech employees is the full and complete execution of all assigned duties, the fulfillment of those professional obligations not ordinarily reduced to written assignment and the maintenance of current professional skills. Outside employment must be compatible with the interests of ~~the Health Sciences Center~~ Texas Tech and of such a nature that it will not detract from the usefulness and performance of the employee.

3. Full-time clinical faculty involved in outside employment must do so under the provisions of ~~the Medical Practice Income Plan of the institution~~ each school's respective Income Plan.

04.08, Selection of Primary and Secondary Depositories for Texas Tech ~~TTUHSC~~

It is the intent of the Board of Regents of Texas Tech ~~University Health Sciences Center (TTUHSC)~~ that only those banks selected as prescribed by this policy shall be used to deposit and safeguard any and all of the funds subject to the control of this Board and in compliance with all existing statutes.

1. **Primary Depository.** A primary depository is defined as the bank or banks selected under this policy as the financial institution(s) in which all funds of the institutions, except as herein provided, are deposited for operating or investment purposes. The selection of primary depositories of the institutions shall be at the sole discretion of the Board from more than one written bid.

2. **Secondary Depositories.**

   a. Secondary depositories may be selected by the Vice President for Fiscal Affairs with the approval of the President as banks in which the institutions may maintain deposits temporarily, prior to transmittal to primary depositories.

   b. Balances in secondary depository accounts shall be fully secured by the Federal Deposit Insurance Corporation (or its successor) and in accordance with the provisions of Board Policy 04.11, with a pledge of qualified securities held by a custodian bank and in an amount equal to the difference between the amount insured by FDIC and the greatest amount expected to be on deposit at any time. The Vice President for Fiscal Affairs may exempt secondary depositories from the affiliated custodian provisions of Board Policy 04.11.

   c. Funds in secondary depository accounts will be transferred to the primary operating depository as soon as possible but at least once each seven (7) calendar days. However, in no event will the amount on deposit exceed the amount insured by FDIC plus any collateral pledged against the account.

04.09, Expenditures of Local Funds for Food and Refreshments

The Board of Regents of Texas Tech ~~University Health Sciences Center~~ has determined that expenditures of funds for the purchase of food and/or refreshments under the provisions of the guidelines set forth below assist the institution in carrying out its educational function, serve to promote education in the State of Texas, and serve an important public purpose. The Board of Regents hereby authorizes the institution to use the funds listed below for the purchase of food and/or refreshments in accordance with the guidelines hereinafter presented:

1. Expenditures of funds for food and/or refreshments must comply with one or more of the following direct purposes:

   a. The recognition or promotion of academic achievement, athletic achievement, scholarship and/or service to ~~the Health Sciences Center~~ Texas Tech or the State;

   b. The promotion or communication of intellectual ideas and/or exchange of administrative and operational information on programs or activities of the institution among students, faculty, staff, administrators and/or representatives of the public;

   c. The support of student events and activities which are sponsored by ~~the Health Sciences Center~~ Texas Tech;

   d. The recruitment of highly qualified students, faculty, and staff;

   e. The promotion of the exchange of ideas with community leaders regarding the role of ~~the Health Sciences Center~~ Texas Tech in the community; ~~and~~

   f. The support of a program of continuing education sponsored by ~~the Health Sciences Center~~ Texas Tech; and

   g. The assistance of the Regents, accrediting agencies, officials from other universities and/or public officials in inspecting and reviewing the facilities and programs of the University.

2. The following categories of funds may be used for the purchase of food and/or refreshments in accordance with the provisions of the above established guidelines:

   a. Balances in accounts funded from student service fees, allocations from auxiliary activities and concessions income (if any) may be used for the purchase of food and/or refreshments to the extent that such funds have been budgeted therefor;

   b. Donated unrestricted funds and funds received as registration fees for continuing education conferences and short courses may be used for the purchase of food and/or refreshments where provisions therefor have been included in the registration fees;

   c. Funds raised and/or earned by student organizations may be used for the purchase of food and/or refreshments; and

   d. Other locally generated income not restricted to Administrative, Education and General, Research, Plant Expansion, Loan and Endowment purposes and/or Scholarships may be used for the purchase of food and/or refreshments.

3. The appropriate President ~~of the Health Sciences Center~~ or his/her designate is authorized to determine if specific expenditures fall within the above established guidelines.

04.10 (A), Intellectual Property Policy - Texas Tech University

1. **Statement of Basic Philosophy and Objectives.**

It is recognized that research and scholarship on the part of members of the faculty, staff and students of Texas Tech University (hereinafter referred to as TTU) will result in inventions, manuscripts, or other products that are potentially marketable. It is the policy of the Board of Regents to encourage scholarly activity without regard to potential gains from royalties and other forms of income; however, all TTU policies governing patentable or copyrightable inventions, publications, or other marketable products will provide adequate recognition and incentives to sponsors, inventors, assignees, and authors, and at the same time, assure that TTU's duty to serve the public interest will be served.

2. **General Policy.**

The Intellectual Property Policy, as adopted, shall apply to all persons employed by the component faculties of TTU, all students of TTU, and to anyone using TTU facilities or under the supervision of TTU personnel. Every employee, faculty, staff, or student is expected to be aware of TTU policies regarding such copyright or patentable developments or discoveries and agrees to accept and abide by them as a condition of employment or enrollment.

It is the intent of this policy to foster the traditional freedoms of the TTU faculty, staff and students in matters of publication and invention, through a fair and reasonable balance of the equities among authors, inventors, sponsors and TTU. The purpose of the policy is to outline the respective rights that members of the faculty, staff and students have in intellectual materials created while they are affiliated with TTU.

As a public institution, TTU is entrusted with the responsibility to facilitate application of scientific, technical and intellectual endeavors of its faculty and staff for public use and to provide for an equitable disposition of interests among the authors and inventors, TTU, and where applicable, the sponsoring or contracting funding source.

3. **Classification of Intellectual Property.**

a. The patentable or copyrightable product is not related to the individual's employment responsibility and has resulted from the individual's efforts solely on his or her own time, with no TTU support or use of TTU facilities.

b. The patentable or copyrightable product has resulted from research or other activities performed by the individual utilizing less than a substantial level of direct support from TTU.

c. The patentable or copyrightable product has resulted from research or other activities performed by the individual utilizing a substantial level of direct support from TTU in excess of the customary use of TTU facilities and personnel.

d. The patentable or copyrightable product has resulted from research, in whole or in part, supported by a grant or contract with any government or governmental agency, federal, state or local, nonprofit foundation or commercial, corporate or for-profit organization of any kind whatsoever.

4. **Ownership -- Basic Policy.**

a. TTU claims no ownership in copyrightable and patentable works under category 3.a.

b. TTU does not claim copyright or patent rights on material resulting from teaching, research, scholarly and artistic activities such as scholarly articles, research bulletins, monographs, paintings, musical and dramatic compositions, sculptures, architectural designs, books, textbooks, submissions to scientific and technical journals, reference works and the like, when it provides no substantial direct support beyond regular salary, customary use of secretarial assistance, and the use of libraries, studios or offices.

c. Copyrightable or patentable material resulting from individual or group efforts receiving a substantial level of direct support from the university or its departments or units in the form of money, personnel or facilities beyond those levels of support described in Section 4.b. above, is regarded as TTU-sponsored and shall be the property of TTU, and at TTU's option shall be copyrighted or patented in the name of TTU except for material produced or developed under grants or contracts from agencies of the federal, state or local government or private sources. A substantial contribution, further, is one that is significant in the context of the situation and the practices of particular disciplines, schools and departments or other units of TTU.

(1) A substantial level of direct TTU support can generally be defined as follows:

(a) When equipment, materials, and staff services from any of a variety of TTU departments other than the home department or unit are used in the development of the copyrightable or patentable materials at no expense to the author or inventor or home department/unit.

(b) When the author or inventor has received support for the development of copyrightable or patentable materials, such support being in the form of money in excess of normal teaching salary, reduced teaching load, released time, or other resources from a department, college, or any unit of TTU.

In all cases of substantial TTU support, an appropriate agreement determining the ownership of the copyrightable or patentable product between TTU and the author(s) or inventor(s) shall be entered into prior to the beginning of the project. Questions as to whether particular research projects or other activities are considered TTU-sponsored should be addressed to the TTU Intellectual Property Committee, if they cannot be resolved by the affected parties.

d. Copyrightable and patentable works produced under grants or contracts as described in Section 3.d. shall be subject to the conditions of the contract or grant with respect to ownership, distribution and other rights. If the contract or grant does not specify the allocation of the rights in the copyrightable or patentable works, TTU will claim the copyright or patent on the work.

e. Copyrightable or patentable works prepared by students as part of the requirements for a TTU degree program are deemed to be the property of the student unless the student is being funded in full or in part through an external agreement or by TTU. If the student is funded by TTU, ~~when~~ the general provisions of this policy shall apply.

f. Copyrightable or patentable works, such as computer software, prepared by TTU faculty and staff using TTU computers or laboratories cannot be easily categorized. Therefore, for all research and other activities using TTU computers and laboratories there must be an agreement signed in advance as to whether there is a substantial level of direct support.

Departments or other TTU units are encouraged to develop guidelines on computer and laboratory use which may provide for a general finding that there is not a substantial level of direct support. These guidelines must be approved by the ~~Executive Vice President and~~ Provost. Normal usage of computers and laboratories within the respective discipline should be a major factor in determining whether there is a substantial level of direct support being provided by TTU. In the event there is a disagreement on the level of TTU support, the dispute shall be forwarded to the Intellectual Property Committee. The final decision shall be made by the ~~Executive Vice President and~~ Provost.

5. **TTU Intellectual Property Committee(s).**

a. The TTU Intellectual Property Committee is established to administer the TTU Intellectual Property Policy and to make recommendations to the appropriate administrative officers for further referral to the Office of the President of TTU and the Board of Regents of TTU (in those cases when action by the Office of the President and/or the Board of Regents is required). The composition of the Intellectual Property Committee shall be determined by the President and shall include representatives of the ~~Executive Vice President and~~ Provost, Vice President for Fiscal Affairs, the Office of General Counsel and the Faculty Senate. A majority of the voting members of the committee shall be full-time (e.g. nonadministrative faculty members of TTU). Review of decisions of the TTU Intellectual Property Committee shall be by the ~~Executive Vice President and~~ Provost. His decision shall be final. TTU will provide patent and copyright review and management services through the appropriate administrative office of TTU.

b. The Committee shall hear disputes between academic units regarding the allocation of royalty where under section 8. of this policy the units have not been able to agree on such allocation. The committee shall notify all affected parties and hold a hearing prior to making its recommendation to the ~~Executive Vice President and~~ Provost.

6. **Disclosure Requirements and Implementation Procedure**

a. The author or inventor of a patentable or copyrightable product which falls under Sections 3.a or b. need not have his product reviewed by the Committee because TTU is not claiming any intellectual property interest in said work. (This does not excuse the faculty or staff member from disclosing compensable work under TTU's existing outside consulting or theft of services policies.) TTU faculty, staff and students may choose to have TTU provide

b. assistance in the development or marketing of a copyrightable or patentable product even where under this policy TTU does not claim ownership. In these situations the ~~Executive Vice President and~~ Provost may refer the request to the Intellectual Property Committee. The final decision in these voluntary submission cases shall be made by the ~~Executive Vice President and~~ Provost.

b. In cases involving projects which require a substantial level of direct support from TTU, the proponent(s) of the project must send a notification to the ~~Executive Vice President and~~ Provost through his immediate administrative supervisor. The notification should include the following information:

(1) The extent to which TTU equipment, facilities, personnel or money are to by used;

(2) The nature of the intellectual property to be produced;

(3) The relative contribution of the authors or inventors in light of the substantial level of direct support by TTU; and

(4) Any other information relevant to determining the level of the direct support being provided by TTU.

Where the author or inventor or any other interested party, including the relevant administrative personnel, cannot agree on whether there is a substantial level of direct support so as to trigger the TTU ownership interest, the dispute shall be forwarded to the Committee along with all of the relevant documents. The Committee shall send its recommendation to the ~~Executive Vice President and~~ Provost for a final decision.

c. In cases where extramural funding or contracts are involved, including the use of TTU facilities or personnel, any employee, student, faculty or staff must disclose the pending contract to his immediate administrative supervisor. The notification shall include the following information:

(1) The sponsor of the project and the proposed terms of the agreement, including the ownership of the intellectual property that is to be created by the TTU employee, faculty, staff or student;

(2) The extent to which TTU equipment, facilities or personnel are to be used;

(3) The nature of the intellectual property to be produced; and

(4) Any other relevant information.

The administrator receiving such a notification must forward it immediately to the ~~Executive Vice President and~~ Provost for its prompt evaluation. It is to be expected that a decision on the ownership interests in the patentable or copyrightable products shall be made within two weeks of the submission unless the parties agree otherwise.

d. The decision regarding extramural agreements shall be based on the following guidelines. Administrative approval of application requests to, and acceptance of grants or contracts with, a federal, state, or local governmental unit, or any agency thereof, or with a nonprofit foundation or a private donor, implies a definite decision that the value to TTU of receiving the grant or performing the contract outweighs the impact of any resulting change in the basic Intellectual Property Policy of TTU. The Intellectual Property Policy of TTU is subject to, and thus amended and superseded by, the specific terms pertaining to patent and copyright rights included in federal, state, or local governmental grants and contracts, or grants and contracts with nonprofit foundations, or private donors to the extent of any conflict.

TTU recognizes the academic advantages that can come from close scientific cooperation between the research staffs of TTU and the research staffs of industry. The provisions of joint research arrangement with industry shall take into account:

(1) The extent of the industrial participant's contribution of funds and other services, including unique knowledge;

(2) The impact of the joint effort on the research and educational program of TTU;

(3) The protection of the personal achievements of the TTU participant or participants; and

(4) Exclusive license for some limited period of time;

(5) Exclusive license for the life of the patent or copyright; or

(6) Such other provisions as will properly equate the equities involved, including the right of TTU to terminate an exclusive license upon failure of the industrial participant to develop or exploit the idea in a manner which will enhance the interest of the public.

e. For commercial sponsors, patent privileges correspond to the level of funding provided. Each contract shall be individually negotiated with the following guidelines to be considered:

(1) When the sponsor pays all direct and indirect costs (including an appropriate share of any faculty salary and benefits) for the research to be undertaken, the sponsor may be granted a right of first refusal to an exclusive or nonexclusive license for the life of any U.S. patent. The right sublicense may be granted under an exclusive license only.

(2) When the sponsor pays less than all direct and indirect costs in the form of money, expendable materials or supplies, or other substantial assistance, the sponsor may be granted a right of refusal to a nonexclusive license for the life of any U.S. patent.

(3) When the sponsor pays only salaries or stipends in support of a fellowship or research assistantship for an individual, the sponsor may not be assured of a license but may be considered as a licensee.

f. Subject to the guidelines in section e. above, research funding agreements may provide a time-limited right of first refusal by the sponsor for a license to patentable inventions conceived and reduced to practice in the course of the sponsored research. All licenses will:

(1) Be royalty-bearing~~,~~ rates negotiable and based on general industry practices for the type of invention involved;

(2) Provide for diligent development, commercial marketing, or use as one condition for retention of the licensee; and

(3) Normally require a license issue fee and appropriate minimum annual royalties.

Licenses under corresponding foreign patents may be granted, where possible, on terms and conditions similar to U.S. licenses, except that the sponsor usually must agree to reimburse the University for its foreign patent prosecution and maintenance costs.

g. To evaluate the copyrightability or patentability of products produced with a substantial level of direct support, TTU, after consultation with the employee, student, faculty, or staff, will use whichever of the procedure(s) listed below is most appropriate for the particular case:

(1) Evaluation by the Intellectual Property Committee;

(2) Evaluation by an outside patent management organization chosen by TTU;

(3) Evaluation by a corporation or group that might have an interest in pursuing a patent;

(4) Where a patentable or copyrightable product is developed with a substantial level of direct support, the author or inventor must notify the ~~Executive Vice President and~~ Provost of the product prior to its completion so that TTU can determine whether an actual copyright or patent application will be filed by TTU.

If the evaluation and the final product indicates that a formal patent application or copyright should be filed, the employee(s) will execute an assignment of rights to TTU, or its nominees, as outlined in Section 7. below.

In the event that evaluation of the disclosure results in a decision that TTU will not seek a copyright or patent, TTU will transfer to the individual the right to exploit the intellectual property. TTU shall retain an ownership interest in the intellectual property and the individual must agree to pay to TTU five percent of all royalties received, or a negotiated portion of any income received from the exploitation of the intellectual property.

7. **Assignment of Copyright or Patent Rights to TTU or its Nominees.**

a. Where TTU claims ownership in a copyrightable or patentable product created by an employee, faculty, staff, or student of TTU, the employee will execute all documents necessary to assign to TTU or its nominee(s) all rights that he may have to such intellectual property both in the United States and foreign countries. In addition, he agrees to do everything that is required subsequently to assist all assignees to obtain, protect and maintain rights to the subject property. TTU acknowledges that an equity in the property remains with the employee. The determination of the employee's equity and share of income derived from royalties from a copyright or patent is as set forth below in Section 8.

b. Where TTU has either entered into a voluntary agreement with an individual to exploit his or her intellectual property, or where TTU has an equity interest in the intellectual property pursuant to this policy, TTU, through the ~~Executive Vice President and~~ Provost, shall work together with the individual in the licensing, development and marketing of the intellectual property. Final authority to make licensing, development, and marketing decisions shall reside with the ~~Executive Vice President and~~ Provost. TTU may enter into Confidential Disclosure Agreements with private investors, developers or corporations to license, develop or market the intellectual property where it would best serve in the interest of both TTU and the creator of the intellectual property.

Where multiple TTU departments or units are involved, the distrilbution to those units under the guidelines specified in Section 8. shall be determined prior to the time the product is exploited, after negotiations with all affected parties.

8. **Guidelines for Distribution of Royalties.**

Where TTU has an ownership interest in the intellectual property pursuant to this policy, the following provisions will govern the distribution of royalties and other income after TTU has recouped all expenses connected with the processing of the patent or copyright application:

Net Royalty	Individual	TTU	Unit/Area/ Department	College/ School
$0 - $50,000	70%	10%	10%	10%
$50,001 - $100,000	$35,000 plus 55% of amount over $50,000	15%	15%	15%
$100,001 - $500,000	$62,500 plus 30% of amount over $100,000	29%	30%	20%
$500,001 - Up	$182,500 plus 30% of amount over $500,000	as set by Board of Regents		

Net royalties are to be paid according to the above schedule as the net royalties are earned; that is, the individual will receive 70 percent of the first $50,000, 55 percent of the next $50,000 , and 30 percent of all net royalties over $100,000. Funds received by the department and college will be budgeted for expenditure in the routine annual operating budget which is approved by the Board of Regents. The policy recognizes that in addition to the traditional academic units such as departments and colleges, research, and specifically interdisciplinary research, can be sponsored by other academic units, such as centers and institutes. Because of the many different combinations that may occur, the policy cannot specify how the royalties are to be allocated. It is, however, the general policy of the Intellectual Property Policy to allocate royalties to the units which have provided the substantial level of indirect support that triggers TTU's ownership of the intellectual property. The policy encourages voluntary agreements between such units prior to the development of intellectual property (to allocate the percentage of royalty share that is appropriate for each unit). In the event that no agreement can be reached prior to the generation of royalties, the Vice Provost for Research will be consulted. If resolution is not forthcoming, the dispute will be sent to the Intellectual Property Committee. The committee wil forward a recommendation to the ~~Executive Vice President and~~ Provost regarding the allocation of royalties between the various affected academic units.

The division of net royalties and other income from patents and copyrights managed by a patent or copyright agent will be controlled by TTU agreement with such agent, as approved by the TTU Board of Regents. Any other deviation from this rule requires the prior approval of the TTU Board of Regents.

9. **Equity Ownership.**

This policy allows equity ownership and business participation by TTU faculty, staff and students consistent with State law in the Texas Education Code 51.912 or any other future statutory provision relating to the subject matter of this Intellectual Property Policy.

04.10 (B), Intellectual Property Policy - Texas Tech University Health Sciences Center

1. **Statement of Basic Philosophy and Objectives.**

It is recognized that research and scholarship on the part of members of the faculty, staff and students of Texas Tech University Health Sciences Center ~~[hereinafter referred to as TTUHSC]~~ (TTUHSC) will result in inventions, manuscripts, computer software, propogative materials such as cDNA probes and cell lines that produce monoclonal antibodies, or other products that are potentially marketable. It is the policy of the Board of Regents to encourage scholarly activity, without regard to potential gains from royalties and other forms of income; however, all TTUHSC policies governing patentable or copyrightable inventions, publications, or other marketable products will provide adequate recognition and incentives to sponsors, inventors, assignees, and authors, and at the same time, assure that TTUHSC will share in all of the rights in which it has an equity. It is an objective of TTUHSC that intellectual property be developed primarily to serve the public interest and that this objective will usually require protection of the property through filing of patents and copyrights and development of non-exclusive, limited-exclusive or exclusive licensing agreements with outside entities to further develop and produce a final product that will in turn serve the public interest. This policy is also intended to protect members of the TTUHSC faculty, staff, and students or other persons authorized to use TTUHSC facilities from allegations of improper use of State of Texas property and facilities for personal gain by clarifying the ownership of intellectual property and the equity interests of individuals in any income received by TTUHSC for intellectual property.

2. **General Policy.**

The Intellectual Property Policy as adopted shall apply to all persons employed by TTUHSC, and all students or other persons using TTUHSC facilities or under the supervision of TTUHSC personnel [hereinafter referred to as TTUHSC inventor(s) or author(s)]. Every person authorized to use TTUHSC facilities who may create intellectual property is expected to be aware of TTUHSC policies regarding such copyrightable, patentable or otherwise marketable product, developments or discoveries and agrees to accept and abide by them as a condition of employment, enrollment, or authorization to use TTUHSC facilities. If patentable or copyrightable items are developed by students, volunteers, etc. using TTUHSC facilities (other than libraries or assigned offices), the TTUHSC employee responsible for those facilities must report this activity to the TTUHSC Intellectual Property Officer.

It is the intent of this policy to permit all individuals covered by this policy, maximum freedom with respect to their findings, consistent with their obligations to TTUHSC. Any person affected by this policy who as a result of his or her research, study, or involvement makes a discovery, or develops a potentially marketable product should retain the right to suggest the manner or changes in the manner in which it is to be made public or commercialized. However, the final decision should be agreeable to both the TTUHSC inventor(s) or author(s) and the TTUHSC ~~Executive Vice President and Provost~~ President, as hereinafter described. In the event agreement cannot be reached, the TTUHSC ~~Executive Vice President and Provost~~ President will make the final determination of the issue. TTUHSC will provide patent and copyright review and management services through a person designated as the TTUHSC Intellectual Property Officer and through the TTUHSC Intellectual Property Committee or, if necessary, by other means.

3. **TTUHSC Intellectual Property Committee.**

The TTUHSC Intellectual Property Committee is established to make recommendations to the ~~TTUHSC Executive Vice President and Provost~~ President and the TTUHSC Intellectual Property Officer regarding the administration of the TTUHSC Intellectual Property Policy, and for further

referral to the Office of the ~~President of TTUHSC~~ Chancellor and the Board of Regents ~~of TTUHSC~~ in those cases when action by the Office of the ~~President~~ Chancellor and/or the Board of Regents is required. The TTUHSC Intellectual Property Committee shall be appointed by the TTUHSC ~~Executive Vice President and Provost~~ President and shall include one representative each of the TTUHSC ~~Executive Vice President and Provost~~ President, the TTUHSC ~~Vice Provost~~ Associate Dean for Research, and the TTUHSC Vice President for Fiscal Affairs, and one representative faculty member from each of the following: the School of Allied Health, the School of Nursing, the School of Pharmacy, the Basic Science faculty of the School of Medicine, and the Clinical faculty of the School of Medicine. The TTUHSC Intellectual Property Officer, and the TTUHSC Associate General Counsel shall serve as *ex officio* members of the committee and may have voting privileges only if appointed to serve as representatives of the administrative officers noted above. A majority of the voting members and the chairperson of the committee shall be faculty members of the TTUHSC who are not serving as representatives of the above administrative officers.

4. **Classification of Intellectual Property.**

   a. The patentable or copyrightable item was developed as a result of the individual's efforts solely on his/her own time, with no TTUHSC support or use of TTUHSC facilities.
   b. The patentable or copyrightable item has resulted from research performed by the individual in whole or in part on TTUHSC time, or with support by State funds, or using TTUHSC facilities.
   c. The patentable or copyrightable item has resulted from research in whole or in part supported by a grant or contract with the federal government or an agency thereof, or with a non-profit foundation, or by a private gift to TTUHSC.
   d. The patentable or copyrightable item has resulted from research supported by commercial concerns or industry.

5. **Disclosure of Intellectual Property to TTUHSC.**

   TTUHSC claims for itself, or on behalf of any research sponsor entitled thereto, equity in all developments, discoveries, or inventions of intellectual property made by its faculty, staff, or students in the course of their duties at TTUHSC, or by others with the use of TTUHSC facilities or equipment.

   TTUHSC will not claim ownership of scholarly articles, including copyrighted scientific and technical journals, book chapters and books, etc. which are the normal product of professionals in their particular discipline; however, if the TTUHSC author(s) are specifically paid to produce these products under a contract or agreement that requires the use of TTUHSC resources, beyond access to office space and library facilities, TTUHSC must be reimbursed for any expenses TTUHSC incurred in their development. If possible, a pre-development agreement should be reached prior to the production of the copyrightable materials to compensate TTUHSC for the anticipated expenses that will be incurred by TTUHSC so a plan for monitoring facility use for the project by a responsible third party who does not have a financial interest in the project can be developed. The agreement must provide compensation to the TTUHSC for the use of facilities, equipment, telephone service, technical support, secretarial support, and/or supplies expended in the development of this intellectual property. This compensation will normally be limited to the extra services required to develop the copyrightable materials and does not include the normal support that is provided to employees involved in their normal duties. The final decision regarding what constitutes normal support will be made by the TTUHSC ~~Executive Vice President and Provost~~ President after receiving a recommendation from the TTUHSC Intellectual

Property Committee. The TTUHSC Intellectual Property Committee will make this recommendation based upon information received from the TTUHSC author and/or the author's supervisor. If a pre-development agreement is not possible, the amount of compensation TTUHSC should receive from the TTUHSC author(s) will be determined by the TTUHSC ~~Executive Vice President and Provost~~ President after receiving a recommendation from the TTUHSC Intellectual Property Committee. The TTUHSC Intellectual Property Committee will make this recommendation based upon information received from the TTUHSC author(s) and his/her supervisor. In no case will the amount of compensation required by TTUHSC be greater than the amounts outlined in Section 9. below. The compensation to TTUHSC may be a one time payment of a predetermined amount, several payments which total a predetermined amount, or a percentage of the anticipated revenue. It is anticipated that income TTUHSC receives from this source will be returned to the department(s) or division(s) which incurred the expense. Pre-development agreements for the production of potentially patentable items involving private ownership by TTUHSC inventor(s) shall be executed as full cost recovery contracts between the individual(s) and TTUHSC according to the routine policies and procedures of the Board of Regents and the institution for the approval of contracts with other agencies. Since failure to compensate TTUHSC for resources used to generate personal income is in violation of the theft of services statute of the State of Texas, it can be punishable under the law.

Honorarium, pre-royalty payments, or other incentive payments to a TTUHSC inventor(s) or author(s) of under $5,000 that may be received by the individual(s) for developing a patentable or copyrightable product in lieu of contracted royalty income is exempted and need not be reported to the TTUHSC Intellectual Property Officer. If income actually generated from such intellectual property subsequently exceeds $5,000, the TTUHSC inventor(s) or author(s) who produced the marketable product must disclose the intellectual property and the amount of all income generated for such, to the TTUHSC according to this policy and the income will be redistributed according to the schedule specified in Section 9. below.

Every TTUHSC inventor or author shall notify TTUHSC promptly of any intellectual property which should be copyrighted or patented and which is developed or discovered in the course of his/her duties at TTUHSC, or with the use of its facilities. Such notification shall be made through the TTUHSC Intellectual Property Officer with a report (Disclosure of Intellectual Property) describing:

a. The complete description and purpose of the intellectual property;

b. The circumstances under which it was discovered or developed;

c. The sponsor, if any, of the project or program;

d. The extent to which equipment and/or physical facilities of TTUHSC were used;

e. Other parties or legal entities who may have in part shared in the development of the intellectual property being disclosed; and

f. The TTUHSC inventor's or author's proposed plan for protection and commercialization of the intellectual property being disclosed.

Disclosure may be made on a Disclosure of Intellectual Property Form (available from the TTUHSC Intellectual Property Officer), by letter covering the above points, or by filing a draft copy of a proposed Confidential Disclosure Agreement intended for transmittal by TTUHSC to a

prospective licensee. In addition to the TTUHSC inventor or author, his/her supervisor should sign the disclosure to acknowledge on behalf of the TTUHSC operational unit that the claims made in the disclosure are accurately represented. Upon receipt of the disclosure, the TTUHSC Intellectual Property Officer will process the disclosure according to a plan proposed by the TTUHSC inventor or author if the plan does not require investment of additional TTUHSC resources for protection and commercialization of the property. If the disclosure either claims personal ownership, is accompanied by a plan that will require investment of additional TTUHSC resources for protection and commercialization of the property, or requests an action that may not be considered to be in the best interests of the TTUHSC, the TTUHSC Intellectual Property Officer will arrange for its evaluation as outlined in Section 6., Review of Disclosure of Intellectual Property.

TTUHSC recognizes that an employee may develop or discover intellectual property as a result of work not conducted as a part of his/her TTUHSC duties, and carried out on the individual's own time, at no expense to TTUHSC, and without the use of TTUHSC facilities or equipment (other than libraries and regularly assigned offices). If this is the case, such intellectual property shall be the exclusive property of the employee and TTUHSC will relinquish any claims to such intellectual property. Employees wishing to clarify personal ownership of a copyright or patent on intellectual property of this type should submit a letter to the TTUHSC Intellectual Property Officer indicating the nature and circumstances of the development or discovery, documenting that the criteria listed are met, and requesting that TTUHSC relinquish all claims to an equity in the intellectual property. The TTUHSC ~~Executive Vice President and Provost~~ President, with the assistance of the TTUHSC Intellectual Property Officer and the TTUHSC Intellectual Property Committee, will review the facts of the request, and, if the necessary conditions are present, will inform the employee in writing that TTUHSC does not have any claim to the intellectual property based on the information provided.

6. Review of Disclosures of Intellectual Property.

A disclosure regarding intellectual property or anticipated development of intellectual property shall be made to the TTUHSC Intellectual Property Officer. Upon receiving a disclosure of intellectual property from a TTUHSC inventor(s) or author(s), TTUHSC will arrange for its prompt evaluation and as expeditious a decision as possible will be reached on whether or not an actual copyright or patent application will be filed by TTUHSC.

To evaluate disclosures for copyrightability or patentability, TTUHSC will, after consultation with the TTUHSC inventor(s) or author(s), use whichever of the procedure(s) listed below is more appropriate for the particular case:

a. Evaluation by the TTUHSC Intellectual Property Committee;

b. Evaluation by an outsider patent management organization chosen by TTUHSC;

c. Evaluation by a corporation or group that might have an interest in pursuing a patent;

d. Evaluation of disclosures resulting from research grants or contracts where the sponsor specifies some means of evaluation other than those listed in (~~B~~ b) and (~~C~~ c) will be carried out in accordance with the terms of the grant or contract or by mutual agreement.

If evaluation of the disclosure indicates that a formal patent application or copyright should be filed, the TTUHSC inventor(s) or author(s) will execute an assignment of rights to TTUHSC, or

its nominees, as outlined in Section 7. below. TTUHSC inventor(s) or author(s) participation in distribution of future royalty income will be executed as outlined in Section 9. below. In the case of multiple inventors or authors, or an alternate schedule of distribution of royalty income, a written agreement regarding royalty income distribution will be executed.

In the event that evaluation of the disclosure results in a decision that a copyright or patent will not be sought by TTUHSC, TTUHSC will indicate this decision to the TTUHSC inventor(s) or authors(s) in writing within 60 days unless all parties agree otherwise. If TTUHSC facilities, personnel or equipment were used in the development of the intellectual property, but TTUHSC elects not to expend additional funds to obtain a copyright or patent, TTUHSC will relinquish ownership of the intellectual property to the TTUHSC inventor(s) or author(s) with the agreement that TTUHSC is entitled to 5% of any proceeds realized from future sales or licensing of the intellectual property which accrue to the TTUHSC inventor(s) or authors(s) and/or their estates. This responsibility of the TTUHSC inventor(s) or authors(s) and/or their estates shall continue beyond the dates of employment with TTUHSC.

7. **Assignment of Copyright or Patent Rights to TTUHSC or its Nominees.**

If evaluation of a disclosure of intellectual property submitted by a TTUHSC inventor(s) or author(s) indicates that a copyright or patent will be pursued by TTUHSC, the TTUHSC inventor(s) or author(s) will execute all documents necessary to assign to TTUHSC or its nominee(s) all rights that he/she may have to such intellectual property both in the United States and foreign countries. In addition, he/she agrees to do everything that is required subsequently to assist all assignees to obtain, protect and maintain rights to the subject property. TTUHSC acknowledges that an equity interest in the property remains with the TTUHSC inventor(s) or author(s) and will involve him/her in all decisions involving subsequent licensure or marketing of the specific item of intellectual property. Where the TTUHSC inventor(s) or author(s) and the TTUHSC differ on decisions involving the licensure or marketing of the intellectual property, the TTUHSC Intellectual Property Committee shall recommend the appropriate action to be taken by the TTUHSC ~~Executive Vice President and Provost~~ President to license or market the item. The determination of the TTUHSC inventor's or author's equity and share of income derived from royalties from a copyright or patent is as set forth ~~below~~ in Section 9. below.

8. **Filing, Licensure, Development and Marketing of Intellectual Properties by TTUHSC.**

The TTUHSC Intellectual Property Officer, TTUHSC Associate General Counsel and the TTUHSC inventor(s) or author(s) will work together in all aspects of filing patents, and then in licensing, development and marketing the patented item and in the filing and marketing of copyrightable materials for which the TTUHSC claims ownership. Expenses incurred in such activities will be paid from funds, such as institutional development funds, private gifts, endowments, etc., which are available to the TTUHSC, the School or the Department which will benefit from the income distribution noted in Section 9. below. Funding agreements and accounting procedures for such expenditures will be developed between the TTUHSC Intellectual Property Officer and the respective account managers. These accounts will be reimbursed for expenses incurred before distributions of any income to the inventor, author, TTUHSC, School or Department. Alternatively, the initial disclosure may be submitted through a Confidential Disclosure Agreement between the TTUHSC and a private investor, developer or corporation which shall bear all such expenses and will agree to provide a payment and/or royalties to TTUHSC in return for limited or exclusive ownership options to the intellectual property.

Guidelines for Distribution of Royalties. After TTUHSC has recouped all expenses it has incurred in filing the patent or copyright and licensure or marketing of the item, the distribution of net royalties and other income shall be as follows:

Net Royalty	Individual	TTUHSC	Unit/Area/ Department	College/ School
$0 - $5,000	100%	0%	0%	0%
$5,001 - $50,000	70%	10%	10%	10%
$50,001 - $100,000	55%	15%	15%	15%
$100,001-$500,000	30%	20%	30%	20%
$500,001 - Up	30%	as set by the Board of Regents		

Net royalties are to be paid according to the above schedule as the net royalties are earned, that is, the individual will receive 100% of the first $5,000, 70% of the next $45,000, 55% of the next $50,000, and 30% of all net royalties over $100,000. In the case of joint inventorship or authorship by more than one person the royalties paid to the "individual" will be equally distributed to all TTUHSC inventors or authors unless a disproportionate distribution plan is agreed upon and included in the written agreement which is executed with the TTUHSC inventor(s) or author(s) at the time the TTUHSC claims final ownership of the item involved as indicated in Section 5. above. In the case of joint inventorship or authorship by TTUHSC inventor(s) or author(s) from different academic units/areas/departments and colleges/schools, or other formal interdisciplinary units such as centers and institutes, distribution of institutional royalty income will be proportional to the contributions made by each administrative unit in the development of the property as defined in a written agreement that will be executed at the time the TTUHSC claims final ownership of the item involved. In the event that no agreement can be reached prior to distribution of royalties, the TTUHSC Intellectual Property Committee will forward a recommendation to the TTUHSC ~~Executive Vice President and Provost~~ President regarding the allocation of royalties between the various affected academic units. Funds received by TTUHSC, the unit/area/department and the college/school will be budgeted for expenditures to enhance research in a manner that is approved by the Board of Regents.

The division of net royalties and other income from patents and copyrights managed by a patent or copyright agent will be controlled by TTUHSC agreement with such agent, as approved by the ~~TTUHSC~~ Board of Regents. Any other deviation from this rule requires the prior approval of the ~~TTUHSC~~ Board of Regents.

Administrative approval of application requests to, and acceptance of grants or contracts with, the federal government, or any agency thereof, or with a non-profit foundation or a private donor, implies a definite decision that the value to TTUHSC of receiving the grant or performing the contract outweighs the impact of any resulting change in the basic intellectual property policy of TTUHSC. The Intellectual Property Policy of TTUHSC is subject to, and thus amended and superseded by the specific terms pertaining to patent and copyright rights included in federal grants and contracts, or grants and contracts with non-profit foundations, or private donors to the extent of any conflict.

04.10 (B), **Intellectual Property Policy - Texas Tech University Health Sciences Center**

TTUHSC recognizes the academic advantages which can come from close scientific cooperation between the research staffs of TTUHSC and the research staffs of industry. The provisions of joint research arrangements with industry shall take into account:

a. The extent of the industrial participant's contribution of funds and other services, including unique knowledge;

b. The importance of the joint effort to the research and educational program of TTUHSC;

c. The protection of the personal achievements of the TTUHSC participant or participants; and
d. The interests of the State and its citizens who provide basic fiscal support.

Balancing the equities between these different interests may require the joint arrangement to contain provisions for:

a. Non-exclusive licensing;

b. Granting exclusive information prior to publication or patent or copyright application;

c. Royalty free non-exclusive license;

d. Exclusive license for some limited period of time;

e. Exclusive license for the life of the patent or copyright; or

f. Such other provisions as will properly equate the equities involved, including the right of TTUHSC to terminate an exclusive license upon failure of the industrial participant to develop or exploit the idea in a manner which will enhance the interest of the public.

All such arrangements of contracts with industrial participants shall be reviewed and approved according to the routine policies and procedures of the Board of Regents and the institution for the approval of contracts with other agencies. TTUHSC inventor(s) or author(s) whose patentable or copyrightable ideas result from research supported by a grant or contract with commercial concerns or industry shall make such disclosure and assignment of patentable or copyrightable ideas as is necessary in each case in order that TTUHSC may discharge its obligations, expressed or implied, under the particular agreement.

Any agreement altering the basic Intellectual Property Policy of TTUHSC as set out above shall be reviewed by the TTUHSC Intellectual Property Committee, approved by the ~~President~~ Chancellor, and the ~~TTUHSC~~ Board of Regents, if appropriate.

04.11, Investments of Institutional Funds

1. **Preface.**

   a. This policy statement is issued by the Board of Regents of Texas Tech for guidance in the investment of the institutional funds of Texas Tech University and Texas Tech University Health Sciences Center, known as the "Short/Intermediate Term Investment Fund" ("SITIF"). Certain eligible endowment funds may be invested in a separate fund, called the Long-Term Investment Fund, in accordance with Board of Regents Policy 05.06. Certain other institutional funds in amounts determined from time to time by the Board of Regents may be invested in accordance with the policies governing the Long-Term Investment Fund. All other funds will comply with this policy statement.

   b. Notwithstanding the above, this policy statement does not preclude the acceptance and retention of securities as gifts to TTU and/or HSC. TTU and HSC shall manage and safeguard such securities in their original form, in accordance with the donor's written instructions. However, upon the partial or total disposition of the original investment, the proceeds will be invested in accordance with this policy.

2. **Authority for Investments.**

   Section 51.0031 of the Texas Education Code provides that TTU and HSC invest all funds under prudent person standards. As defined in the Education Code, the prudent person standard means that standard of judgment and care that persons of ordinary prudence, discretion, and intelligence exercise in the management of their affairs in regard to the investments of their funds considering probable income as well as probable safety of their capital.

3. **Investment Objectives.**

   a. The investment of funds under this policy statement shall be governed by the following investment objectives, in order of priority:

      (1) Preservation and safety of principal;
      (2) Liquidity; and
      (3) Yield

   b. The investment of funds shall also consider asset diversification, yield, suitability and the experience, quality and capability of investment personnel.

   c. In determining whether the above objectives have been exercised, the following shall be taken into consideration;

      (1) The investment of all funds rather than a consideration as to the prudence of a single investment; and
      (2) Whether the investment decision was consistent with this written policy.

4. **Investment Concept.**

   a. The SITIF shall employ a hold to maturity concept to provide stability of yield to the SITIF. Under such a concept, the ability to purchase an eligible security possessing an acceptable yield and to hold that security to maturity, even though market values may decline, requires the SITIF to maintain an adequate liquidity position. Because the SITIF shall maintain both the ability and intent to hold securities to maturity, unrealized gains and losses will not be

recorded. This concept differs significantly from a "total return" investment where market timing is critical.

b. Notwithstanding the preceding paragraph, certain SITIF securities may be sold provided that there is a significant material advantage to be gained by the transaction and it is in compliance with Federal and State laws, University policy and this policy statement.

5. **Performance Goals and Objectives.**

As discussed below, the SITIF will be comprised primarily of collateralized bank accounts, money market mutual funds and eligible fixed income securities. Consequently, the SITIF's annual performance will be compared to the indices of comparable securities. The annual yield objective of the SITIF is to exceed the annual yield of both the Lehman Brothers Intermediate Term U.S. Treasury Index and the Lehman Brothers Intermediate Term Government Index.

6. **Authorized Officials.**

The Board of Regents designates the Vice Chancellor for Administration and Finance as the authorized Investment Officer. However, at each August meeting, the Board of Regents will further delegate its authority to sell, purchase and transfer investments to the following officers:

a. **Texas Tech University.**
To authorize and approve the sale, purchase and transfer of stocks, bonds, and other securities which are owned or controlled by Texas Tech University provided such action is approved by any two of the officers listed below;

(1) Chancellor
(2) Deputy Chancellor
(3) Vice Chancellor for Administration and Finance
(4) Assistant Vice Chancellor for Investments
(5) Vice President for Fiscal Affairs
(6) Associate Vice President for Business Affairs and Comptroller
(7) Assistant Comptroller

However, for all instruments contributed to Texas Tech University, one of the two officers named below must approve any sale:

(1) Vice Chancellor for Institutional Advancement
(2) Assistant Vice Chancellor for Development

b. **Texas Tech University Health Sciences Center.**
To authorize and approve the sale, purchase and transfer of stocks, bonds, and other securities which are owned or controlled by Texas Tech University Health Sciences Center provided such action is approved by any two of the officers listed below;

(1) Chancellor
(2) Deputy Chancellor
(3) Vice Chancellor for Administration and Finance
(4) Assistant Vice Chancellor for Investments
(5) Vice President for Fiscal Affairs
(6) Director of Accounting Services

However, for all instruments contributed to Texas Tech University Health Sciences Center, one of the two officers named below must approve any sale:

(1) Vice Chancellor for Institutional Advancement
(2) Assistant Vice Chancellor for Development

7. **Potential Conflicts of Interest.**
Any officer authorized in paragraph (6), above, who has a personal business relationship with an entity seeking to sell an investment to TTU or HSC shall file a statement disclosing that personal business interest. An investment officer who is related within the second degree of affinity or consanguinity to an individual seeking to sell an investment to TTU or HSC shall file a statement disclosing that relationship. A statement required under this section of the policy statement must be filed with the Texas Ethics Commission and with the Board of Regents.

8. **Authorized Investments.** The following are authorized investments:

a. Obligations of, or Guaranteed by, Governmental Entities.

(1) Obligations of the United States or its agencies and instrumentalities;
(2) Direct obligations of the State of Texas or its agencies and instrumentalities;
(3) Collateralized mortgage obligations (CMOs) directly issued by a federal agency or instrumentality of the United States, the underlying security for which is guaranteed by an agency or instrumentality of the United States; and
(4) Other obligations, such as mortgage-backed securities, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, the State of Texas or the United States or their respective agencies and instrumentalities.

Notwithstanding the above, the following investments are not authorized under this section a.

(1) Obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgage-backed security collateral and pays no principal;
(2) Obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bears no interest;
(3) Collateralized mortgage obligations that have a weighted average maturity at time of purchase of greater than 10 years; and
(4) Collateralized mortgage obligations the interest rate of which is determined by an index that adjusts opposite to the changes in a market index.

Limitations on authorized investments:

(1) Obligations of the United States or its agencies and instrumentalities:

(a)	Maximum Term	10 years
(b)	Maximum Single Purchase	Without Limitation
(c)	Maximum Aggregate Position	No Limit

(2) Direct obligation of the State of Texas or its agencies and instrumentalities:

(a)	Maximum Term	10 years
(b)	Maximum Single Purchase	5% of Portfolio
(c)	Maximum Aggregate Position	25% of Portfolio

(3) Collateralized mortgage obligation (CMOs) directly issued by a federal agency or instrumentality of the United States, the underlying security for which is guaranteed by an agency or instrumentality of the United States:

(a)	Maximum Term	10 years Weighted Average Life, at time of purchase
(b)	Maximum Single Purchase	3% of Portfolio
(c)	Maximum Aggregate Position	Not to Exceed 75% of Portfolio (with the specific intent to reduce, over time, the CMO component to 40% of the portfolio)

(4) Other obligations, such as mortgage-backed securities, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, the State of Texas or the United States or their respective agencies and instrumentalities:

(a)	Maximum Weighted Average Life	15 Years, at time of purchase
(b)	Maximum Single Purchase	3% of Portfolio
(c)	Maximum Aggregate Position	25% of Portfolio

b. Bank Deposits and Certificates of Deposit.

(1) Funds shall be deposited into those depositories consistent with Board of Regent Policy Statement 04.08 on Selection of Primary and Secondary Depositories for Texas Tech University and Texas Tech University Health Sciences Center.

On any given day, no depository bank shall have institutional funds on deposit in an amount which exceeds any one of the following limits:

(a) Twenty five percent of the total funds available for investment by TTU/HSC; or

(b) Based upon the bank's latest regularly published statement of financial condition:

i. Fifteen percent of its total deposits;
ii. An amount equal to the sum of its capital, permanent surplus, retained earnings, and reserves.

The above limitations shall not be construed to establish a commitment and/or guarantee on the part of TTU or HSC to deposit any particular amount in any one bank. TTU/HSC may develop additional institutional guidelines which may employ other criteria to establish limits on the total amount of deposits in any bank. Such guidelines, however, shall not allow the total deposits in any bank to exceed the limits otherwise established under this policy statement.

(2) Certificates of deposit if issued by a state or national bank or a savings and loan association domiciled in the State of Texas.

Limitations:

(a)	Maximum Term	10 Years
(b)	Maximum Single Purchase	3% of Portfolio
(c)	Maximum Aggregate Position	Same as bank deposits, see above

For both Bank Deposits and Certificates of Deposits, discussed in subparagraphs (1) and (2) above, the following provisions apply:

(a) All cash instruments, including Certificates of Deposit, must be fully collateralized as required in Section 51.0038 of the Texas Education Code and with the Public Funds Investment Act, as amended, except that surety bonds are not authorized as collateral. The pledged collateral shall be placed in a custodian bank or banks named by TTU or HSC. In no event will the custodian be affiliated with the depository bank.

(b) Deposits and Certificates of Deposits must be guaranteed or insured by the Federal Deposit Insurance Corporation or its successor or be secured by eligible obligations that are described in section (A), above, including mortgage backed securities directly issued by a federal agency or instrumentality that have a market value of not less than the principal amount of the deposits and/or certificates.

c. Repurchase Agreements.

A repurchase agreement means a simultaneous agreement to buy, hold for a specified time, and sell back at a future date obligations described in section a. above, at a market value at the time the funds are disbursed of not less than the principal amount of the funds disbursed. A fully collateralized repurchase agreement is an authorized investment if the repurchase agreement is secured by obligations described in section a. above and requires the securities being purchased to be pledged to TTU/HSC and deposited at the time the investment is made with a third party selected and approved by TTU and HSC. Repurchase agreements must be placed through a primary government securities dealer, as defined by the Federal Reserve, or a financial institution doing business in the State of Texas.

Limitations: Same as bank deposits, see above. Reverse Repurchase Agreements are not permitted.

d. Guaranteed Investment Contracts.

A guaranteed investment contract is an authorized investment for bond proceeds if the guaranteed investment contract:

(1) Has a defined termination date;
(2) Is secured by obligations described by section (A), above, in an amount at least equal to the amount of bond proceeds invested under the contract; and
(3) Is pledged to TTU/HSC and deposited with a third party selected and approved by TTU/HSC.

Bond proceeds may not be invested in a guaranteed investment contract with a term longer than five years from the date of issuance of the bonds.

To be eligible as an authorized investment, bids from at least three separate providers with no material financial interest in the bonds from which proceeds were received must be obtained. TTU/HSC must purchase the highest yielding guaranteed investment contract for which a qualifying bid is received. The price of the guaranteed investment contract must take into account the reasonably expected drawdown schedule for the bond proceeds to be invested. The provider must certify the administrative costs reasonably expected to be paid to third parties in connection with the guaranteed investment contract.

e. Money Market Mutual Funds.

A no-load money market mutual fund is an authorized investment if it:

(1) Is regulated by the Securities and Exchange Commission;
(2) Has a dollar-weighted average stated maturity of 90 days or fewer:
(3) Includes in its investment objective the maintenance of a stable net asset value of $1 for each share; and
(4) Invests in only U.S. Government and government agency securities.

The investment in any one no-load money market mutual fund cannot exceed 25 percent of the market value of the Long-Term Investment Fund.

f. Investment Pools.

Eligible investment pools are authorized investments.

To be considered an eligible investment pool, the investment pool must furnish an offering circular or other similar disclosure instrument that contains, at a minimum, the following information:

(1) The types of investments in which money is allowed to be invested;
(2) The maximum average dollar-weighted maturity allowed, based on the stated maturity date, of the pool;
(3) The maximum stated maturity date any investment security within the portfolio has;
(4) The objectives of the pool;
(5) The size of the pool;
(6) The names of the members of the advisory board of the pool and the dates their terms expire;
(7) The custodian bank that will safekeep the pool's assets;
(8) Whether the intent of the pool is to maintain a net asset value of one dollar and the risk of market price fluctuation;
(9) Whether the only source of payment is the assets of the pool at market value or whether there is a secondary source of payment, such as insurance or guarantees, and a description of the secondary source of payment;
(10) The name and address of the independent auditor of the pool;
(11) The requirements to be satisfied for the University/Health Sciences Center to deposit funds in and withdraw funds from the pool and any deadlines or other operating policies required for the University/Health Sciences Center to invest funds in and

withdraw funds from the pool; and

(12) The performance history of the pool, including yield, average dollar-weighted maturities, and expense ratios.

To maintain eligibility, the investment pool must furnish the following:

(1) Investment transaction confirmations; and
(2) A monthly report that contains, at a minimum, the following:
  (A) The types and percentage breakdown of securities in which the pool is invested;
  (B) The current average dollar-weighted maturity, based on the stated maturity date, of the pool;
  (C) The current percentage of the pool's portfolio in investments that have stated maturities of more than one year;
  (D) The book value versus the market value of the pool's portfolio, using amortized cost valuation;
  (E) The size of the pool;
  (F) The number of participants in the pool;
  (G) The custodian bank that is safekeeping the assets of the pool;
  (H) A listing of daily transaction activity of the University / Health Sciences Center;
  (I) The yield and expense ratio of the pool;
  (J) The portfolio managers of the pool; and
  (K) Any changes or addenda to the offering circular.

In addition to the eligibility requirements discussed above, the investment pool must mark its portfolio to market daily and, to the extent reasonably possible, stabilized at a $1 net asset value. If the ratio of the market value of the portfolio divided by the book value of the portfolio is less than 0.995 or greater than 1.005, portfolio holdings shall be sold by the pool as necessary to maintain the ratio between 0.995 and 1.005. Further, the investment pool must be continuously rated no lower than AAA or AAA-m or at an equivalent rating by at least one nationally recognized rating service.

The eligible investment pool for Texas Tech University and Texas Tech University Health Sciences Center is: TexPool.

g. Bankers' Acceptances.

Bankers' acceptances are eligible investments if the bankers' acceptance:

(1) Has a stated maturity of 270 days or less from the date of its issuance;
(2) Will be, in accordance with its terms, liquidated in full at maturity;
(3) Is eligible for collateral for borrowing from a Federal Reserve Bank; and
(4) Is acceptable by a bank organized and existing under the laws of the United States or any state, if the short-term obligations of the bank, or of a bank holding company of which the bank is the largest subsidiary, are rated not less than A-1 or P-1 or an equivalent rating by at least one nationally recognized credit rating agency.

Limitations:

Maximum Single Purchase:	3% of Portfolio
Maximum Aggregate Position:	10% of Portfolio

h. Commercial Paper.

Commercial paper is an eligible investment if the commercial paper:

(1) Has a stated maturity of 270 days or less from the date of its issuance; and
(2) Is rated not less than A-1 or P-1 or an equivalent rating by at least:

(A) Two nationally recognized credit rating agencies; or
(B) One nationally recognized credit rating agency and is fully secured by an irrevocable letter of credit issued by a bank organized and existing under the laws of the United States or any state.

Limitations:

Maximum Single Purchase:	3% of the Portfolio
Maximum Aggregate Position:	10% of the Portfolio

i. Cash Management and Fixed Income Funds.

Cash management and fixed income funds are eligible investments if they are sponsored by organizations exempt from federal income taxation under Section 501(f), Internal Revenue Code of 1986.

Limitations:

Maximum Aggregate Position:	25% of Portfolio

j. Corporate bonds, debentures, or similar debt obligations rated by a nationally recognized investment rating firm in one of the two highest long-term rating categories.

Limitations:

Maximum Exposure to any one Corporation	3% of the Portfolio
Maximum Aggregate Position	15% of the Portfolio

9. **Selection of Securities Dealers.**

a. TTU and HSC may rely on certain information and advice of securities sales representatives concerning proposed investments, investment timing and pricing. It is essential that TTU and HSC have sufficient knowledge about the securities firms and personnel with whom they are doing business. Firms that are unwilling to provide complete and timely disclosure of their financial conditions will not be utilized.

b. The following will be considered in the selection of securities firms:

(1) The ability of the securities dealer to fulfill commitments as evidenced by capital strength, liquidity and operating results. This evidence shall be gathered from current financial data, annual reports, credit reports and other sources of financial information.
(2) The dealer's general reputation for financial stability and fair and honest dealings with customers.

(3) Information available from State or Federal securities regulators and securities industry self-regulatory organizations, such as the National Association of Securities Dealers, concerning any formal enforcement actions against the dealer, its affiliates or associated personnel.

(4) A review of the background of the sales representative with whom business will be conducted in order to determine his or her experience and expertise.

c. A copy of this policy statement is to be provided to all securities dealers seeking to conduct securities transactions with TTU and HSC.

d. TTU and HSC shall make reasonable, good faith efforts to include woman-owned and minority-owned businesses in its investment process. A minority-owned business means a business entity in which 51 percent of the ownership interests in the entity are held by one or more minority group members. A woman-owned business means a business entity in which at least 51 percent of the ownership interests in the entity are held by one or more women.

10. **Investment Training.**

The appropriate officers discussed in section (6), above, shall attend at least one training session per year relating to the person's responsibilities. The training should include education in investment controls, security risks, strategy risks, market risks and compliance with certain State statutes and this policy statement.

11. **Internal Management Reports.**

Not less than quarterly, the Vice Chancellor for Administration and Finance shall prepare and submit to the Chairman of the Board of Regents' Finance Committee, the Chancellor, the Deputy Chancellor, and to the Presidents of TTU and HSC a written report of investments. The report shall:

a. Describe the investment position of the SITIF;

b. Contain a summary of:

(1) The beginning market value of the reporting period;
(2) Additions and changes to the market value during the period;
(3) Ending market value for the period;
(4) State the book value and market value of investments at the beginning and the end of the reporting period by type of asset invested;
(5) The weighted average maturity of each asset type;
(6) The compliance of the SITIF as it relates to this policy statement.

The Vice Chancellor for Administration and Finance shall, at the beginning of each fiscal year, present to the Board of Regents a report of the investments of the TTU and HSC during the preceding fiscal year. The report will summarize all investment activity for the year along with total investment income and annual investment rate of return.

04.12. Mineral Leases

It is the intent of the Board of Regents to lease oil, gas, sulphur, ore, water, and other mineral interests of Texas Tech ~~University Health Sciences Center (TTUHSC)~~ for development whenever there is a demand which will reasonably insure that they may be leased advantageously and it is in the best interest of ~~TTUHSC~~ Texas Tech to do so. All leases will be executed in accordance with the applicable laws and with rules and regulations adopted by the Board which are not inconsistent with the provisions of law. The reason for leasing minerals is to obtain additional income to be used by the Board for the administration of ~~TTUHSC~~ Texas Tech, for payment of principal of and interest on revenue bonds and notes issued by the Board, and for any other purpose that in the judgment of the Board may be for the good of ~~TTUHSC~~ Texas Tech.

1. **Lands Under Exclusive Control of the Board and Owned by the State of Texas.**

   a. Leases will be negotiated with prospective lessees to obtain their best offer above the minimum outlined in Section c. below.
   b. Leases normally will be for oil and gas production only. Separate leases will be required for other mineral production, whether strip-mined or not.
   c. The Board may not sell a lease for less than the royalty and rental terms demanded at that time by the General Land Office in connection with the sale of oil, gas, and other mineral leases of the public lands of this state. In addition, no bid or proposal shall be accepted which offers a royalty of less than one-quarter of production, a primary term greater than five years or a delay rental of less than $5.00 per acre per year.
   d. No state lands shall be sold unless the mineral rights are retained by the state, unless impractical.
   e. Use of ~~TTUHSC~~ Texas Tech standardized oil and gas lease or oil and gas and mineral lease forms will be required for all leases.
   f. Use of ~~TTUHSC~~ Texas Tech standardized division order forms will be required for all division orders.

2. **Mineral and Royalty Interests Derived from Trusts and Gifts.**

   a. Leases will be negotiated with prospective lessees to obtain their best offer above the minimums outlined in Section c. below.
   b. Leases will normally be for oil and gas production only. Separate leases will be required for other mineral production, whether strip-mined or not.
   c. No proposal shall be accepted which offers a royalty of less than one-quarter of production, a primary term of more than five years or a delay rental of less than $5.00 per year per mineral acre, beginning with the second year of the lease.
   d. Use of ~~TTUHSC~~ Texas Tech standardized oil and gas lease or oil and gas and mineral lease forms will be required for all leases.
   e. Use of ~~TTUHSC~~ Texas Tech standardized division order forms will be required for all division orders.

3. **Approval.**

   All leases and other documents relating to leasing will be approved by the Finance Committee, by the Board as a ratification item and signed by the ~~President~~ Chancellor and Chief Executive Officer.

04.13, **Personnel Files**

1. Texas Tech ~~University Health Sciences Center~~ will maintain, in an appropriate office, a personnel file on each employee. This file shall contain the employee's application for employment, appointment papers, contracts, performance evaluation and such additional material as is appropriate.

2. The contents of the personnel file and copies of all parts of the contents of the file which may be maintained elsewhere by the institution are confidential except as provided by law. The materials described in this policy shall be disclosed only to the employee and to such other officers, including members of the Board of Regents, and employees of Texas Tech ~~University Health Sciences Center~~ as have responsibilities requiring use of the records.

3. Upon receipt by Texas Tech ~~University Health Sciences Center~~ of a subpoena or a court order, or upon the request of the employee, access to personnel files will be granted to persons not having access under subsection 2. hereof in the manner and under the terms specified in the subpoena, order or request.

04.14. Retirement of Texas Tech ~~University Health Sciences Center~~ Employees

1. **Voluntary Retirement.**

   a. Voluntary retirement of an employee may occur when the employee elects to do so, is at least 55 years of age, has 5 or more years of creditable State service and has not forfeited retirement benefits by withdrawing from the retirement program or by continuing other employment that accrues additional creditable service under one of the State's retirement programs.

   b. The President may approve or delegate the approval of voluntary retirement for ~~TTUHSC~~ Texas Tech employees.

2. **Disability Retirement.**

   a. Employees who have at least 10 years of service and are unable to perform their assigned duties because they become permanently and totally disabled may be retired for disability provided that payment of benefits is approved either by the Teacher Retirement System or by ~~TTUHSC~~ Texas Tech if the employee is not a member of the Teacher Retirement System. Employees who have less than 10 years of creditable service may be retired for disability under the same conditions and draw benefits for a period of time equal to the number of months of creditable State service.

   b. The President may approve or delegate the approval of disability retirement for ~~TTUHSC~~ Texas Tech employees.

3. **Voluntary Retirement of Faculty Members with Option for Part-time Teaching.**

   a. All full-time tenured faculty who have reached age 60 and have 10 or more years of service creditable for retirement under one of the State's authorized retirement programs may relinquish tenure and retire with an agreement for continued part-time teaching for less than one-half of the workload established for full-time faculty.

   b. The President may approve or delegate the approval of voluntary retirement of faculty members with an option for part-time teaching.

04.15, **Authority to Approve Travel**

1. Article ~~IV~~ IX, Section ~~13~~ 17.2 of the General ~~Provisions of House Bill 656, 67th~~ Appropriations Act, 75th Legislature, State of Texas, Regular Session, provides that

   "~~...~~The ~~Respective Governing Boards may delegate their authority to authorize and approve official travel...provided such delegation of authority shall specify the kind and nature of official travel to be approved and the termination date of such delegation of authority, that such delegations of authority are entered in the Official Minutes~~ governing board of each institution of higher education may delegate to its president, chief executive, vice presidents, deans, or fiscal officers the authority to approve travel and the resulting payments and reimbursements. However, such delegations of authority shall specify the kind of travel that may be approved and the termination date of the delegated authority. The delegation of authority shall specify the kind of travel that may be approved and the termination date of the delegated authority. The delegation of authority shall be entered in the official minutes of each governing board, and a copy of those minutes shall be filed with Comptroller~~...~~ ."

2. The officers and administrators of Texas Tech ~~University Health Sciences Center~~ who are authorized to approve travel for employees of Texas Tech ~~University Health Sciences Center~~ shall be listed in the published Official Minutes of the Board of Regents and in selected official documents at the beginning of each fiscal year.

3. Travel to countries outside of the United States, other than to Canada and Mexico, requires prior approval of the President of Texas Tech or his designee ~~University Health Sciences Center and the Governor of the State of Texas~~ for employees who are traveling on official leave for which expenses are reimbursable from State appropriated funds, and this authorization is delegable by the President.

04.16, Travel and Other Expenses for Members of the Board of Regents

1. All travel by members of the Board of Regents which is to be paid from Texas Tech University Health Sciences Center and Texas Tech University funds shall be for official business.

2. Members when traveling on official business are authorized by law to be reimbursed from appropriated funds for the actual cost of meals, and lodging, subject to the rates and limitations established in statutory authority, local transportation and parking fees and for airfare at the next lowest rate below first class unless it is not available. Members are authorized to travel first class and also to be reimbursed the amounts for the actual cost of meals and lodging in excess of that authorized to be paid from appropriated funds, when considered appropriate by the member and will be reimbursed for the additional costs thereof from other funds. Other funds are those derived from gifts from private sources.

3. When a spouse is required for a valid public purpose, as determined by the member, to accompany the member, the spouse's expenses shall be reimbursed from other funds.

~~4. Members may use the University aircraft to travel on official business which serves a valid public purpose as determined in advance by the Chairman of the Board or the Chairman of the Finance Committee.~~

~~5.~~4. Vouchers for travel or other expenses of members will be prepared in the Office of the Board of Regents, forwarded to the Office of ~~Fiscal Affairs~~ the Vice Chancellor for Administration and Finance for review and returned to the Office of the Board of Regents. Either the ~~Chairman~~ Chair of the Board or the ~~Chairman~~ Chair of the Finance and Administration Committee must approve all travel vouchers for members. A member may not approve his own voucher.

~~6.~~5. Vouchers for reimbursements to members for other expenses shall be processed in accordance with ~~5~~4. above. These expenses must be for a valid public purpose as certified by the member. Any extraordinary expenses must be approved in advance by either the ~~Chairman~~ Chair of the Board or the ~~Chairman~~ Chair of the Finance and Administration Committee.

~~7.~~6. The Vice ~~President for Fiscal Affairs~~ Chancellor for Administration and Finance will assure that expense vouchers for members are audited annually by the external auditor.

04.17, Travel and Other Expenses of the ~~President~~ Chancellor

1. All travel of the ~~President~~ Chancellor which is to be paid from Texas Tech ~~University and Texas Tech University Health Sciences Center~~ funds shall be for official business.

2. The ~~President~~ Chancellor is the executive head of a State agency and, when traveling on official business, is authorized by law to be reimbursed from appropriated funds for the actual costs of meals, lodging, local transportation and parking fees and for airfare at the next lowest rate below first class unless it is not available. The ~~President~~ Chancellor is authorized to travel first class when considered appropriate by the ~~President~~ Chancellor and to be reimbursed for the additional cost thereof from other funds. Other funds are those derived from gifts from private sources.

3. When a spouse is required for a valid public purpose, as determined by the ~~President~~ Chancellor, to accompany the ~~President~~ Chancellor or to travel alone, the spouse's expenses shall be reimbursed from other funds.

~~4. The President may use the University aircraft to travel on official business which serves a valid public purpose as determined by the President.~~

~~5.~~4. Vouchers for travel or other expenses of the ~~President~~ Chancellor will be forwarded to the Office of ~~Fiscal Affairs~~ the Vice Chancellor for Administration and Finance for review and then forwarded for approval by the ~~Chairman~~ Chair of the Finance and Administration Committee or, in his absence, the ~~Chairman~~ Chair of the Board. Vouchers should be approved normally within 10 days.

~~6.~~5. Whenever official business shall require the ~~President~~ Chancellor to be absent from the campus for a period in excess of 7 days, excluding official University holidays, the Office of the Board of Regents shall be notified in writing, with copies of the correspondence provided to the ~~Chairman~~ Chair and the Vice ~~Chairman~~ Chair of the Board.

~~7.~~6. The Vice ~~President for Fiscal Affairs~~ Chancellor for Administration and Finance will assure that processed expense vouchers for the ~~President~~ Chancellor are audited annually by an external auditor.

04.18, Travel of Faculty and Staff

1. Trips off campus for faculty and staff shall be made only after obtaining appropriate approval by the designated administrative officials in accordance with established procedures and where the trip contributes to the mission of ~~the Health Sciences Center~~ Texas Tech.

2. Travel by faculty and staff may not interfere with the primary academic or administrative responsibilities of the traveler.

04.19, **Travel Expenses Paid from Gift and Grant Funds**

Employees traveling on official business of Texas Tech ~~University Health Sciences Center~~ may be reimbursed for travel expenses paid from gift and grant funds as follows:

1. Travel allowances for grants or contracts from, or derived from, Federal or State of Texas agencies shall be paid in accordance with the State of Texas travel regulations as specified in the current General Appropriations Act of the Legislature, except that reimbursement of actual expenses for meals and lodging not to exceed $150.00 per day may be allowed under Federal agency agreements if specifically negotiated with and approved by the funding agency.

2. Travel allowances for gift, foundation, grant and other non-appropriated funds, and not covered by paragraph 1. above or by separate Board policy, shall be paid in accordance with the State of Texas travel regulations as specified in the current General Appropriations Act of the Legislature, except that reimbursement from gift, foundation and grant funds only, may be paid for actual expenses for meals and lodging not to exceed $150.00 per day, unless the provisions of a contract, grant, or gift specify otherwise. The $150.00 per day limitation on actual expenses to be reimbursed from gift, foundation, grant and non-appropriated sources not otherwise restricted may be waived in justified circumstances and upon written approval of the President, ~~Executive Vice President and Provost or~~ the Vice President for Fiscal Affairs or the University Comptroller.

04.20, Travel for the Athletic Department

Travel for all personnel in the Athletic Department shall be made only after appropriate approval is obtained from the Director of Athletics or the Director's designated administrative official in accordance with established procedures of the University and/or Athletic Department.

04.~~20~~ 21, Geophysical Surveys

It is the policy of the Board of Regents to grant permits for geophysical surveys on Texas Tech ~~University Health Sciences Center (TTUHSC)~~ lands whenever requests therefor are received and it is considered in the best interests of ~~TTUHSC~~ Texas Tech to do so. All permits will be issued in accordance with applicable laws and with policies and procedures established by the Board. The purpose in granting permits is to evaluate the potential for development of mineral interests residing in ~~TTUHSC~~ Texas Tech lands in order to obtain additional resources for support of teaching, research, and community service.

1. A charge will be made for permits. The charge is negotiable depending on the character of the terrain, the likelihood of damages and the type of test involved but will not be less than the following minimums:

   a. Shooting crews per mile:
      (1) Initial 15 day permit - $800
      (2) Each additional 15 day permit - $400
   b. Seismic weight - drooping, vibrator, and dinoseis operations per mile:
      (1) Initial 15 day permit - $600
      (2) Each additional 15 day permit - $300
   c. Single shot (reflection or refraction) per shot hole - $125.
   d. Gravity meter and magnetometer survey operations, per crew, per day - $150.
   e. Velocity survey, per hole - $500.
   f. Experimental work - negotiable.

2. Permittees shall be obligated to repair or to compensate ~~TTUHSC~~ Texas Tech for damage to or destruction of streets, utility systems, drainage pipes, wells, irrigation systems, livestock, crops, fixtures, other property, other land improvements and structures located under, on and above the surface of ~~TTUHSC~~ Texas Tech lands. Further, the permittee shall be obligated to indemnify and hold ~~TTUHSC~~ Texas Tech harmless from any and all liability resulting from the permittee's operations.

3. Permittees shall also be obligated to file the following data with ~~TTUHSC~~ Texas Tech:

   a. Certified map, identified by County, Survey, Block, Section and Permit Number, showing the location of shot holes or station points used in each survey made under this permit, the surface elevation of said shot holes or station points, the depth of each hole drilled, the water sands encountered, and an estimate of the amount of water, if any, in each hole. This shall be filed within 30 days after the expiration date of a permit.

   b. Certified plat, identified by County, Survey, Block, Section and Permit Number, for each horizon investigated under this permit which shows the location of each hole and station point used in the survey, together with the corrected or adjusted instrument readings recorded for each station point, and contoured so as to present correctly Permittee's interpretation of the geological conditions of the land. This shall be filed within 90 days after the expiration date of a permit and this information will be held strictly confidential by ~~TTUHSC~~ Texas Tech.

4. The ~~President~~ Chancellor and Chief Executive Officer or the ~~Executive Vice President and Provost~~ President are authorized to approve and grant permits for geophysical surveys. A report of all permits granted will be made to the next regular meeting of the Finance and Administration Committee of the Board of Regents.

04.~~21~~ 22, Equal Employment Opportunity

Texas Tech ~~University Health Sciences Center~~ is an Equal Employment Opportunity employer. Texas Tech ~~University Health Sciences Center~~ will not discriminate in any employment action against any employee or applicant for employment because of race, color, religion, sex, age, national origin, mental or physical handicap, or Vietnam Era or disabled veteran status. Such actions shall include, but not be limited to, the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship.

04.~~22~~ 23. Nepotism

1. Whenever an appointment is made, either on a full or part-time basis, it shall be made on the basis of the qualifications and suitability of the appointee, subject to applicable statutes and subject to the provisions of this Board policy.

2. ~~In accordance with the provisions of Article 5996, Vernon's Civil Statutes, n~~ No person related within the second degree of affinity or the third degree of consanguinity to any member of the Board of Regents or to the President or Chancellor shall be eligible for appointment to any position in Texas Tech ~~University Health Sciences Center~~ when the compensation therefor is paid from any public funds.

   a. The above does not apply to any employee who has been continuously employed for thirty or more days prior to appointment of a member to the Board of Regents or to the President or Chancellor who is related to the employee within a prohibited degree, and it does not apply to non-remunerative positions.

   b. Any employee who has been continuously employed for less than thirty days prior to the appointment of a member to the Board of Regents or to the President or Chancellor who is related within a prohibited degree will be terminated.

   c. Persons related within the prohibited degrees are shown on the chart attached to this policy.

3. No person shall be eligible for initial appointment to a position in an area of responsibility over which an administrator has appointive authority in whole or in part when the person is related to the administrator within a prohibited degree. Exceptions to this restriction to the initial appointment of a person may be made only by the Board of Regents upon recommendation of the ~~President~~ Chancellor and then only when the administrator in question does not directly supervise the person to be appointed.

4. If the reappointment, reclassification, reassignment or promotion of an employee places the employee under an administrative supervisor who is related within a prohibited degree, all subsequent personnel and compensation actions affecting the employee shall become the responsibility of the next higher administrative supervisor.

   a. The provisions of this subsection shall apply to situations where two employees marry and one spouse is the administrative supervisor of the other.

   b. All instances where an employee marries an administrative supervisor or is placed under the administrative supervision of a relative within the prohibited degree will be reported to the Board as an information item.

04.~~23~~ 24, Computer Security and Privacy

1. All faculty/staff employees and students are responsible for complying with this policy on computer security and privacy.

2. The ~~Health Sciences Center~~ respective President shall appoint an administrator responsible for developing and maintaining ~~Health Sciences Center~~ Texas Tech regulations and procedures regarding security and privacy of computer data, software, and hardware.

3. Any student's or faculty/staff employee's use of ~~the Health Sciences Center~~ Texas Tech's computing facilities is a privilege that may be revoked for violation of this policy regardless of the need for computer use in performing assigned duties.

4. Any student or faculty/staff employee found involved in infractions of this policy, or ~~Health Sciences Center~~ Texas Tech policy, or civil/criminal laws regarding computer security and privacy will be subject to disciplinary actions such as revocation of computing privileges, suspension, dismissal, prosecution, and restitution for damages regardless of employment contracts, or tenure status. Involvement, as used here, includes participating, encouraging, aiding, or failing to report known infractions.

5. Some jobs or activities of ~~the Health Sciences Center~~ Texas Tech involve access to resources critical to computer security and privacy. ~~The Health Sciences Center~~ Texas Tech may require faculty/staff employees or students involved in these jobs or activities to disclose personal histories, participate in special training, sign special agreements concerning computer use, and/or be subject to non-disclosed surveillance of computer use.

6. All students and faculty/staff employees will cooperate with official state and federal law enforcement authorities in aiding the investigation and prosecution of any suspected infraction of security and privacy involving either ~~Health Sciences Center~~ Texas Tech personnel or ~~Health Sciences Center~~ Texas Tech computing facilities.

04.~~24~~ 25, Aircraft Piloted by ~~Health Sciences Center~~ Texas Tech Personnel on Official Business

The use of aircraft for official ~~Health Sciences Center~~ Texas Tech business is discouraged when piloted by ~~Health Sciences Center~~ Texas Tech personnel who are not professionally employed pilots. However, if such flights are made, the aircraft used must have all proper instruments aboard for flying in the existing and possible weather conditions and prevailing forecast. No flight shall be piloted by ~~Health Sciences Center~~ Texas Tech personnel with faculty, staff, students, guests, or prospective students aboard unless the person piloting the aircraft possesses a current and commercial license, with multi-engine and instrument ratings and shall be checked out and qualified in the aircraft to be flown according to possible and existing weather conditions and prevailing forecast. No flights shall be made without a professionally employed pilot, by any employee alone or with other employees, students or guests for official business, in single-engine aircraft or at night or during weather conditions requiring instruments regardless of aircraft equipment or pilot qualifications and licenses.

04.26. Sale of Educational Materials

1. The appropriate President shall appoint the chief academic officers of Texas Tech University and Texas Tech University Health Sciences Center as the administrators responsible for developing and maintaining ~~University~~ Texas Tech regulations and procedures regarding the sale of educational materials.

2. Educational materials include any instruments, devices, or published, dittoed, mimeographed or other multigraphed forms used in the classroom, laboratory or other instructional setting which are required to be purchased by the students.

3. All educational materials must be sold to students through an established bookstore or as authorized and approved by both the chief academic officer and the chief fiscal officer of the Health Sciences Center or the University.

4. ~~The University~~ Texas Tech encourages faculty members to publish textbooks and other professional works. There is no prohibition against the use of such textbooks by the author in his classes or by other staff members in their classes provided the textbook has been printed by a recognized and reputable publishing house at its own risk and expense, has been made available for open sale, and has been approved for such use by a textbook committee appointed by the department or area head. Such approval must be made in writing and is to be secured annually.

5. All educational material to be sold for use in the class or in laboratory work must be approved by the appropriate textbook committee. ~~University~~ Texas Tech departments which provide such instructional material shall recover no more than the actual cost of preparing and producing the material.

6. Under no circumstances shall money be paid by a student to a teacher or instructor for any educational materials unless otherwise authorized and approved by the chief academic officer and the chief fiscal officer of the University or the Health Sciences Center.

04.~~25~~ 27, Settlement Authority for the Professional Medical Malpractice Self-Insurance Plan

1. This policy shall establish the authority of the Board of Regents and Texas Tech University Health Sciences Center personnel to compromise and settle claims arising under the Texas Tech University Health Sciences Center Medical Malpractice Self-Insurance Plan (the Plan).

2. Approval of the Board of Regents is required to settle claims arising under the Plan which are in excess of $250,000. Settlements in excess of $250,000 will be signed by the ~~Chairman~~ Chair of the Board or the ~~President~~ Chancellor, as specified in the Board order authorizing such disposition; these settlements will be filed with the Secretary of the Board of Regents.

3. Approval by the ~~President of Texas Tech University Health Sciences Center~~ Chancellor is required for settlements in excess of $100,000, but less than $250,000. Settlements in this category will be signed by the ~~President~~ Chancellor.

4. Settlements below $100,000 will be approved and signed by the General Counsel.

04.~~26~~ 28, Lease of Space

All space leased by Texas Tech ~~University Health Sciences Center~~ which is to be paid for in full or in part from State-appropriated funds shall be obtained through the ~~State Purchasing and~~ General Services Commission unless the lease is for storage space (1,000 gross square feet or less), aircraft hangar space, radio antenna space, boat storage space, vehicle parking (unless included in office/warehouse leases) or space to be utilized for less than one month for meetings, conferences, seminars, conventions, displays, examinations, auctions or other similar purposes. Leases which will be paid in full from ~~local~~ institutional funds shall be entered into through current ~~Health Sciences Center~~ Texas Tech Purchasing and Contracting policies and procedures. No leases may be entered into for space which does not provide for access by the aged, handicapped or disabled citizens and complies in every respect with Article 7 of the State Purchasing and General Services Act.

04.~~27~~29, Education-Related Business Activities

In carrying out its mission, it is often necessary for ~~the Health Sciences Center~~ Texas Tech University Health Sciences Center and Texas Tech University and ~~its~~ their affiliated units to provide goods and services for fees which enhance, promote, or support ~~its~~ their teaching, research, and public service functions. At the same time, ~~the Health Sciences Center~~ Texas Tech must be mindful that when it provides goods and services for fees, it may be competing with local businesses.

This policy has been developed to define the legitimate purposes under which business enterprises (sales of goods and services for fees) may be approved and to establish a mechanism to review such sales. Recognizing that the central mission of ~~the Health Sciences Center~~ Texas Tech is providing instruction, research, and public service, this policy shall not apply to charges for instruction in its regular, extension, evening, or continuing education programs; goods or services provided as a by-product of research, clinics, or teaching labs,(e.g., farms;) and services for fees in its extracurricular or residential life programs, including food services, residence halls, athletic and recreational programs; and the performing arts programs.

1. **Definition.** Support activities are established for the purpose of providing goods and services to individuals, groups, instructional and other operating departments of ~~the Health Sciences Center~~ Texas Tech, or external agencies. Support activities are authorized to charge users for their goods and services at rates which will recover their full cost, including ~~Health Sciences Center~~ Texas Tech overhead. When state appropriated accounts or grants and contracts are charged by support activities, the rates must be established so that they will recover no more than full cost of the goods and services over the long-term period of operation.

2. **Oversight.** The institutional chief business officer is designated as the responsible officer who shall:

   a. Resolve matters concerning the internal application of this policy.
   b. Address questions from members of the external community about specific sales programs.
   c. Review all proposed sales to other governmental agencies.

3. **Report to the Board.** Beginning with the conclusion of FY 1988, the chief business officer will provide a summary financial report to the Board by December 1 on all education-related business activities.

4. **Exemption from Policy.** There may be occasions when exemption from this policy is necessary due to funding or for programmatic reasons. Exemptions may be approved by the chief business officer provided such exemptions are reported to the Board of Regents within 90 days. The chief business officer will not approve an exemption to this policy when services are planned to be provided to federally funded grants and contracts where the rates for services are greater than those charged to other users.

5. **Determination of Rate.** The rate(s) established will recover all costs of operating the support activity without creating a significant account surplus or deficit.

6. **Selling of Services to Non-Campus Organizations or Businesses.**

   a. Examples: Utilities (services to ~~Lubbock General Hospital~~ University Medical Center)
      Surplus Property Sales (surplus equipment sales)
      The University Daily (sale of advertisement)

   b. There may be occasions when services are requested by non-campus organizations or private businesses. The rate to non-campus organizations or private businesses will be equivalent to

the prevailing charge for the service by private business.

c. The chief business officer is to approve the request for offering the service to non-campus organizations and/or private businesses only if there is a strong justification showing benefit to ~~the Health Sciences Center~~ Texas Tech other than profit.

d. Any surplus (profits) which result from the sale of a service to non-campus organizations and/or private businesses shall be used only in the following manner:

(1) First, to cover any deficits arising from the selling of services to on-campus departments and organizations;
(2) Second, by the sponsoring department for the enhancement of instructional or support programs; and,
(3) Under no circumstances will any surplus be used for discretionary purposes.

7. **Sales of Merchandise and/or Services by Recognized Auxiliary Services.**

a. Example:

Parking	University Bookstore	Campus Computer Store
Post Office	University Center	University Press
Tech Press		

b. Auxiliary business services are established to support the primary mission of ~~the Health Sciences Center~~ Texas Tech. They are similar to retail operations.

c. Departments and organizational units receiving state support should not engage in auxiliary business operations.

d. It is often desirable for ~~the Health Sciences Center~~ Texas Tech to sell merchandise or services through its auxiliary business services at a fee to accomplish its instructional, research, and public service mission, and to meet the needs of the students, faculty, staff, and participants in ~~the Health Sciences Center~~ Texas Tech events.

e. It will be the responsibility of the ~~Health Sciences Center~~ Texas Tech administration to see that the auxiliary business service is an integral part in the fulfillment of the institution's educational, research, public service, and campus support functions, and other educational and support activities.

f. **Criteria.** The direct sale of goods and services to faculty, staff, and students for fees which are for the convenience of and in support of the broad educational mission of ~~the Health Sciences Center~~ Texas Tech is distinctly different from sales to individuals or organizations external to ~~the Health Sciences Center~~ Texas Tech. Therefore, different criteria have been established to evaluate requests for such sales programs.

(1) **Criteria for Sales to Campus Community Members.** Each of the following criteria shall be used in assessing the validity of providing goods or services to members of the campus community:

(a) The goods or services are substantially and directly related to ~~the Health Sciences Center's~~ Texas Tech's instructional, research, or service mission.

(b) Provision of the goods or services on campus represents a special convenience to and supports the campus community, or facilitates the extracurricular, public service, or residential life of the campus community.

(c) The price or fee for the goods or services is established at such a level as to account for full costs, including ~~Health Sciences Center~~ Texas Tech overhead.

(d) Procedures are in place for ensuring that the goods and services are provided only to members of the campus holding valid identification.

(2) **Criteria for Sales to the External Community.** ~~The Health Sciences Center~~ Texas Tech shall not engage in any sales activity solely for the purpose of raising revenue to support an educational or research activity if the goods or services are not directly and substantially related to the educational program.

(a) The goods or services should represent a resource which is directly related to a unit's educational mission, which is not commonly available or otherwise easily accessible, and for which there is a demand in the external community.

(b) The price or fee of the goods or services is established to account for the full costs of the goods or services, including ~~Health Sciences Center~~ Texas Tech overhead. The price of such items in the marketplace shall be taken into account in establishing a price or fee.

04.~~28.~~ 30, Sick Leave Pool

1. **Statement of Basic Philosophy and Objectives.** This policy is intended to provide for the alleviation of the hardship caused to an employee and the employee's family if a catastrophic illness or injury forces the employee to exhaust all leave time earned by that employee and to lose compensation from the State by establishing ~~a~~ sick leave pools for employees of Texas Tech ~~TTUHSC~~.

2. **General Policy.** An employee may voluntarily transfer ~~not less than~~ one day ~~nor more than three days~~ or more of accrued sick leave to the sick leave pool per fiscal year.

   An employee is eligible to use time contributed to the sick leave pool if, because of a catastrophic injury or illness or because of a previous donation of sick leave time to the pool, the employee has exhausted all the sick leave time to which that employee is otherwise entitled. An employee may not draw time from the sick leave pool in an amount that exceeds the lesser of one-third of the total amount of time in the pool or 90 days.

   The estate of a deceased employee is not entitled to payment for unused sick leave acquired by that employee from the sick leave pool of ~~TTUHSC~~ Texas Tech.

   The respective President shall appoint ~~a~~ pool administrators to administer ~~TTUHSC's~~ Texas Tech's sick leave pools and who ~~is~~ are authorized to adopt rules and to prescribe procedures relating to the operation of the sick leave pool.

04.31, **Center for Professional Development**

The Center for Professional Development (CPD) of the College of Business Administration has been authorized by the Board of Regents of Texas Tech University to engage in professional development activities consistent with its primary academic and public service functions as approved by the President ~~and the Executive Vice President and Provost~~ upon the recommendation of the Dean of the College of Business Administration.

1. **General Objectives of the CPD.** The primary purpose of the Center for Professional Development is to organize, promote and manage the presentation of training programs, seminars, conferences and similar educational projects for executives, professionals and employees in business, government and industry. More specific objectives of the CPD are:

   a. To enhance the visibility and professional reputation of Texas Tech University and the College of Business Administration as a center of applied learning;

   b. To provide the faculty a real-world laboratory in which to update and sharpen their professional competencies;

   c. To attain a reputation for excellence in professional development activities for those specialized areas in which the College of Business Administration has expertise, such as banking, municipal finance, income taxation and savings and loan administration;

   d. To serve as a vital vehicle of interface between the College of Business Administration and the worlds of business and public sector management. The CPD activities are an important indicator of the College's and the University's continuing interest in the professional growth and success of its graduates.

   e. To generate financial resources that are sufficient to recover all operating expenses of the Center and to provide the means for future growth of the professional development activities and other educational activities of the College of Business Administration.

2. **Functions of the CPD**

   a. To organize, promote and manage the presentation of training programs, seminars, conferences and similar educational projects for executives, professionals and employees in business, government and industry, and

   b. To engage in the distribution of educational materials supportive of professional development in business, government and industry.

3. **Planning, Managing and Directing CPD Programs and Activities**

   a. The Center for Professional Development is authorized to operate as an extension of Continuing Education under the auspices of the College of Business Administration to develop, organize, promote and manage the presentation of professional development programs and activities consistent with its stated objectives.

   b. The Dean of the College of Business Administration has operating responsibility for the daily operations of the CPD consistent with established Board of Regents and institutional policies and procedures governing all operations and activities of the University and as detailed in these guidelines.

c. The Dean of the College of Business Administration will be responsible for the following:

(1) Determination of CPD programs content and form (subject to the approval of the ~~Executive Vice President and Provost~~ President). (2) Selection and appointment of CPD program coordinators.

(3) Determination of program locations (subject to approval of the ~~Executive Vice President and Provost~~ President)

(4) Establishment of fees to be charged for CPD programs (subject to review and approval of the Vice President for Fiscal Affairs).

(5) Determination of compensation of program instructors (subject to approval of the ~~Executive Vice President and Provost~~ President and in accordance with the current general appropriations act).

(6) Determination of co-sponsorship arrangements with other universities and/or private or public sector organizations (subject to approval of the ~~Executive Vice President and Provost~~ President).

(7) All other aspects of the day-to-day management and operation of the CPD and its programs consistent with established Board of Regents and institutional policies and procedures governing all operations and activities of the University.

(8) Assuring that participation in CPD programs enhances, rather than detracts from, a faculty member's regular responsibilities of teaching and scholarly activity.

4. **Budgetary and Fiscal Operations of the CPD**

a. **General.** All CPD activities and operations will be accounted for as "designated funds" activities with the University's Financial Information System chart of accounts.

b. **Budgets.** All CPD activities will operate within the fiscal limitations of budgets in accordance with Board of Regents Policy 04.04.

c. **Expenditures**

(1) The funds generated by the CPD will be used to defray all expenses directly associated with the development, organization, promotion and management and sponsorship of the Center's programs and to cover the related overhead costs directly associated with CPD functions as may be required to manage the Center. In addition, certain direct and indirect costs to the University will also be paid from CPD funds. These costs will be paid by an administrative overhead and a facilities use fee for use of Educational and General space, utilities, maintenance, and custodial services in the Business Administration and/or other buildings. All such charges by Texas Tech University will be computed on the basis of square footage occupied by the CPD on a permanent basis. Such charges will be made annually by the University Accounting Services Office.

(2) None of the funds appropriated to Texas Tech University by the Legislature may be used to support the activities and operations of the CPD.

(3) Purchasing of goods and services will be in accordance with established institutional procedures. Wherever it is possible to do so, all goods and services will be competitively bid in order to obtain goods and services at the lowest or best price in the interest of the University. Purchase orders will be used and the services of the Purchasing/Payables Department will be obtained unless circumstances are such that it is impossible to follow established procedures for purchasing. Exceptions to such procedures must be approved by the Office of the Vice President for Fiscal Affairs. Sole source purchases of goods and services may be made where circumstances permit and if proper justification for sole source purchases is provided.

Where it is possible and reasonable to do so, the hotel or other meeting room facilities required to conduct CPD programs will be selected on the basis of the lowest or best bid in the interest of the University. The Dean of the College of Business Administration is authorized to make the final selection of hotel or other meeting room facilities and to determine when competitive bidding for such facilities is feasible. In the selection of such meeting rooms, an overriding consideration will be to ensure that such facilities are adequate and that the reputation of the CPD , the College of Business Administration and Texas Tech University will be enhanced.

(4) The CPD is authorized to reimburse CPD employees for expenses for travel in connection with CPD activities to cover the costs of transportation, meals, lodging and other incidental expenses as may be appropriate and necessary in accordance with current State of Texas travel regulations and as provided in the *State Employees Travel Allowance Guide* which is published by the State Comptroller.

Expenses for travel of CPD employees may be reimbursed in the same manner as prescribed for travel of all other State of Texas employees. CPD employees may be reimbursed for actual expenses for lodging not to exceed the amount paid by program participants or an amount not to exceed twice the reimbursement for lodging authorized by the Legislature as provided in the current appropriations act in accordance with established Board of Regents policy on payment of employee travel expenses from other than State appropriated funds. Receipts must be attached to reimbursement claims if actual room cost is to be paid. Reimbursement for meals is limited to not more than 160 percent of the amounts allowed by the State of Texas Travel Regulations.

(5) **Expenditure of CPD Funds for Purchase of Food and Refreshments**

All expenditures of CPD funds for purchases of food and refreshments will be in accordance with Board of Regents policy 04.09. Such expenditures must assist the CPD, the College of Business Administration and the University in carrying out its educational functions, serve to promote education in the State of Texas and serve an important public purpose.

Documentation supporting vouchers to cover expenditures of CPD funds for food and refreshments must clearly show that the requirements of Board of Regents policy 04.09 are being met.

d. **Use of Residual Funds**

Those funds available after costs are covered may be used by the College of Business Administration with approval of the ~~Executive Vice President and Provost~~ President and concurrence of the Vice President for Fiscal Affairs to provide for the future growth and development of the professional education activities of the College and for support of the academic and research programs of the College. Funds may be spent to defray expenses such as those associated with the recruitment and relocation of faculty, to support faculty in research and curriculum development activities, to pay for the purchase of equipment and supplies to be used in the College's teaching research and student counseling programs, and to support administrative functions of the College.

04.~~02~~ 32, Extension of Credit

The ~~President~~ Chancellor is authorized to approve the sale of goods and services on credit provided that there is documentable public purpose for the sale and that controls limiting risk of loss have been established and reviewed by the Internal Auditor.

05.01, Acceptance of Gifts and Grants

1. Private sector gifts and grants are an indispensable element in the growth and development of Texas Tech ~~University Health Sciences Center~~ and as such represent a vast resource for the future of the institutions.

2. It is recognized, however, that certain gifts and grants offered may be inconsistent with institutional needs or require additional support for which ~~the Health Sciences Center~~ Texas Tech resources are too limited to permit proper administration of the gift. It shall, therefore, be the responsibility of the ~~President~~ Chancellor or a member of his staff directly reporting to the ~~President~~ Chancellor, to evaluate promptly any gift or grant tendered. If approved for acceptance, it shall be accepted and the donor appropriately notified of ~~Health Sciences Center~~ Texas Tech appreciation. Formal acceptance of gifts and grants received shall be by Board action at its next meeting.

3. It shall further be the responsibility of the ~~President~~ Chancellor and the appropriate staff officer to establish and administer procedures for the proper acceptance and acknowledgment of all gifts and grants, preparation of accurate and timely reports of all gifts and grants received, and preparation of the gift docket to the Board of Regents.

4. All gifts of real property and major gifts-in-kind must be approved by the Board of Regents prior to either acceptance or public announcement. Gifts-in-kind includes such items as equipment, supplies, furnishings, fixtures, implements, tools, apparel, and machinery. Securities, stocks, and cash or its equivalent shall not be considered as gifts-in-kind.

5. ~~Health Sciences Center~~ Texas Tech employees may not be involved in any financial transactions of gift funds which are for the benefit of ~~the Health Sciences Center~~ Texas Tech unless:

   a. Such funds are handled within ~~the Health Sciences Center's~~ Texas Tech's accounting structure; or

   b. Such funds are handled within accounts for agencies and organizations which have a written contract with ~~the Health Sciences Center~~ Texas Tech which:

      (1) Defines the method of handling such funds; and
      (2) The amount and the conditions of the gift are reported to the ~~President~~ Chancellor or his designee; or

   c. Written approval is given by the ~~President~~ Chancellor.

6. Any employee violating this policy shall be subject to disciplinary action, including termination of employment.

05.02, **Use of Restricted Gifts**

Those gifts which are earmarked by the donor or donors for a specific purpose must be used for that purpose only. No official or employee of Texas Tech ~~University Health Sciences Center~~ may divert such a gift, whether principal or income generated from the fund, for any other purpose unless the donor or donors, or their heirs or successors should authorize a change in purpose, said authorization to be made in writing to officials of Texas Tech ~~University Health Sciences Center~~.

05.03, **Private Sector Support**

1. It is the intent of the Board of Regents of Texas Tech ~~University Health Sciences Center (TTUHSC)~~ to have a centralized service which will be primarily responsible for all programs and activities relating to the development of private sector support for ~~TTUHSC~~ Texas Tech and its components.

2. Authority for the final approval of all programs, activities, and procedures which originate on the campus by any person, group, or organization associated with ~~TTUHSC~~ Texas Tech or by any person, group, or organization acting in the name of ~~TTUHSC~~ Texas Tech for purposes of raising funds shall reside with the ~~President~~ Chancellor and may be delegated to the chief development officer.

3. The Office of ~~Development~~ Institutional Advancement shall assist in the coordination of the programs and activities of all groups and organizations affiliated with ~~TTUHSC~~ Texas Tech for purposes of developing private sector support.

05.04, **Endowment Funds**

1. The Board of Regents established the number one development priority to be that of building ~~TTUHSC's~~ Texas Tech's endowment funds.

2. Unrestricted gifts of real property will usually be placed in an endowment and use of the earnings from the gift, unless restricted by conditions of the gift, shall be under the direction of the ~~President~~ Chancellor.

3. In the event of special and extenuating and extraordinary circumstances, the Board of Regents may except the direction of real property into the endowment.

05.05, **Assignment of Gifts of Real Property to the University Endowment**

1. Unrestricted gifts of real property will be usually placed in an endowment and use of the earnings from the gift, unless restricted by conditions of the gift, shall be under the direction of the President.

2. In the event of special and extenuating and extraordinary circumstances, the Board of Regents may except the direction of real property into the endowment.

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

1. **Preface.**

   This policy statement is issued by the Board of Regents of Texas Tech University and Texas Tech University Health Sciences Center (together, the two institutions are referred to hereafter in this policy as "Texas Tech") for guidance in the investment of endowment and long-term institutional funds.

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

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

2. **Fiduciary Responsibility.** The Board of Regents of Texas Tech has a fiduciary responsibility to comply with the restrictions imposed by the donors of endowment funds. The Regents also have a legal responsibility to ensure that the management of endowment and other institutional funds is in compliance with Subchapter A, Chapter 51, Education Code and, to the extent applicable, Section 163.002 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 . Further, the Vice Chancellor for Institutional Advancement shall ensure that there are no donor-imposed restrictions preventing the use of the Long-Term Investment Fund (LTIF), including restrictions against both investment in equity securities or corporate debt, and expenditure of net realized appreciation of existing endowment funds. The donors of existing endowment funds shall be advised of changes to the investment philosophy and policy to be used in connection with endowment accounts. The beneficiaries (account managers) of endowments whose funds are currently invested in the Short/Intermediate Term Investment Fund shall be advised by the Deputy Chancellor of the redeployment of such endowments into the LTIF. 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 Short/Intermediate Term Investment Fund, as authorized by Board Policy 04.11 or, if instructed by the donor, will be managed and safeguarded in their original form.

   The commingled endowment/institutional fund is to be known as the LTIF. The LTIF 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 LTIF 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.

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

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

4. **Standard of Conduct.** In the administration and management of the LTIF, 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 in carrying out educational purposes, present and anticipated financial requirements, the expected return on endowment investments, price level trends and general economic conditions.

5. **Financial Goal.** The financial goal for management of endowment and long-term institutional funds is to preserve the real (i.e. inflation-adjusted) purchasing power of principal and income after accounting for endowment spending, inflation and costs of investment management. Performance of the LTIF against this objective is to be measured over rolling 5 year periods .

6. **Investment Objectives.**

   a. **Total Fund.** The total return for the LTIF is expected to exceed the Consumer Price Index plus 5 percent and to exceed a target Balanced Index comprised of: 40 percent of the S&P 500 Stock Index, 15 percent of the Russell 2000 Index, 15 percent of the EAFE Index, and 30 percent of the Lehman Brothers Aggregate Bond Index. These objectives shall be measured over rolling 5-year periods.

   b. **Equity Managers.** The total return for each equity manager is expected to exceed the total return of the relevant equity benchmark: Domestic Large Cap - S&P 500 Stock Index, Domestic Mid Cap - S&P 400 Mid Cap Index, Domestic Small Cap - Russell 2000 Index, Core International - EAFE Index.

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

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

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

   c. **Fixed Income Managers.** The total return of each fixed income manager is expected to exceed the total return of the Lehman Brothers Aggregate Bond Index or the Lehman Brothers Intermediate Government/Corporate Bond Index.

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

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

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

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

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

= Adherence to the philosophy and style that was articulated at, or subsequent to, the time the investment manager was retained.

= Continuity of personnel and practices at the firm.

7. **Spending Policy.**

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

The following definitions are used:

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

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

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

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

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

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The target annual distribution rate shall be reviewed annually 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.

8. **Asset Allocation.**

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

Type of Securities	Target	Range
Equity	70%	40-80%
Domestic Large Cap	(40%)	(20-50%)
Domestic Small Cap	(15%)	(10-20%)
International	(15%)	(10-20%)
Fixed Income	30%	20-40%
Cash	--	0-10%

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

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

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

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

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

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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 manager guidelines and exclusions stated in Section 9 and Section 10 apply to investments in nonmutual and nonpooled funds, where the investment manager is able to construct a separate, discretionary account on behalf of the LTIF. Although the Board of Regents cannot dictate policy to pooled/mutual fund investment managers, the board's intent is to select and retain only pooled/mutual funds with policies that are similar to this policy statement. All managers (pooled/mutual and separate), however, are expected to achieve the performance objectives.

9. **Manager Guidelines.**

   a. Each investment manager must satisfy the performance objectives and asset allocation guidelines.

   b. Each investment manager shall have the full investment discretion with regard to market timing and security selection, consistent with this policy statement.

   c. Each investment manager shall handle the voting of proxies and tendering of shares in a manner that is in the best interest of the LTIF and consistent with the investment objectives contained herein.

   d. For diversification purposes, each equity portfolio manager should have in excess of 20 positions.

   e. Investment grade bonds issued by foreign corporations or governments shall be eligible investments. Not more than 10 percent of the fixed income portfolio shall be invested in foreign securities.

   f. Not more than 5.0 percent of the equity stock of any one corporation may be owned by the LTIF.

   g. At the time of purchase, no more than 5.0 percent of each manager's portfolio at market value may be invested in any one security, with the exception of securities issued by the U.S. Government or its agencies.

   h. No more than 25.0 percent of the market value of each investment manager's portfolio may be invested in any one industry.

   i. Not more than $500,000 of an investment manager's portfolio shall be invested in commercial paper of any one issuer. The credit quality must be A1/P1.

   j. Not more than $100,000 shall be invested in Bank Certificates of Deposit of any single issuer.

   k. All purchases and sales transactions shall be conducted with the view toward obtaining the best net execution.

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l. More restrictive guidelines may be established with each individual outside equity investment manager.

10. **Exclusions and Prohibited Activities.**

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

- Purchase of unregistered or restricted stock
- Investment in private placements and nonmarketable securities
- Selling securities short, buying securities on margin, borrowing money, hypothecating or pledging LTIF assets or buying or selling commodities or currencies
- Other limitations as may be provided by state law

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

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

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

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

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

11. **Investment Managers.**

LTIFs 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 goals and objectives of the LTIF. 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 ratified by the Board of Regents of Texas Tech. A competitive sealed proposal process will be used to select those investment managers who best demonstrate the necessary competence and qualifications.

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12. **Communications and Reporting.**

The investment managers are responsible for frequent and open communication on all significant matters pertaining to the investment policies and the management of the LTIF 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 at least semi-annually to discuss the manager's performance, investment outlook, investment strategy and portfolio rebalancing strategies.

At the beginning of each fiscal year, a report of the LTIF's investment activities for the preceding year together with a summary of each investment manager's performance shall be presented to the Board of Regents.

Board Minutes, TTU, May 10, 1996
Board Minutes, TTU, May 9, 1997
Board Minutes, TTU, August 22, 1997
Board Minutes, TTU, November 7, 1997
Board Minutes, TTU, April 13, 1998

06.01, **Emeritus Appointments**

1. The title "Emeritus" may be conferred as a recognition for long and faithful service, or for very distinguished service to the institution.

2. Members of the faculty with rank of Professor or Associate Professor at retirement may be given emeritus appointments, provided they have completed at least ten years of service at Texas Tech University (TTU) or Texas Tech University Health Sciences Center (TTUHSC) or have been recommended on the basis of "very distinguished service." If emeritus status is proposed on the basis of very distinguished service, the advice of the Faculty Council of the faculty ~~members~~ members' respective health professional school at TTUHSC or the Faculty Senate of TTU shall be sought by the appropriate President of ~~Texas Tech University Health Sciences Center~~ the respective institution.

3. Administrative officers in major positions at the time of retirement from administrative duties may be considered for emeritus appointments.

4. Emeritus appointments are strictly honorary and without stipend.

5. Each such appointment shall be subject to approval by the Board of Regents upon recommendation by the respective President to the Chancellor.

06.02, **Faculty Development Leaves of Absence**

1. The Board of Regents may grant faculty development leaves of absence for study, research, writing, field observations or other suitable purposes, under conditions allowable by the State of Texas.

2. Such leaves shall not jeopardize a faculty member's participation in benefits available by or through the institution or the state to faculty members.

3. Procedures for selection consistent with state guidelines shall be utilized by the respective President in making recommendations for faculty leaves to the Board of Regents.

06.03, **Faculty Responsibility**

1. Texas Tech University Health Sciences Center is a publicly supported institution which was established to provide opportunities for higher education in the health professions and related fields, to advance knowledge through scholarship and research, and to provide related services to the community, the state, and the nation. Texas Tech University is a publicly supported institution which is obligated to provide instruction in higher education to advance knowledge through scholarship and research, and to provide related services to the community, the state and the nation.

2. As ~~a~~ centers for learning, the Health Sciences Center and the University ~~has~~ have the obligation to maintain conditions which are conducive to freedom of inquiry and expression in the maximum degree compatible with the orderly conduct of ~~its~~ their functions. The responsibilities of ~~the Health Sciences Center~~ Texas Tech dictate, to a major extent, the responsibilities of the individual faculty member. The faculty member is properly concerned with the whole process of education and is aware of the responsibilities of ~~the Health Sciences Center~~ Texas Tech in a free society. Responsibility is assumed for performing several essential functions: teaching, research, and service to the Schools, to the community as a whole, and to individual members of the community as needed.

~~2~~3. **Teaching.** As a teacher, the faculty member has responsibilities to students, to discipline, to a profession, and to ~~the Health Sciences Center~~ Texas Tech. These responsibilities include facilitating the intellectual and emotional growth of students, encouraging free inquiry in the classroom and clinic, and striving to create and maintain a climate of mutual respect which will enhance the free interplay of ideas. A faculty member has a responsibility to recognize the varying needs and capabilities of students and to make every effort to assure that evaluation of a student's work reflects the student's level of achievement. The faculty member as a teacher also has the responsibility to uphold the highest scholarly standards and encourage respect for such standards to engage in a continual and critical study of the subject matter of one's discipline so as to insure that presentations contain the most current and useful knowledge and that the material being taught is consistent with the course of study outlined by a department, college or a course director, and to recognize the responsibilities of the teacher as a counselor and devote a reasonable portion of time to aiding, guiding, and counseling students outside the classroom. Finally, the faculty member has a responsibility to strive to maintain those skills and values that insure the continuation of free and open inquiry.

~~3~~4. **Research.** Through research, a faculty member grows intellectually, stimulates student's learning, and adds to the accumulated knowledge of a discipline. A faculty member should strive constantly to contribute to the growth and understanding of knowledge in one's particular field through creative research and scholarship. The faculty member has an additional responsibility to share the results of research by disseminating them to students, colleagues, and professionals in one's discipline and to the public.

~~4~~5. **~~Health Sciences Center~~ Texas Tech Service.** A faculty member is responsible for participation in the various activities, programs, and functions related to the enhancement of ~~the Health Sciences Center~~ Texas Tech, such as participating in the formulation of academic policies, service on ~~Health Sciences Center~~ Texas Tech committees, and other assignments.

~~5~~6. **Professional Service.** Within one's field of competence and as time and resources permit, the faculty member has a responsibility to respond to requests for advice and aid and to participate in the activities of one's profession. The faculty member with clinical competence is responsible for the provision of health care services at least to the extent necessary to support adequately the teaching programs of his/her department. All faculty members should stand ready to render advice and aid in their areas of professional competence to those who may need them. Faculty members should exercise care that such activities do not infringe on other obligations and responsibilities to ~~the Health Sciences Center~~ Texas Tech.

06.03, **Faculty Responsibility**

~~6~~7. **Community Service.** As a member of a community, the faculty member has the same obligations and responsibilities as those incumbent upon other members of the community. Such services should be consistent with regulations of ~~the Health Sciences Center~~ Texas Tech and the State.

~~7~~8. In the case of both professional and community service, the faculty member should exercise discretion in distinguishing between acts carried out or statements made as an individual or a professional and those carried out or made as a representative of ~~the Health Sciences Center~~ Texas Tech.

06.04 (A), Tenure - Texas Tech University

A university is a community of scholars whose members are engaged in the discovery, evaluation, transmission, and extension of knowledge. As such they must be free to search for and express the truth as they find it, whether in the classroom, research/creative activity, or service as members of the community, and regardless of their tenure status. They must also be free from undue constraints, whether imposed from inside or outside the university.

Faculty members' privileges imply correlative responsibilities. In addition to maintaining standards of competence, particularly those relating to scholarship and teaching ability, faculty members are responsible for maintaining the proper attitude of objectivity, industry, and cooperation with their associates within the university. It is a faculty member's professional responsibility to contribute productively throughout his or her academic career.

As persons of learning, faculty members should remember that the public may judge their profession and institution by their utterances and other actions. They should thus at all times be accurate, exercise appropriate restraint, show respect for the opinions of others, and exercise every effort to make clear that as individuals they do not speak for the institution.

1. **Concept of Tenure.**

   Academic tenure, or continuing appointment, has been developed so that Texas Tech University may have the benefit of the competent and honest judgment of its faculty. It thus recognizes the professional status of University faculty and assures that tenured employment may be terminated only for adequate cause.

   Tenure may normally be obtained only after a period of probationary service. After tenure is granted the burden of proof rests upon the University when it wishes to dismiss a faculty member.

2. **Purpose of Tenure.**

   Tenure is designed to accomplish the following purposes:

   a. To assure the faculty of freedom of teaching, of research, of opinion, and of full participation as citizens in the community;

   b. To provide appropriate procedures of due process for establishing justification for possible termination of tenure, so that faculty members may be guaranteed adequate notice and a fair hearing;

   c. To assist the University by encouraging sound standards for the original selection of faculty; and,

   d. To result in the retention, encouragement and promotion of the ablest and most promising faculty.

3. **Types of Appointment.**

   Members of the faculty who are employed full-time in the University and who hold the rank of assistant professor, associate professor, or professor are eligible for tenure consideration. The tenure policy does not apply to administrative or part-time appointments.

Types of appointment:

a. Appointments which may be made upon the basis of continuing appointments are:

Assistant Professor
Associate Professor
Professor

b. Appointments which are probationary and which may lead to the admission to tenure are:

Assistant Professor
Associate Professor
Professor

c. Special full-time appointments which do not acquire tenure are:

Instructor
Lecturer
Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor
Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor
Research Scientist/Research Professor

Although the above full-time appointments do not acquire tenure, persons holding these appointments have academic freedom and after six years can only be dismissed for adequate cause. Individuals dismissed for adequate cause shall be accorded due process in accordance with the Faculty Grievance Procedure.

Appointment to the above ranks can be continued beyond six years only by majority vote of the tenured faculty of the academic unit (department, college, or school) in which the position is placed, and subject to the approval of the responsible dean and the ~~Executive Vice President and Provost~~ Provost. Faculty members whose duties are appropriate to tenured and probationary faculty shall not be given the ranks listed in Section 3.c.

4. **Admission to Tenure.**

a. The terms and conditions of every appointment shall be stated in writing and shall be in the possession of both the University and the faculty member before the appointment is completed. Probationary faculty members should review the established standards and procedures for consideration for tenure which are available in the offices of department chairpersons and deans.

b. A faculty member must complete a reasonable probationary period before acquiring tenure in the University. In exceptional cases, associate professors and professors may have their initial appointment in the University with tenure when the traditional tenure review procedure set forth in Section 4.e. precedes the appointment. (Faculty members who are promoted in rank shall not thereby acquire tenure unless the normal tenure review procedure set forth in Section 4.e. has been completed.)

c. The maximum probationary period for admission to tenure is the same for all tenure-eligible ranks. Before the end of a six-year probationary period at Texas Tech University, an untenured assistant, associate, or full professor must be notified in writing either that tenure has been awarded or that the appointment will not be renewed at the end of the seventh year.

d. Determination of the maximum probationary period begins upon a faculty member's initial appointment to a tenure-eligible rank and is not affected by promotions made during that period.

(1) Computation of the maximum probationary period begins upon a faculty member's initial appointment to a tenure-eligible rank and is not affected by promotions made during that period.

(2) A probationary year for admission to tenure shall begin in September of the calendar year in which the appointment is made.

(3) All time accrued in full-time service at Texas Tech University in a tenure-eligible rank will be counted in the probationary period.

(4) Tenure may be awarded prior to completion of the full probationary term. A faculty member, at his or her request, may be considered for tenure prior to completion of the full probationary period without prejudice for later reconsideration.

e. Primary responsibility for evaluation of the academic qualifications of candidates for tenure rests with the faulty. When the organizational structure permits, four sequential levels exist in the tenure review process:

(1) Evaluations by the department or division which includes a vote by the tenured faculty and recommendation by the chairperson;

(2) Review at the college level which includes recommendation by the dean;

(3) Review by the ~~Executive Vice President and Provost~~ Provost which includes review by the Dean of the Graduate School; and

(4) Review by the President. The President makes recommendations for tenure to the Board of Regents. A faculty member is awarded tenure by action of the Board of Regents.

5. **Discrimination.**

All academic appointments and tenure judgments and recommendations rest upon objective requirements in relationship to the ability of the faculty member to perform his or her responsibilities in teaching, research/creative activity, and service. Such judgments and recommendations are to be made without regard to race, religion, sex, age, national origin, marital status, or physical disabilities which do not obstruct professional performance.

6. **Grounds for Termination.**

Termination of the employment of a tenured faculty member or any other faculty member before the expiration of the stated period of appointment, except by resignation, retirement, or under extraordinary circumstances because of demonstrable bona fide financial exigency, will be only for adequate cause shown with the burden of proof on the University.

7. **Termination Procedure.**

In each case of termination the issue will be determined by an equitable procedure, affording protection to the rights of the individual and to the interest of the University. In cases where the respondent faculty member admits his or her conduct constitutes adequate cause, or does not choose to have a hearing, he or she may offer in writing his or her resignation.

Before the filing of formal charges, every reasonable effort shall be made to mediate and conciliate differences. The chairperson of the Tenure Advisory Committee (or other member designated by the committee) shall make a rigorous attempt at confidential, equitable, and expeditious mediation. After such attempted mediation has failed and the mediator has made a report in writing to the President ~~of the University~~, a copy of the report going to the faculty member, a formal investigation shall be undertaken. A member of the Tenure Advisory Committee, appointed by the chairperson of said committee, and the ~~Executive Vice President and~~ Provost (or his representative) together shall conduct a thorough, confidential, expeditious review. This review and the recommendations of the investigating team shall be considered by the President ~~of the University~~ in determining whether formal charges should be filed by the President to terminate a faculty member's employment for cause. In all cases of formal charges, the faculty member will be informed in writing of the charges which, on reasonable notice, will be considered by a Hearing Committee convened by the President. The Hearing Committee will be made up of five members chosen by the Tenure Advisory Committee from a panel of twenty tenured faculty members who will be elected annually. Two panel members being elected at large. Members of the Tenure Advisory Committee shall not be eligible for concurrent service on this panel and the Tenure Advisory Committee.

The Hearing Committee shall be selected in this fashion. First, the Tenure Advisory Committee shall by lot order the names of the members of the hearing panel, assigning them numbers one through twenty. Second, panel members deeming themselves biased shall remove themselves from the case. Third, either party in the dispute may strike no more than three names from those remaining on the list. Finally, the Tenure Advisory Committee shall designate the five with the lowest numbers remaining on the list to constitute the Hearing Committee.

The Hearing Committee will select a chairperson from its membership and may, if it chooses, request appropriate legal counsel to be furnished by the University but not from the Office of General Counsel. The legal counsel will advise the Hearing Committee but will not vote. The committee may consult with the General Counsel of the University on technical questions not directly bearing on the merits of the case if the committee considers such consultation appropriate and helpful. The hearing will be private and confidential unless the faculty member elects to have a public hearing. The Hearing Committee shall determine procedures to be implemented in the hearing, which procedures shall afford due process and fairness to both parties.

In every such hearing the faculty member shall have the right to appear in person with legal counsel, retained by the individual, and to confront and cross-examine witnesses. The faculty member shall have the right to testify, but may not be required to do so, and may introduce in his or her behalf all evidence and material, written or oral, which he or she considers to be relevant or material to the case. The University shall also have the right to legal counsel from the Office of General Counsel in the preparation and presentation of charges and have the same rights in the hearing as those accorded to the faculty member. An audio-tape of the proceedings shall be made and delivered to the President for submission to the Board, and a copy of this audio-tape shall be made available to the respondent. The record will be transcribed only on the request of either the faculty member or the President at the expense of the requesting party.

The Hearing Committee, by a majority of its total membership, shall make written findings of fact on each charge and make specific recommendations with regard to each of the charges and the charges as a whole. The committee, by a majority of its total membership, may make supplementary suggestions it deems proper concerning disposition of the case. If minority findings, recommendations, or suggestions are made, they shall be similarly treated. The chairperson of the Hearing Committee shall deliver the findings, recommendations, and suggestions to the President, who shall transmit them along with his/her recommendations to the faculty member and to the Board of Regents.

The Board of Regents, by a majority of its total membership, shall approve, reject, or amend the findings, recommendations, and suggestions to the Hearing Committee based on the record. Any amendment or change of such findings, recommendation, or suggestions, and the reasons therfor, will be stated in writing and communicated to the President who will transmit them to the Hearing Committee, which will then study any additional matters presented to it and within 45 days submit its recommendations to the President. If the Board of Regents then overrules the recommendations of the Hearing Committee, it will state in writing to the President, who will transmit the decision to the Hearing Committee, its reasons for its actions in overruling the Hearing Committee's recommendations. The President shall also notify the faculty member in writing of the Board's decision, and this communication shall include the findings and recommendations of the Hearing Committee as well as those of the Board. The decision of the Board of Regents shall be final. The procedure for termination described in the foregoing paragraphs of this section does not negate the right of the President to suspend a faculty member from all or some duties when the President reasonably believes that the allegations, if true, create a likelihood of harm for persons or the University. The suspension shall be with pay until such time as the suspended faculty member has been accorded the procedural rights described in the foregoing paragraphs of this section.

8. **Notice of Nonreappointment, Termination or Resignation.**

(a) Full-time faculty members in their first year with the University whose duties commence with the first semester of the academic year must be notified by the following March 1 if they are not to be reappointed.

(b) Full-time faculty members in their first year with the University whose duties commence after November 15 must be notified by the following April 15 if they are not to be reappointed.

(c) Full-time faculty members who are in their second year with the University and who are not to be reappointed shall be notified by December 15 of the academic year in which the appointment is to terminate.

(d) Full-time faculty members with more than two years with the University will be notified or nonreappointment by issuance of a terminal contract for one academic year.

(e) Full-time faculty members who hold a position by appointment for a fixed time period shall receive notice of nonreappointment in accordance with the terms of the appointment or in accordance with Section 8.a., b., c., or d. above.

(f) The University is not required to give a nontenured faculty member a reason for a decision or nonreappointment. However, each faculty member is entitled to see all of his or her personnel file and, at his or her expense, to obtain a copy of the information contained therin. If a nontenured faculty member alleges that a decision not to reappoint him or her is caused by considerations violative of academic freedom, for constitutionally impermissible reasons, or for significant noncompliance with the University's established standards or prescribed procedures, the allegation shall be given preliminary consideration by a faculty committee. The Tenure Advisory Committee is responsible for appointing this committee -- from within or outside its own membership -- and for its functioning. If the committee concludes that there is probable cause for the faculty member's allegation, the Tenure Advisory Committee shall notify the ~~Executive Vice President and~~ Provost and convene the Hearing Committee and the matter shall be heard in accordance with the procedures outlined in Section (7), except that the faculty member shall be responsible for stating the specific grounds on which the allegations were based and the burden of proof will rest upon the faculty member.

(g) Notice of resignation by a faculty member shall be given as early as possible to obviate serious inconvenience to the University.

9. **Tenure Advisory Committee.**

The Tenure Advisory Committee may consider matters pertaining to tenure or academic freedom referred to it by members of the University community. The committee reports to the President. If the President does not approve a recommendation of the committee, the committee shall be informed in writing of the reasons for disapproval. The substance of any recommendation by the committee, if approved by the President, shall be given consideration for incorporation in the operating procedures of the University.

The committee shall consist of five tenured faculty and two ex-officio members who are the ~~Executive Vice President and~~ Provost and a dean selected by the Provost's Council. The faculty members will be elected at large by the voting faculty for staggered terms of five years, with one membership position terminating August 31 of each year. No more than two faculty members elected from any college or school shall serve on the committee at the same time. No elected faculty member will be eligible for reelection to the committee until a period of one year has elapsed from the termination date of a prior term unless he or she was elected to serve less than two years of an unexpired term of a previous member. The dean member shall serve for three years, abut shall not be eligible to serve consecutive terms. The committee shall determine its own rules of procedure.

10. **Implementation and Revision.**

This policy is to be implemented immediately upon approval by the Board of Regents. Faculty members in a probationary status on that date will have the opportunity to choose the tenure policy under which they wish to be considered for tenure--the policy applicable to them or this policy. All tenured faculty members are subject to applicable provisions and procedures of this tenure policy. The tenure of faculty members who have attained tenure under prior policies at Texas Tech University continues. This policy shall not be applied in derogation of any faculty member's contract rights.

Revisions to this policy may be proposed to the Board of Regents by the President. The Tenure Advisory Committee, the Faculty Senate or other academic groups may submit proposals to the ~~Executive Vice President and~~ Provost. Such proposals shall be reviewed by the Tenure Advisory Committee and the Faculty Senate. Following this review, the ~~Executive Vice President and~~ Provost shall present approved proposals to the faculty for consideration. In this process, the voting faculty (as defined in the Constitution of the Faculty Senate) shall be polled for approval or disapproval of the proposals. If approved by the voting faculty, the proposals shall be forwarded by the ~~Executive Vice President and~~ Provost to the President for his review and, if the President approves, to the Board of Regents for its consideration. Under the statutory authority of the State of Texas, the Board of Regents has the sole authority to revise this tenure policy.

06.04 (B), Establishing Rank and Awarding Tenure - Texas Tech University Health Sciences Center

Texas Tech University Health Sciences Center (TTUHSC) is a community of scholars dedicated to teaching and to the advancement of scientific knowledge through research. An essential component of academic endeavor provided by faculty members who have clinical skills is participation in the care of patients. Faculty members may also serve the academic community through participation in institutional governance (e.g., committee work) in addition to other activities. Some faculty members of TTUHSC also make important contributions to the community in the form of their public service. All of these contributions by faculty members will be recognized as essential to the mission of TTUHSC.

A position as a faculty member at TTUHSC implies correlative responsibilities. In addition to maintaining standards of competence, particularly those relating to scholarship and teaching ability, faculty members are also responsible for maintaining the proper attitude in objectivity, industry and cooperation with associates in the University.

As persons of learning, faculty members should remember that the public may judge their profession and institution by their statements and other actions. Thus, they should be accurate at all times, exercise appropriate restraint, and show respect for the opinions of others.

Whenever the context of this policy states the masculine gender it shall include the feminine or neuter, and the singular number shall include the plural, as appropriate.

1. **Academic Freedom.** Achievement of the teaching, research, patient care and service missions of TTUHSC depends upon an uninhibited search for truth and its open expression. Hence, it is essential that each faculty member be free to pursue scholarly inquiry without undue restriction, and to voice and publish individual conclusions concerning the significance of evidence that he or she considers relevant.

   A faculty member at TTUHSC is entitled to full freedom in the classroom in discussing the subject which he or she teaches, but should refrain from introducing controversial matters which have no relation to the classroom subject. Each faculty member when speaking, writing or acting as a citizen of the nation, state and community, must be free from institutional censorship or discipline, and should make it clear that in this capacity he or she does not speak for TTUHSC. A faculty member is subject to academic responsibility as noted below in this policy.

2. **Academic Responsibility.** The concept of academic freedom for faculty members is accompanied by an equally important concept of academic responsibility. A faculty member has a responsibility to: the TTUHSC; his or her profession; students; and society at large. The rights of a faculty member as extended by society and protected by written policies and the courts, require reciprocally the assumption of certain responsibilities. The fundamental responsibilities of a faculty member as a teacher, scholar and/or clinician include the maintenance of competence in his or her field of specialization as exhibited in the classroom, clinic or laboratory, and in the public arena by such activities as discussions, lectures, consulting, publications and participation in professional organizations and meetings.

   Statements by a faculty member are protected even though they may be critical in tone or content; however, such statements are not protected by free speech if they substantially impede the faculty member's performance of his or her daily duties, materially and substantially interfere with the regular operation of TTUHSC, or are part of a continuing pattern of expression that may destroy the harmony and morale of an academic unit. False statements made publicly with knowledge of their falsity, or in reckless disregard of the truth, are not entitled to constitutional protection; such action may call into question the fitness of the faculty member to perform his or her professional duties.

06.04 (B), **Establishing Rank and Awarding Tenure - Texas Tech University Health Sciences Center**

A faculty member should be judicious in the use of controversial material in teaching and should introduce such material only as it has a clear relationship to his or her subject matter. A faculty member should be professional in his or her conduct in the classroom and in relationships with students, maintain respect for the student and for the student's rights in the learning experience, and be appropriately available to students for consultation on course work.

3. **Tenure Perspectives.**

   a. **Concept of Tenure.** Academic tenure has been developed so that TTUHSC may have the benefit of the competent and honest judgment of its faculty. It thus recognizes the professional status of the faculty member and assures that employment may be terminated only for cause or as noted below. After tenure is granted, the burden of proof rests upon TTUHSC when it wishes to dismiss a faculty member.

   b. **Purposes of Tenure.** The purposes of tenure are to protect the academic freedom of the faculty member, to insure faithful observance of the requirements of academic due process, and to retain, encourage, and promote the ablest and most promising faculty members. This policy defines the types of appointments that may lead to tenure and specifies procedures for granting tenure.

   c. **Acquisition of Tenure.** Tenure may be attained at certain ranks only after a period of probationary service. Awarding of tenure in TTUHSC will be based upon excellence of performance in the following areas relevant to faculty members discipline:

      (1) Scholarly pursuits;
      (2) Patient care;
      (3) Administrative service; and
      (4) Public service.

      Tenure at TTUHSC is obtained only by affirmative action by the Board of Regents.

   d. **Ranks Eligible for Tenure.** Members of the faculty with the rank of Associate Professor and Professor are eligible for tenure. One may not attain tenure in such positions as Lecturer, Instructor, Assistant Professor, or in any of the non-tenured ranks listed in Section 4., below. In addition, tenure does not apply to administrative appointments.

4. **Non-Tenure Track Appointments.**

   Term Appointment. A term (non-tenured) appointment is written for a specific period of employment. All faculty appointees in non-tenured positions shall be given a statement in writing of the conditions and period of their employment. Term appointments may be renewed; however, reappointment of any such position shall not create the right to a subsequent term appointment. Time served by persons in non-tenure track series cannot be used as time accrued toward tenure. Each school may select titles from the following non-tenure track appointment titles:

   a. **Resident Physician Appointments.**

      (1) Assistant Instructor
      (2) Senior Assistant Instructor

06.04 (B), **Establishing Rank and Awarding Tenure - Texas Tech University Health Sciences Center**

These non-tenure track appointments may be made on a resident appointment or fellow appointment as well as full-time or part-time basis. The term "Assistant Instructor" shall be used for those individuals who are resident physicians below the rank of Chief Resident in the TTUHSC system. The term "Senior Assistant Instructor" shall be used for those who are Chief Residents and who are in post-residency fellowship training.

b. **Faculty Appointments.**

(1) Instructor
(2) Assistant Professor
(3) Associate Professor
(4) Professor

These four appointments may be used for full-time non-tenure track faculty members and for individuals with the appropriate professional credentials who are full-time employees of institutions holding formal affiliation agreements with TTUHSC.

c. **Clinical Appointments.**

(1) Clinical Lecturer
(2) Clinical Instructor
(3) Clinical Assistant Professor
(4) Clinical Associate Professor
(5) Clinical Professor

These five non-tenure track appointments are reserved for appointees with less than half-time appointments, i.e., less than half-time commitment to and less than half-time compensation from TTUHSC.

d. **Teaching Appointments.**

(1) Academic Lecturer
(2) Academic Instructor
(3) Academic Assistant Professor
(4) Academic Associate Professor
(5) Academic Professor

These five non-tenure track appointments are for full-time or part-time faculty members engaged primarily in teaching with incidental research and/or patient care responsibilities.

e. **Research Appointments.**

(1) Research Instructor of (title of discipline)
(2) Research Assistant Professor of (title of discipline)
(3) Research Associate Professor of (title of discipline)
(4) Research Professor of (title of discipline)

These four non-tenure track appointments are for full-time faculty members engaged primarily in research with incidental teaching and/or patient care responsibilities.

06.04 (B), **Establishing Rank and Awarding Tenure - Texas Tech University Health Sciences Center**

f. **Adjunct Appointments.**

(1) Adjunct Instructor
(2) Adjunct Assistant Professor
(3) Adjunct Associate Professor
(4) Adjunct Professor

The term "adjunct" may be used in conjunction with any appropriate non-tenure track title to indicate that the appointee is regularly engaged as an employee of another institution or agency. The "adjunct" series may also be used for TTUHSC employees who may be engaged in part-time or full-time teaching and/or patient care activities in a duly authorized TTUHSC program and whose compensation is not derived from TTUHSC state-appropriated faculty budgets.

g. **Visiting Appointments.**

(1) Visiting Associate Professor
(2) Visiting Professor

These two non-tenure track appointments are reserved for distinguished individuals who meet the criteria for appointment in senior academic ranks. Visiting appointments may be part- or full-time, but not continuing unless approved by the appropriate administrative authority.

h. **Clinical Subseries.**

(1) Instructor of Clinical (title of discipline)
(2) Assistant Professor of Clinical (title of discipline)
(3) Associate Professor of Clinical (title of discipline)
(4) Professor of Clinical (title of discipline)

These four non-tenure track appointments are for full-time faculty members engaged primarily in patient care with incidental teaching and/or research responsibilities and/or faculty whose assignments emphasize clinical teaching and service.

i. **Faculty Associate.** The Faculty Associate non-tenure track title may be used for persons who are employees of TTUHSC and who function in an academic support role (e.g., librarians).

j. **Conditions of Non-Tenure Series Appointments.**

(1) Faculty appointments in the non-tenure track series shall be reviewed annually by the heads of academic units and the Dean. A notice of non-reappointment will be issued to full-time faculty excluding adjunct and visiting no less than four months prior to August 31 of each year.

After a period of five years of service in the full-time non-tenure track at the Assistant Professor, Associate Professor, or Professor level, a notice of reappointment or non-reappointment will be issued no less than one year prior to August 31 of each year.

(2) After a period of five years of service in the non-tenure track at the Assistant Professor level or three years at the Associate or Professor level, extended appointments not to

exceed five years may be offered upon recommendation by the head of the academic unit and approval of the Dean.

(3) Although a reason for a decision of non-reappointment is not required, a decision not to re-appoint cannot be caused by considerations violative of academic freedom or constitutionally impermissible reasons. Each faculty member is entitled to see all of his or her personnel files and to obtain a copy of the information contained therein at his or her expense. The appeal process for an alleged violation of academic freedom or constitutionally guaranteed rights in the non-reappointment process is set out in 8.b.

(4) The transition from the non-tenure track series to the tenure track (or vice versa) may be allowed following review and mutual agreement by the faculty member, the head of the academic unit, and the Dean. Absent extraordinary circumstances which are approved by the Dean, only one transfer between tracks will be allowed.

(5) A faculty member in a non-tenure appointment may be dismissed only for cause during the term of the appointment as set out in Sections 9. and 10.

5. **Tenure Track Appointments.** Time served on the tenure track in the Assistant Professor, Associate Professor and Professor ranks shall count as probationary time toward the award of tenure. (See also Section 6., Tenure Schedule.) Tenure may be awarded only at the Associate Professor and Professor ranks.

a. **Tenure Track Appointments:**

(1) Assistant Professor
(2) Associate Professor
(3) Professor

b. **Tenured Appointment.** A tenured appointment assures the right of the faculty member to a continuing academic position of employment. The tenured faculty member is subject to possible adjustments regarding salary, administrative position and employment duties.

c. **Probationary Appointment.** Probationary appointees serve in a faculty status leading to the possible awarding of tenure. A probationary appointee is reappointed after appropriate review each academic year unless given appropriate notice (as noted in Section 8.a., Notice of Non-Reappointment). Such appointees are subject to possible adjustments regarding salary and employment duties.

d. **Academic Appointment.** Only persons with full-time appointments are eligible for tenure. Tenure applies to full-time faculty including those full-time faculty with nine month appointments. Although tenure does not apply to administrative positions, faculty members holding administrative positions may be tenured in their respective academic units.

e. **Continuous Full-Time Appointment.** Tenure applies to continuous full-time appointment in the academic units which have the authority to initiate tenure recommendations. The following rules govern the effect of a leave of absence upon the maximum probationary period: leave for four months or less during an academic year shall be included in the maximum probationary period; continuous leave for more than four months shall cause that entire academic year to be excluded from the maximum probationary period.

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f. **Joint Appointment.** A faculty member who holds a 50/50 percent of effort joint appointment in two TTUHSC academic units may achieve tenure in the joint position. If one of the units refuses to recommend tenure upon expiration of the probationary period and renders due notice, tenure shall not be awarded unless the faculty member is given full-time employment in the academic unit that desires to recommend tenure.

In a joint appointment other than 50/50 percent of effort, tenure may be achieved only in the unit where an appointment greater than 50 percent is held. That unit then must be prepared to absorb the remainder of the faculty member's appointment if the faculty member relinquishes, or is asked to relinquish, the part of the appointment that is less than 50 percent.

g. **Restructuring of Basic Academic Units.** If a basic academic unit (department) is merged with another academic unit or reorganized into a new unit, the tenured faculty member in the basic unit shall not lose his or her tenure appointment solely because of such reorganization.

6. **Tenure Schedule.** The probationary periods specified herein shall be viewed as maxima. Promotion and tenure may be awarded to qualified faculty members in shorter periods of time when the circumstances warrant. If a faculty member fails to receive tenure and/or promotion when considered before the end of the probationary period, this shall not jeopardize reconsideration in subsequent years.

Maximum probationary periods for admission to tenure are determined by rank:

a. **Assistant Professor.** Before the end of a seven-year probationary period, an untenured Assistant Professor must be notified in writing either that both promotion and tenure have been awarded or that the appointment will not be renewed at the end of the eighth year.

b. **Associate Professor.** Before the end of a four-year probationary period, an untenured Associate Professor must be notified in writing either that tenure has been awarded or that the appointment will not be renewed at the end of the fifth year.

c. **Professor.** Before the end of a three-year probationary period, an untenured Professor must be notified in writing either that tenure has been awarded or that the appointment will not be renewed at the end of the fourth year. The academic unit may recommend tenure at the time of the initial appointment of a Professor in exceptional cases.

d. **Computing Years of Credit Toward Tenure.** For computing probationary periods for admission to tenure, the effective date of each appointment shall be September 1st of the calendar year in which the appointment is made. There shall be a common tenure anniversary date of August 31 for all tenure-eligible academic appointments. (See Section 5.e. for computing periods of leave without pay.)

Credit toward tenure that was accrued at another institution of higher learning (or during previous employment with TTUHSC) may be counted as partial fulfillment of the probationary period with a credit limit of three years. The number of credited years is determined with the advice and agreement of the prospective faculty member, the head of the academic unit, and the Dean. The original letter of appointment shall contain specific information regarding the probationary years credited toward the acquisition of tenure.

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7. **Tenure and Promotion Decision Process.**

a. **Criteria and Standards.** The criteria and areas to be considered in the tenure and promotion decision processes are: scholarly pursuits (including teaching and research activity), patient care, administrative service, and public service.

b. **Guidelines.** There shall be guidelines for tenure and promotion. Individual academic units (departments) shall translate tenure and promotion standards into guidelines appropriate to their disciplines. It shall be the responsibility of the Deans to approve these standards and guidelines and to monitor their application. The Dean and the head of the academic unit shall review these guidelines periodically with appropriate recommendations from the faculty.

c. **Information Regarding Criteria, Standards, and Guidelines.** It is the joint responsibility of the head of the academic unit, Dean, and faculty member to insure that the faculty member is apprised of the criteria, standards, and guidelines of the School and the academic unit in which they have been appointed. The faculty member shall be provided such material on request.

d. **Procedure for Review of Qualifications for Tenure and Promotion.** Primary responsibility for evaluation of the academic qualifications of candidates for tenure and/or promotion rests with the faculty. Where the organization permits, there are six sequential levels in the tenure and/or promotion review process:

(1a) Peer review by tenured faculty members in the academic unit for consideration of tenure;
(1b) Peer review by faculty members of higher academic rank in the academic unit for consideration of promotion;
(2) Review by the head of the academic unit;
(3) Review by the committee charged with tenure and promotion;
(4) Review by the Dean; and
~~(5) Review by the Executive Vice President and Provost; and~~
(~~6~~5) Review by the President.

The President then makes appropriate recommendations to the Board of Regents. Tenure and promotion are granted by the Board of Regents.

In conducting reviews at the academic unit level, all tenured faculty shall have an opportunity to vote on a tenure recommendation. Likewise, in conducting reviews at the academic unit level, all faculty of higher academic rank shall have an opportunity to vote on a promotion recommendation. However, no faculty member currently or previously related by blood or marriage may participate in the tenure and/or promotion evaluation process of any such relative. The head of the academic unit is responsible for making an independent tenure or promotion recommendation to the Dean. The vote summary of the appropriate faculty of the academic unit (or of any special review committee) is to be forwarded with the academic unit head's recommendation, along with appropriate documentation in the tenure or promotion dossier.

Each School within TTUHSC will have a committee responsible for tenure and promotion, the composition of which will be outlined in the Schools' respective bylaws. The School Committee responsible for tenure and promotion should review basic recommendations for tenure and/or promotions in terms of academic unit and School standards. Each School Committee will forward its recommendations to its respective Dean, who will be responsible for all tenure and/or promotion recommendations emanating from the School. These recommendations, with

accompanying documentation in the tenure and/or promotion dossier, will be forwarded to the ~~Executive Vice President and Provost and thence, with his or her recommendations, to the~~ President. The final recommendations on tenure and/or promotion will then be made by the President and forwarded to the Board of Regents.

A faculty member may be granted tenure and/or promotion only by formal action of the Board of Regents.

e. **Discrimination.** All tenure and/or promotion judgments and recommendations rest upon objective requirements in relationship to the ability of the faculty member to perform effectively his and her responsibilities in teaching, research, patient care, and other service. Such judgments and recommendations are to be made without regard to race, religion, sex, age, national origin, marital status, or physical disabilities which do not obstruct professional performance.

8. **Non-Reappointment of Faculty on Tenure Track Probationary Appointment.**

a. **Notice of Non-Reappointment.** Except under conditions relating to the dismissal of faculty noted in Section 9. of this policy, notice of non-reappointment of non-tenured faculty members on tenure track probationary appointments shall be given in writing in accordance with the following schedule. For computing the period of employment, the effective date of each appointment shall be September 1 of the calendar year in which the appointment is made.

(1) At least three months before the end of the first twelve months of service; or
(2) At least six months before the end of the first twenty-four months of service; or
(3) For those with more than twenty-four months of service, at least nine months' notice of non-reappointment must be given; or
(4) Notwithstanding the above provisions, notice of non-reappointment may be given with the commencement of the current appointment.

b. **Appeal of Non-Reappointment.** TTUHSC is not required to give a non-tenured faculty member a reason for a decision of non-reappointment. However, each faculty member is entitled to see all of his or her personnel file and, at his or her expense to obtain a copy of the information contained therein.

If a non-tenured faculty member alleges that a decision not to reappoint him or her is caused by considerations violative of academic freedom, for constitutionally impermissible reasons, or for significant noncompliance with TTUHSC's established standards or prescribed procedures, the allegation shall be given consideration in accordance with the following procedures:

(1) These allegations and request for a hearing must be sent in writing to the appropriate Dean, the head of the academic unit, and the School Hearing Committee by the faculty member within twenty working days after receipt of notice of the decision not to reappoint.

(2) A hearing will be conducted by the School Hearing Committee as soon as possible after receipt of written notice of allegation. The School Hearing Committee shall determine procedures to be implemented in the hearing, which procedures shall afford due process and fairness to both parties.

(3) Before the School Hearing Committee, the duty of proving facts constituting the violation

shall rest with the faculty member. The procedure shall be investigatory and non-adversarial in nature.

(4) Within ten (10) working days of conclusion of the hearing, the chairman of the School Hearing Committee shall deliver the findings, recommendations, and minority opinions, if any, to the Dean, who shall transmit them along with his/her recommendations to the ~~Executive Vice President and Provost, who shall transmit them along with his/her recommendations to the~~ President . The President shall transmit them along with his/her recommendations to the Board of Regents.

(5) The Board of Regents, by a majority of its total membership, shall take final action. The decision of the Board of Regents will be stated in writing and communicated to the President ~~who will transmit it to the Executive Vice President and Provost~~ who will communicate it to the Dean. The President shall also notify the faculty member in writing of the Board's decision. The decision of the Board of Regents shall be final.

9. **Grounds for Dismissal of Tenured Faculty and Non-Tenured Faculty During Their Appointment.**

a. **Termination.** Termination of employment or dismissal of a tenured faculty member and of all other faculty members before the expiration of the stated period of appointment (except by resignation, retirement) will be only for cause.

b. **Cause for Dismissal.** Examples of cause for dismissal of a faculty member include, but shall not be limited to, the following:

(1) Professional incompetence;
(2) Neglect of professional responsibilities;
(3) Moral turpitude adversely affecting the performance of duties or the meeting of responsibilities to the School, or to students or associates;
(4) Mental or physical disablement of a continuing nature adversely affecting the performance of duties or the meeting of responsibilities to the School, or to students or associates; and
(5) Unprofessional conduct adversely affecting the performance of duties or the meeting of responsibilities to the School, or to students or associates.

10. **Procedures in Dismissal Cases.** Due process as set forth in this policy statement embodies a course of proceedings in line with rules and principles generally recognized in the academic community. Among these is the right of a tenured faculty member, and a non-tenured faculty member during the term of his or her appointment, to request and be granted a hearing before the School Hearing Committee, when notice of cause for dismissal has been received.

a. In each case, the procedure for termination or dismissal will be determined by an equitable procedure, affording protection to the rights of the individual and to the interests of TTUHSC.

A faculty member shall not be dismissed until he or she has received written notice of the cause for dismissal and, except as specified below, only after a reasonable opportunity for a hearing, which shall meet the established procedures of due process as set forth herein and in which the School shall bear the burden of showing cause for dismissal. The faculty member will receive his or her salary until conclusion of the dismissal procedures and may continue the performance of his or her duties for that period unless the individual's welfare or that of the

School, in the opinion of the Dean, requires that a leave of absence be issued. In cases where the respondent faculty member admits his or her conduct constitutes cause, or does not choose to have a hearing, he or she may offer in writing his or her resignation.

b. There will be a School Hearing Committee charged with hearing cases of dismissal of tenured faculty or non-tenured faculty during the appointment. The composition and method of appointment of said committees will be set forth in the faculty bylaws of each School.

c. Before the filing of formal dismissal charges by the appropriate Dean, a reasonable effort shall be made to mediate and conciliate differences. Upon written notification to the Dean of a request for dismissal, the ~~Chairman~~ Chair of the School Hearing Committee shall appoint a Mediation Team within fifteen (15) working days composed of two faculty members who are not on the School Hearing Committee and who are acceptable to both parties. If no mediators are found acceptable within this fifteen (15) day working period, mediation will be deemed not feasible and the matter referred back to the Dean. This Mediation Team shall conduct a thorough, confidential, equitable, and expeditious review. The Dean shall notify the faculty member and the ~~Executive Vice President and Provost~~ President of the action of the Mediation Team. If conciliation is not achieved, the report of this review and the recommendation of the Mediation Team shall be considered by the Dean in determining whether formal charges should be filed by the Dean to dismiss the faculty member for cause.

d. In all cases of formal dismissal charges, the faculty member will be informed in writing of the charges. The charges will be considered by the School Hearing Committee unless the faculty member offers his or her resignation as set out in Section 10. a.

e. The faculty member notified of formal dismissal charges shall also be notified in writing of his or her right to a hearing and shall be given twenty (20) working days from the receipt of such notice to petition his or her Dean for a hearing before the School Hearing Committee. The Dean shall, upon receipt of such petition, notify the ~~Chairperson~~ Chair of the School Hearing Committee, who will call together a panel of the School Hearing Committee as set out in each School's Bylaws to begin consideration of the formal charges as soon as possible.

f. The School Hearing Committee will select a ~~Chairman~~ Chair and may, if it chooses, request appropriate legal counsel to advise the Committee to be arranged by the School Hearing Committee, but not from the Office of General Counsel. Consideration may be given to the selection of such legal counsel from the faculty of the Law School.

g. In every dismissal hearing, the faculty member shall have the right to appear in person with legal counsel retained by the individual, or other representative of his or her choice, and to confront and cross-examine witnesses. The faculty member shall have the right to testify, but may not be required to do so, and may introduce in his or her behalf all evidence and material, written or oral, which he or she considers to be relevant or material to the case. TTUHSC shall also have the right to legal counsel from the Office of General Counsel in the preparation and presentation of charges and have the same rights in the hearing as those accorded to the faculty member. An audio tape of the proceedings shall be made and delivered to the ~~Executive Vice President and Provost~~ President of TTUHSC, and a copy of this audio tape shall be made available to the faculty member. The record will be transcribed only on the request of either the faculty member or the ~~Executive Vice President and Provost~~ President at the expense of the requesting party. The parties shall make any objections, substantive or procedural deemed relevant during the course of the hearing.

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h. The nature of the hearing shall be investigatory and non-adversarial. The panel of the School Hearing Committee, by majority of its membership, shall make written findings on the material facts on each charge and make specific recommendations with regard to each of the charges, as well as general recommendations concerning dismissal. The panel of the School Hearing Committee, by majority of its membership, may make any supplementary suggestions it deems proper concerning disposition of the case. If minority findings, recommendations, or suggestions are made, they shall be similarly treated.

i. The ~~chairperson~~ Chair of the panel of the School Hearing Committee shall deliver the findings, recommendations, and suggestions to the Dean who shall transmit them along with his or her own recommendations to the ~~Executive Vice President and Provost~~ President of TTUHSC ~~who shall transmit them along with his or her own recommendations to the President of TTUHSC~~. The President shall transmit these findings along with his or her recommendations to the faculty member and to the Board of Regents for its consideration.

j. The Board of Regents, by a majority of its total membership, shall take final action. The decision of the Board of Regents will be stated in writing and communicated to the President ~~who will transmit it to the Executive Vice President and Provost~~ who will communicate it to the Dean. The President shall also notify the faculty member in writing of the Board's decision. The decision of the Board of Regents shall be final. Once the Board of Regents acts to dismiss, payment of salary shall cease.

k. The ~~Executive Vice President and Provost~~ President of TTUHSC shall have the prerogative of extending any of the time periods specified above when such is in his or her opinion in the best interest of TTUHSC or the faculty member, and shall have the right to intervene when in his or her judgment, the proceedings are not progressing in a timely manner.

l. The procedures for dismissal described in the foregoing paragraphs of this section do not negate the right of the ~~Executive Vice President and Provost~~ President to suspend the faculty member from all or some duties, when the ~~Executive Vice President and Provost~~ President reasonably believes such to be in the best interest of the institution. The suspension with pay shall be without appeal and shall continue until such time as the suspended faculty member has been accorded the procedural rights described in the foregoing paragraphs of this section.

11. **Financial Exigency, Phasing Out or Reorganization of Programs.** The Board of Regents has sole authority to declare financial exigency. When faculty dismissals are contemplated on grounds of financial exigency, program termination or reduction, or reorganization of academic units, there should be early, careful, and meaningful sharing of information and views with the faculty on the need to terminate programs. Recommendations from the faculty will be sought by the Dean on alternatives available to the School to ensure continuation of a strong academic program and to minimize the losses sustained by affected students and faculty members. In cases of bona fide financial exigency, or the phasing out of programs requiring reduction of faculty, the faculty members involved shall be given opportunities for appointment in related areas of the School (or TTUHSC) provided they are qualified professionally to teach in such areas, and provided such positions are available.

12. **Implementation.** This policy is to be implemented immediately upon approval by the Board of Regents. Faculty members on tenure track probationary status at the time of this approval will have the opportunity to elect the Tenure and Promotion Decision Process of either the Tenure Policy in

effect when they were appointed or in effect at the time of application for tenure. All faculty members are subject to all other provisions and procedures of this revised tenure policy upon its approval by the Board of Regents. The tenure of faculty members who have attained it at TTUHSC continues under this policy. This policy shall not be applied in derogation of any faculty member's contract rights. It is not the intent of this policy to operate in derogation of any substantive benefit earned by a tenured faculty member under a previous TTUHSC tenure policy.

06.05. Horn Professorships

1. The Board of Regents establishes special professorships to be known as "Horn Professorships" named in honor of Paul Whitfield Horn, the first president of the institution.

2. Horn Professorships, the highest honor which the University may bestow on members of its faculty, are granted to professors in recognition of their attainment of national or international distinction for outstanding teaching, research, or other creative achievement.

3. The Board of Regents shall approve those faculty members to be granted "Horn Professorships" upon recommendation by the President.

06.06. Academic Workload - Texas Tech University

1. Faculty members in their normal academic assignments are expected to carry out a number of essential functions including the teaching of organized classes; academic advising and counseling; supervision of practica, internships and clinical teaching; directing individual study, theses and dissertations; curriculum development; scholarly work and research; and institutional and public service.

2. In compliance with Sections 51.402 and 51.403 of the Texas Education Code, this is to establish minimal teaching load requirements for faculty.

3. Responsibilities for assigning appropriate workloads shall rest with departmental chairpersons and deans; assignments are reviewed at the vice presidential level and reported to the President and Board of Regents each term.

4. Appropriate officers of the institution shall establish additional standards as necessary to meet the instructional needs of Texas Tech. Teaching responsibilities shall be in proportion to the portion of salary paid from funds appropriated for instructional purposes.

5. Each faculty member paid full time from the appropriations item "Faculty Salaries," and who engages in scholarly research and university-related services is expected to teach an average minimum load each academic year of 9 semester credit hours of instruction in organized undergraduate classes per long-term semester, with teaching load adjustments and equivalencies to be established by the appropriate Texas Tech administrative officers according to the following regulations:

   a. One semester credit hour of organized graduate instruction is equal to 1.5 semester credit hours of organized undergraduate instruction;

   b. One semester credit hour of teaching in a large class (above 100) which requires extensive grading and written work is equal to 1.5 semester credit hours of organized undergraduate instruction.

   c. One class contact hour of teaching in performance or activity courses which normally meet more hours per week than the semester credit hour designation of the course (e.g., clinical only, physical education activity, studio art and studio music courses) is equivalent to .5 semester credit hours of organized undergraduate class instruction;

   d. One class contact hour of laboratory teaching (e.g., science laboratories) in courses which normally meet more hours per week than the semester credit hour designation of the course is equivalent to .67 semester credit hours of organized undergraduate class instruction.

   e. Teaching credit to graduate student committee chairpersons only for master's theses and doctoral dissertation direction shall be granted on the basis of .33 of the dissertation research course semester credit hours per doctoral student enrollment and .20 of the thesis research course semester hours per masters student enrollment.

   f. Teaching credit for individual instruction classes (e.g., honors programs and individual research projects, student teaching supervision, clinical or intern supervision) shall be granted on the basis of .20 of the course semester credit hour designation for individual graduate instruction and .10 of the course semester credit hours designation for individual undergraduate instruction, per student enrolled;

   g. Teaching load credit may be granted to a faculty member who coordinates several sections of

06.06. Academic Workload - Texas Tech University

a single course to the extent of 1 semester hour of load credit for 6 sections coordinated up to a maximum of 3 semester hours of teaching load credit.*

h. Teaching load credit may be granted for a faculty member who is a department chairperson, area coordinator or head of a comparable unit, up to a maximum of 6 hours of teaching load credit.

i. Teaching load credit may be granted for a faculty member for academic advisement or significant temporary responsibilities relating to the institution as a whole, up to a maximum of 3 hours of teaching load credit.*

6. When a faculty member performs in more than one of the categories previously noted (e.g., a faculty member who teaches organized courses, directs master's theses, and supervises internships), the teaching load shall be proportioned among the categories, but the faculty members teaching load must be equivalent to the minimum of 9 semester credit hours of instruction in organized undergraduate courses to fulfill the minimum workload requirement. When more than one teacher teaches a single course, the teaching load credit shall be apportioned according to the effort expended.

7. A reduced teaching load may be granted temporarily if classes do not materialize because of insufficient enrollment and when additional classes cannot be assigned to the faculty member, although other academic work shall be assigned. This exception may be granted for two consecutive long-term semesters for any particular faculty member.

8. It is the responsibility of each faculty member to teach in excess of the stated minimum requirement when such teaching is necessary to meet the institution's obligation to its students. It is the responsibility of the chairpersons (or comparable academic administrators) and deans to distribute the workload as equitably as possible.

9. The ~~Executive Vice President and~~ Provost shall monitor workload assignments and provide appropriate reports in accordance with state requirements.

*With prior approval of the Dean and the ~~Executive Vice President and~~ Provost

06.07, Authorization for Small Classes - Texas Tech University

1. The offering of small classes is a matter of academic and economic concern, and shall be engaged in only when appropriate justification is offered. In keeping with legislative directives and guidelines approved by the Coordinating Board, Texas College and University System, organized small classes may be authorized to be taught if they meet with the conditions stated below.

2. The ~~Executive Vice President and~~ Provost shall approve or disapprove the proposed offering of small classes, monitor the offerings, and provide reports in accordance with state requirements.

3. Small classes which meet the requirements of any one of the following codes may be authorized to be taught:

   a. Required course for graduation. (The course is not offered each semester or term and if canceled, may affect date of graduation of those enrolled.)

   b. Required course for majors in this field and should be completed this semester (or term) to keep proper sequence in courses.

   c. Interdepartmental (cross-listed) courses taught as a single class by the same faculty at the same station, provided that the combined courses do not constitute a small class.

   d. Course in newly established degree program, concentration, or support area.

   e. First-time offering of the course.

   f. Class size limited by accreditation or state licensing standards.

   g. Class size limited by availability of laboratory or clinical facilities.

   h. Course voluntarily offered by a faculty member in excess of the institutional teaching load requirements and for which the faculty member receives no additional compensation.

06.~~05~~ 08, Faculty Sick Leave

1. **Definition.** For the purpose of this policy, a "Regular Faculty Member" is defined as any person holding an academic rank as defined by the Board of Regents Policy 06.04, Establishing Rank and Awarding Tenure, with the exception of Resident Physicians ~~or~~ , Clinical Appointments, or students employed in positions which require student status as a condition of employment, and paid to teach in full or in part from the line item Faculty Salaries for at least 50 percent time for at least four and one-half months per year or ~~and~~ paid from other funding sources under the auspices of ~~the Health Sciences Center~~ Texas Tech.

2. **Policy.** A regular faculty member shall, without deduction in salary, be entitled to sick leave subject to the following conditions:

   a. A regular faculty member shall earn sick leave entitlement beginning on the first day of employment and terminating on the last day of duty.

   b. Sick leave entitlement shall be earned by a full-time regular faculty member at the rate of eight hours for each month or fraction of a month of employment, and shall accumulate with the unused amount of such leave carried forward each month. A part-time regular faculty member shall earn a pro rata share based upon the percent of time worked. Sick leave accrual shall terminate on the last day of duty.

   c. A regular faculty member shall not earn sick leave during those months when he/she is not under appointment to work.

   d. Sick leave with pay may be taken when sickness, injury, or pregnancy and confinement prevent the employee's performance of duty or when a member of the employee's immediate family is actually ill. For purposes relating to sick leave, immediate family is defined as those individuals related by kinship, adoption or marriage who are living in the same household or if not in the same household are totally dependent upon the employee for personal care or services on a continuing basis. An employee who must be absent from duty because of illness shall notify or cause to have notified the appropriate administrative officer of that fact at the earliest practicable time.

   e. To be eligible for accumulated sick leave with pay during a continuous period of more than three working days, a faculty member absent due to illness shall send to his/her administrative officer a doctor's certificate showing the cause or nature of the illness, or some other written statement of the facts concerning the illness which is acceptable to such administrative officer.

   f. Upon return to duty after sick leave, the faculty member shall complete the prescribed application for sick leave and submit the same through normal administrative channels for consideration.

   g. Sick leave forms must be submitted for all sick leave even though no classes were missed if the absence occurs during the normal workday for regular non-faculty employees.

   h. A faculty member transferring between ~~Health Sciences Center~~ Texas Tech departments or state agencies ~~h.ll~~ shall retain unused sick leave, provided service is uninterrupted.

   i. When an official ~~Health Sciences Center~~ Texas Tech holiday occurs during a paid sick leave, the holiday shall not be charged against sick leave.

   j. Malingering and other abuses of sick leave shall constitute grounds for dismissal from ~~Health Sciences Center~~ Texas Tech employment.

06.~~05~~ 08, **Faculty Sick Leave**

k. In the event of a faculty member's death, one-half of his/her unused sick leave accumulation, not to exceed 336 hours, shall be paid to the estate as a death benefit.

l. A faculty member terminated under a reduction-in-force shall have sick leave balance restored if reemployed by the State within twelve months of termination.

m. Absence of a faculty member because of illness shall ordinarily be defined in terms of half-day (four hour) or whole-day (eight hour) units. A request for a half-day of sick leave is to be made when the faculty member is not present during the normal working hours at his/her normal duty station (office, classroom, laboratory, etc.) for a major portion of the half-day period.

n. Absence from significant responsibilities outside the normal workday, such as teaching an evening class, shall be levied against the half-day in which the absence occurred, but the faculty member shall not be charged with more than one day of absence for any calendar day period.

o. Exceptions to the amount of sick leave an employee may take must be authorized by the President on an individual basis after a review of the merits of each particular case. Request must be made through administrative channels to the ~~Executive Vice President for the Health Sciences Center,~~ appropriate Dean, and then the President.

06.~~06~~09, Non-native English Speaking Teaching Assistants and Faculty

1. ~~House Bill 638, passed May 28, 1989~~ Texas Education Code, Section 51.917, requires that each institution of higher education establish a program or a short course to assist certain non-native English speaking faculty members to become proficient in the use of the English language. The term "faculty member" means a person who teaches a course offered for academic credit by an institution of higher education, including teaching assistants, instructors, lab assistants, research assistants, lecturers, assistant professors, associate professors, and full professors.

2. The purpose of this policy is to assist faculty members whose primary language is not English to become proficient in the use of English, and to ensure that courses offered for credit at ~~TTUHSC~~ Texas Tech are taught in the English language, and that all faculty members are proficient in the use of the English language.

3. Faculty members and potential faculty members who can demonstrate that their primary language is English on the basis of country of origin, academic training or other credible evidence are excluded from coverage of ~~House Bill 638~~ Section 51.917, Texas Education Code.

4. All presently employed non-native English speaking faculty and all potential faculty members of all ranks will be required to be certified as competent in the English language by achieving a satisfactory grade on the "Test of Spoken English" of the Educational Testing Service.

5. If results of the evaluation indicate that additional language instruction is necessary, faculty will be required to register in an appropriate language instruction course in the English as a Second Language Program and pay the required fees.

6. The policy is not intended to prevent the use of other languages in foreign language courses or the counseling of non-English speaking students in their native language.

07.01, **Faculty Research**

1. A primary mission of Texas Tech ~~University Health Sciences Center (TTUHSC)~~ is the contribution of new knowledge developed by the scholars who are an integral part of the ~~health sciences~~ Texas Tech community.

2. All faculty are encouraged to fulfill their roles as members of a scholarly profession by engaging in and actively pursuing a meaningful program of research and scholarly productivity.

3. ~~TTUHSC~~ Texas Tech will serve as a sponsor or conduit for the sponsor of programs of research through the program of Organized Research or the ~~its~~ Office of Sponsored Programs. Projects which are submitted through ~~this office~~ these offices should be evaluated by the ~~Executive Vice President and Provost or the Vice Provost for Research~~ Provost, the Associate Dean for Research, or members of the faculty. Approval of such projects properly rests with the appropriate Dean operating through a system of committees to ensure that the projects fall within recognized spheres of research and that a positive contribution will be made to the development of the academic discipline.

4. Whenever possible and appropriate, research proposals should include a budgeted percentage of the salary of principal investigator(s) and other faculty-rank researchers associated with the project.

07.02, Establishment of Centers and Institutes Within ~~TTUHSC~~ Texas Tech

1. Texas Tech ~~University Health Sciences Center (TTUHSC)~~ is authorized to establish centers and institutes as they pertain to the academic, research, and service mission of the Institutions. Each such unit must conform to ~~TTUHSC~~ Texas Tech policies as well as to state regulations and statutes.

2. Each center and institute must be established with the approval of the Dean or other appropriate official, the endorsement of the appropriate Vice President and President and the concurrence of the ~~President~~ Chancellor.

3. The Board of Regents is to be informed of the creation of centers and institutes within ~~TTUHSC~~ Texas Tech, by means of a ratification item at the next available Board of Regents meeting.

4. Accountability for each such entity is to be vested with the academic officer (e.g., Dean) under whose direction the center or institute functions. Monitoring of the functions of the center or institute shall be maintained by the responsible administrative official.

5. Changes in function, focus, or of major funding sources for centers and institutes shall receive prior approval from the ~~Executive Vice President and~~ Provost or President.

8.01, Admission

1. Applicants may be considered for admission to Texas Tech University Health Sciences Center providing they meet all published entrance requirements. The completed application, transcripts, test scores and other applicable qualifying factors constitute the basis upon which eligibility is considered

~~1.~~ 2. Applicants may be considered for admission to the undergraduate divisions of Texas Tech University by graduation from an accredited high school, by transfer from an accredited college, or by entrance examination.[a] The completed application, test scores and other applicable qualifying factors constitute the basis upon which eligibility is considered. Students who meet the stated requirements may reasonably expect to be admitted. However, additional factors may be considered in determining the applicant's admission.

~~2.~~ 3. As a state-supported institution, Texas Tech University recognizes its responsibility to provide excellent educational opportunities for its residents. Since experience indicates that prospective students with poor academic records have little chance of successfully completing degrees at Texas Tech, class rank in high school and scores obtained from Scholastic Aptitude Test (SAT) and the American College Test (ACT) are used to help predict potential academic performance. Each undergraduate applicant is required to submit an application on forms furnished by the Admissions Office and an official high school transcript which includes the applicant's rank in the high school graduating class. Scores on the SAT or ACT are also required. In addition, applicants must provide information on the application form regarding high school course work, honors or advanced placement, extra-curricular activities, leadership experiences, proposed field of study, civic or other service activities, and any other information they wish to provide such as socioeconomic background, family educational background, bilingual proficiency and other information that may be beneficial to the Admissions Committee. Applicants who do not meet the assured admission criteria will have their records reviewed in order to assess the impact of these other factors on their potential for success.

~~3.~~ 4. Assured Admission

Students who graduate from an accredited high school with the required course work will be assured admission if they present the combination rank in class and minimum test scores indicated below:

High School Class Rank	Minimum Test Scores for Assured Admission	
	ACT	SAT
Top Ten Percent	No minimum[b]	
First Quarter (other than top 10%)	25	1140
Second Quarter	28	1230
Lower Half	29	1270

[a] Approved by Board of Regents, TTU, March 30, 1979

[b] According to State law, students graduating in the top 10% of their high school class will be granted assured admission.

8.01, Admission

Assured admission will be granted all students who hold scholarships awarded by an official Texas Tech University scholarship committee.

~~4.~~ 5. Admission review.

Applicants who do not meet the assured admission criteria will have their records reviewed in order to evaluate other factors that could predict success at Texas Tech. Applicants will be individually reviewed in a holistic manner by a committee with faculty, staff and student representation. Additional information included on the application will be considered for the purpose of identifying those students who can be successful and graduate from the university.

~~5.~~ 6. Special Admission.

a. The University may, under unusual or special circumstances, waive the admission requirements for a
limited number of applicants.

b. A student who has not graduated from high school and who has not attended college may be considered for admission by the Admissions Committee.

c. Specific terms of this policy are established and periodically revised by the Texas Tech administration.

~~6.~~ 7. Provisional Admission.

Students not admitted through the review process may be admitted provisionally by completing a prescribed number of hours in specific general education courses either in the summer after high school graduation or the following spring. Criteria are as follows:

a. If course work requirements are completed at Texas Tech University, either:

   1. Seven hours of required basic courses with a grade point average of at least 2.50 with the required course work to include one hour of credit for the freshman seminar (i.e. Tech Transition); or

   2. Thirteen hours of required basic courses with a grade point average of at least 2.00 with the required course work to include one hour of credit for the freshman seminar (i.e. Tech Transition).

b. If course work requirements are completed at another institution, twelve hours of required basic courses with a minimum grade point average of 2.50 is required.

~~7.~~ 8. Admission of transfer students.

Transfer applicants may be admitted to the university in one of three ways as follows:

a. Transfer of 24 or more hours from an accredited institution with a minimum grade point average of 2.25 and eligibility to return to the institution most recently attended.

b. Transfer of 12 to 23 hours including at least 12 hours of required basic courses from an accredited institution with a minimum grade point average of 2.50.

c. Meet the same standards for admission as required of new freshmen entering from high school

and have a minimum 2.00 cumulative grade point average in work completed in addition to eligibility to return to the institution most recently attended.

~~8.~~ 9. The Board of Regents is committed to continuous quality improvement of both students and programs, but recognizes the importance of "value added" in the educational process. It is the intent of the Board to increase the level of all quality indicators by means of a program of enhanced recruiting and the acquisition of resources necessary to award academic scholarships to all deserving students. Achievement of the university's goals for excellence will be based on the inclusion of a growing number of the best students in the state and not necessarily depend upon the exclusion of some weaker students who nevertheless have the potential to become productive individuals and graduate from the university.

08.02, Degree Requirements

To complete any degree, undergraduate or graduate, at Texas Tech ~~University Health Sciences Center~~, a student must meet requirements for such degree including those specifically designated by the Legislature of the State of Texas.

08.03, Suspension and Retention

1. Students who do not meet the academic requirements may be placed on probationary or suspended status by the Dean~~s~~ of the ~~appropriate health professional school~~ college or school in which the student is registered.

2. At Texas Tech University, these minimum requirements are maintenance of a grade point average of 2.0 for work attempted in each semester.

3. Courses in which the grade of W is received are not counted in determining total hours attempted by a student.

08.04, Undergraduate Credit by Examination

1. It is the policy of Texas Tech ~~University~~ to recognize academic achievement of students gained by independent study as well as actual performance in organized classes. Students will be given the opportunity to receive credit by special examination in all courses where proficiency may be practicably determined by examination. Entering freshmen may be granted credit for lower level courses by demonstrating their proficiency through standardized examinations.

2. Pass or fail grades earned on examinations for these courses will not be considered in determining grade-point averages.

08.05, Housing of Students and Staff - Texas Tech University

1. On-campus housing for administration, faculty and other University employees is generally not provided. Special permission may be granted in exceptional circumstances.

2. On-campus housing for married students is generally not provided. Special provision may be made in exceptional circumstances.

3. The University requires eligible students to live in the University residence halls if there are vacancies. Subject to verification and authorization by the University, students will be given permission to live off-campus provided any one of the nine exemption categories listed below are satisfied:

   a. A student is living and continues to live in the established household of his or her parents.

   b. A student presents evidence of financial hardship conditions and is living in the established household of a brother, sister, grandparent, uncle, or an aunt. In the event the individual with whom the student lives changes residence, the student shall promptly notify the Office of Student Life.

   c. A student is married.

   d. A student is 21 years of age or over on or before the first day of classes for the Fall Semester.

   e. A student has completed 32 or more semester hours of academic credit before the beginning of the Fall Semester or has lived in University residence halls for two regular semesters.

   f. A student is enrolled in the Graduate or Law Schools.

   g. A student has served in the military service as verified by a discharge certificate (DD214).

   h. A student has a health problem as verified by the University Health Center which precludes living in the residence halls.

   i. A student presents satisfactory evidence of hardship which will be intensified by his living in the residence halls.

4. Evidence of deliberate falsification of information, data, or any materials submitted or providing of false or erroneous information in connection with application for off-campus housing verification shall be grounds for immediate suspension for a period of time not less than the remainder of the semester in which the offense occurs. All students must obtain permission to change residence from the University prior to change of residence during the semester. It is the responsibility of the student to file a change of address form or correct any incorrect information regarding housing in this same office. Failure to do so may be considered cause for immediate suspension.

5. Authorization for off-campus housing does not relieve the student of contractual obligations which may have been assumed with the University for housing in the residence halls.

08.06, Residence Halls Visitation Hours - Texas Tech University

1. The Residence Halls Association, hereafter "Association" is charged with overall responsibility for the visitation program within guidelines established by the students and staff and approved by the University.

   a. A special committee will be created from the Association that will be responsible for handling all problems and proposing any changes in the visitation program.

   b. The Association will vote on all of the committee's recommendations and submit any recommendations to the proper University officials for approval.

   c. The Association will revise, when necessary, the policy on visitation.

   d. The Association will inform all Residence Hall Councils of the modifications that are needed in their hall rules and regulations should they choose to participate in the visitation program.

   e. The Association will establish guidelines for the publicity of the visitation program in the halls by the Hall Counselor.

2. The Residence Halls Council of each hall will administer the visitation program in their individual halls according to Association and University guidelines.

   a. The Hall Councils will determine the extent and time of their individual hall's participation within the University guidelines.

   b. The Hall Councils will publicize the program in their individual halls subject to Association guidelines.

   c. The Hall Councils will carry out the balloting on visitation hours in accordance with Association guidelines.

3. The Committee on Visitation in Residence Halls has set the following hours for visitation:

   a. Visitation hours and days will be set for the entire semester at the beginning of each semester.

   b. Visitation for students may be held Monday through Thursday, a Friday, a Saturday and a Sunday.

   c. Maximum visitation hours guidelines for students living in Residence Halls are:

Maximum hours - -	
Sunday through Thursday	12 Noon - 12 Midnight
Friday and Saturday	12 Noon - 1:00 A.M.

4. Visitation hours for each individual hall will be selected by the Hall Councils subject to:

   a. Visitation may extend no more than the hours specified in 3.c.

   b. Visitation hours may be split into segments on any one day.

   c. Visitation will not be implemented if the Hall Council votes against it.

08.06, Residence Halls Visitation Hours - Texas Tech University

5. The following special rules will facilitate the visitation program in the Residence Halls:

   a. Residents must escort visitors into the halls through the designated entrance and must be with them at all times in the wings and must escort the visitor(s) out of the wing.

   b. Entertaining of guests in resident's room should be of mutual agreement between roommates.

   c. Residents must direct guests to use the guest restrooms provided in each residence hall.

   d. All residents will continue to observe the existing open door policy.

   e. If a Hall Council of any residence hall desires to require additional regulations in the interest of security, they may adopt and informally publish such guidelines.

6. The moral conduct of residents and their guests is governed by state, local and University rules and regulations which are to be observed.

7. The discipline of any persons in violation of visitation rules will be handled by:

   a. University Police for nonstudents.

   b. The Resident Standards Board - except on accusation of theft or immoral conduct in which cases violations will be handled by the Dean of Students.

   c. Complaints may be filed by any student or University official; nonstudents may file a complaint only through a University official.

08.07, Residence Hall Collections and Advance Payments - Texas Tech University

1. The University is authorized to charge and collect an advance payment with all requests for residence hall space. This advance payment shall be $100 and must be received by the University by July 1 in order to reserve a residence hall space for the following fall semester. The advance payment will be applied to board and room charges for the fall semester which follows its receipt.

2. Students entering the Residence Halls at the beginning of the year will be charged 55 percent of the academic year rate for the fall semester and the remaining 45 percent of the academic year rate for the spring semester.

3. Students entering the Residence Halls at the beginning of the spring semester will be charged 50 percent of the academic year rate. The Housing Office is authorized to collect these charges.

08.08, **Social Fraternities and Sororities**

1. Nationally affiliated and chartered social fraternities and sororities may be organized and recognized at Texas Tech University as long as they comply with all pertinent federal and State of Texas regulations regarding nondiscrimination and are approved through regular and appropriate University procedures.

2. Fraternities and sororities are authorized to own and operate off-campus lodges, houses and other facilities where they may hold meetings, conduct formal and informal social events and provide living quarters and/or food service operations for their members, tenants and guests.

08.09, Official Student Publications - Texas Tech University

1. The *University Daily* and the *La Ventana* (yearbook) are designed to:

   a. Provide training experiences for those members of the student body who may wish to develop their own special talents or interests in journalism and publications; and to

   b. Provide the University community and the general public with news and comments concerning the University.

2. Student Publications are free of arbitrary and capricious censorship and advance-copy approval, when operated and published within the canons of responsible journalism as established by the University Committee on Student Publications. Within this framework, editors and managers are free to establish their own editorial policies in collaboration with the Director of Student Publications.

3. All aspects of the Student Publications shall be the responsibility of the President of the University and therefore under his direction.

09.01, Texas Public Educational Grants

1. The *Texas Education Code*, Chapter 56, Subchapters C and D, authorizes the governing board of Texas Tech ~~University Health Sciences Center (TTUHSC)~~ to set aside a portion of each resident and nonresident student's tuition charges for the purpose of funding the Texas Public Educational Grants Program and Emergency Tuition and Fees Loans. Awards will be made to students for both grants and emergency tuition and fee loans.

2. The Board of Regents shall cause to be set aside, 15 percent of each resident student's tuition charge and 3 percent of each nonresident student's tuition charge as authorized by Section 54.051 of the *Texas Education Code*.

3. Of the funds set aside by each institution (TTUHSC or TTU), not less than 90 percent shall be used for Texas Public Educational Grants, and not more than 10 percent shall be used for Emergency Tuition and Fees Loans if such a program is established. The actual amount may be determined each year by the appropriate Vice President for Fiscal Affairs, in collaboration with the Vice President for Student Affairs or their designees.

4. Criteria for awarding grants and use of grant funds are as follows:

   a. Grants are to be made only to students who have been accepted for enrollment and who actually enroll in the term or terms for which the grant is awarded.

   b. Grants are to be awarded based upon the financial need of the applicant.

   c. Financial need is to be determined by use of accepted needs analysis procedures generally in use in other "needs based" financial assistance programs. Deviation from such procedures shall be properly documented.

   d. Except as otherwise provided by this section, grants to resident students may only be funded through funds set aside from resident tuition revenues. Grants to nonresident and foreign students may only come from funds set aside from tuition revenues of such students. However, after the end of the sixth class week of each semester, any excess funds set aside from tuition paid by resident or nonresident students may be transferred to the funds set aside for grants awarded to the other class of students. Priority for awarding grants from any excess funds set aside from tuition paid by resident students shall be given to resident students.

   e. Any or all of the funds set aside for the Texas Public Educational Grants Program may be transferred to the Texas Higher Education Coordinating Board, to be used for matching federal or other grant funds for awarding to students at TTUHSC and TTU. Generally, only such amounts as can be equally matched by funds transferred to the Coordinating Board shall be returned to TTUHSC and TTU upon request of the Chief Executive Officer.

   f. At the end of a fiscal year, if the total amount of unencumbered funds that have been set aside under this program by each institution ~~TTUHSC~~, together with the total amount of unencumbered funds transferred by each institution ~~TTUHSC~~ to the Coordinating Board, exceeds 150 percent of the amount of funds set aside by each institution ~~TTUHSC~~ in the fiscal year, each institution ~~TTUHSC~~ shall transfer the excess amount to the Coordinating Board for the purpose of awarding scholarships as provided by law to students at other institutions.

5. Interest earned from the funds set aside for Texas Public Education Grants may be spent only for grants to students as provided by this policy.

09.01, Texas Public Educational Grants

6. Criteria for awarding and maximum amount of emergency tuition and fees loans:
   a. All resident and nonresident undergraduates, graduates, and professional students registered in a degree granting program are eligible.

   b. Applications will be processed on a first-come, first-serve basis.

   c. The maximum loan amount per student may not be less than an amount equal to the tuition and required fees owed to each institution ~~TTUHSC~~ for the courses in which the student is actually enrolling.

7. Stipulations for repayment of a loan:

   a. The loan must be repaid over a period not to exceed 90 days for a loan made for regular semester or long summer session or 30 days for a six-week summer session.

   b. The loan must be evidenced by a promissory note that bears interest at a rate of not more than 5 percent per year.

   c. It is agreed and understood that the promissory note will be considered delinquent if not paid in full by the original due date and subject to 15 percent interest rate per annum. In the event the loan becomes delinquent, the borrower's permanent replacement records and re-enrollment at ~~TTUHSC~~ Texas Tech will be denied until the debt is liquidated. The borrower will be responsible for all legal and collection charges in the recovery of the debt obligation.

   d. Repayment of the loan shall be deferred on a finding that a Texas resident would be deprived of an education due to a lack of financial ability. The deferral provided by this section is not a property right of the borrow. Repayment of the loan may also be deferred according to guidelines established by the Office of Student Financial Aid and the University Collections Office.

   e. The deferred repayment referenced in Section 7. must begin on the earlier of the following dates:

      (1) The first day of the ninth month after the last month in which the borrower was enrolled in a public institution of higher education; or

      (2) The fifth anniversary of the date on which the loan was executed.

   f. ~~TTUHSC~~ Texas Tech may extend the time for repayment or forgive a loan, in accordance with guidelines established by the Coordinating Board.

8. The ~~TTUHSC~~ Texas Tech Offices of Student Financial Aid ~~is~~ are responsible for the promulgation of this policy and for monitoring and implementing applicable Coordinating Board policies and guidelines.

   The Office of Student Financial Aid will be responsible for authorizing all loans and informing the Bursar's Office of eligible recipients. The Bursar's Office at TTUHSC and the Collections Office at TTU will be responsible for collecting all loans.

09.02, Annual Approval of Student Fees

The Board of Regents shall approve the assessment and collection of fees from Texas Tech University Health Sciences Center (TTUHSC) and Texas Tech University (TTU) students. The amounts to be collected, payment schedules, and schedule of refunds shall be presented by the administration to the Board of Regents for approval.

A Global Fee Document shall be presented to the Board of Regents annually using the following prototype.

A. Texas Tech University Health Sciences Center

1. **Registration Fees.**

a. **School of Allied Health, School of Nursing, School of Pharmacy and Graduate School of Biomedical Sciences.**

(1) Residents of Texas - Long Term
- (a) Tuition
- (b) Student Services Fee
- (c) Medical Services Fee
- (d) ~~General Use Fee~~ Institutional Tuition
- (e) University Center Fee
- (f) Information Technology Fee
- (g) ID Card Fee
- (h) International Education Fee

(2) Residents of Texas - Summer Term
- (a) Tuition
- (b) Student Services Fee
- (c) Medical Services Fee
- (d) ~~General Use Fee~~ Institutional Tuition
- (e) University Center Fee
- (f) Information Technology Fee
- (g) ID Card Fee
- (h) International Education Fee

(3) Non-Resident Students, United States Citizens and Foreign Students - Long Term
- (a) Tuition
- (b) Student Services Fee
- (c) Medical Services Fee
- (d) ~~General Use Fee~~ Institutional Tuition
- (e) University Center Fee
- (f) Information Technology Fee
- (g) ID Card Fee
- (h) International Education Fee

(4) Non-Resident Students, United States Citizens and Foreign Students - Summer Term
- (a) Tuition
- (b) Student Services Fee
- (c) Medical Services Fee

09.02, **Annual Approval of Student Fees**

(d) ~~General Use Fee~~ Institutional Tuition
(e) University Center Fee
(f) Information Technology Fee
(g) ID Card Fee
(h) International Education Fee

b. **School of Medicine.**

(1) Residents of Texas
(a) Tuition
(b) Student Services Fee
(c) Medical Services Fee
(d) ~~General Use Fee~~ Institutional Tuition
(e) University Center Fee
(f) ~~Lab Fee~~ Information Technology Fee
(g) ~~Malpractice Insurance~~ ID Card Fee
(h) International Education Fee
(I) Long term Disability Insurance
(j) Malpractice Insurance

(2) Non-Resident Students, United States Citizens and Foreign Students
(a) Tuition
(b) Student Services Fee
(c) Medical Services Fee
(d) ~~General Use Fee~~ Institutional Tuition
(e) University Center Fee
(f) ~~Lab Fee~~ Information Technology Fee
(g) ~~Malpractice Insurance~~ ID Card Fee
(h) International Education Fee
(I) Long term Disability Insurance
(j) Malpractice Insurance

~~(3) Tuition - Summer Term~~

2. **Other Fees.**

~~a. **School of Allied Health.**~~

(a) Application Fee

(~~1~~b) Auditing Fee

(~~2~~c) Binding Theses and Dissertation

(d) Challenge Credit by Examination

(~~3~~e) Class Schedule Change

(f) Clinical Simulation Center

(~~4~~g) Course Fees

09.02, **Annual Approval of Student Fees**

(h) Dean's Letter

(i) Drug Information Center

(j) Duplicate Registration Fee Receipt

(~~5~~k) General Property Deposit

(~~6~~l) Graduation Fee

(~~7~~m) Identification Card Maintenance Fee

(~~8~~n) Identification Card Replacement Fee

(~~9~~o) Identification Card Revalidation Fee

~~(10) Information Technology Fee~~

(~~11~~p) Installment Payment of Tuition/Fees Option Fee

(~~12~~q) International Education Fee

(~~13~~r) International Student Fee

(~~14~~s) Laboratory Fees

(~~15~~t) Late Charges on Loans

(~~16~~u) Late Payment Fee

(~~17~~v) Late Registration Fee

(w) Malpractice Insurance

(~~18~~x) Microscope Usage Fee

(y) Orientation Fee

(z) Progression Fee

(aa) Post Census Day Matriculation Fee

~~(19) Reinstatement Fee~~

(~~20~~bb)Returned Check Charges

(cc) Standardized Testing Fee

(dd) Tuition Deposits

09.02, **Annual Approval of Student Fees**

~~(21) Student Malpractice Insurance Fee~~

(~~22~~ee)Transcript Fee

(ff) Validation Fee

~~b. **Graduate School of Biomedical Sciences.**~~

~~(1) Auditing Fee~~

~~(2) Binding Theses and Dissertations~~

~~(3) Class Schedule Change~~

~~(4) Course Fees~~

~~(5) Diploma Fee and Graduation Fee~~

~~(6) Diploma Fee~~

~~(7) Duplicate Copy of Registration Fee Report~~

~~(8) General Property Deposit~~

~~(9) Identification Card Maintenance Fee~~

~~(10) Identification Card Replacement Fee~~

~~(11) Identification Card Revalidation Fee~~

~~(12) Information Technology Fee~~

~~(13) Installment Payment of Tuition/Fees Option Fee~~

~~(14) International Education Fee~~

~~(15) International Student Fee~~

~~(16) Laboratory Fees~~

~~(17) Late Charges on Loans~~

~~(18) Late Payment Fee~~

~~(19) Late Registration Fee~~

~~(20) Reinstatement Fee~~

~~(21) Returned Check Charges~~

~~(22) Transcript Fee~~

09.02, **Annual Approval of Student Fees**

~~c. **School of Medicine.**~~

~~(1) Course Fees~~

~~(2) Dean's Letter Fee~~

~~(3) General Property Deposit~~

~~(4) Graduation Fee~~

~~(5) Identification Card Maintenance Fee~~

~~(6) Identification Card Replacement Fee~~

~~(7) Identification Card Revalidation Fee~~

~~(8) Information Technology Fee~~

~~(9) Installment Payment of Tuition/Fees Option Fee~~

~~(10) International Education Fee~~

~~(11) International Student Fee~~

~~(12) Late Charges on Loans~~

~~(13) Late Payment Fee~~

~~(14) Late Registration Fee~~

~~(15) Long Term Disability Insurance Fee~~

~~(16) Microscope and Educational Materials Fee~~

~~(17) Returned Check Charges~~

~~(18) Transcript Fee~~

~~d. **School of Nursing.**~~

~~(1) Auditing Fee~~

~~(2) Binding Theses~~

~~(3) Challenge Credit Examination Fees~~

~~(4) Class Schedule Change~~

~~(5) Course Fees~~

~~(6) General Property Deposit~~

09.02, **Annual Approval of Student Fees**

~~(7) Graduation Fee~~

~~(8) Identification Card Maintenance Fee~~

~~(9) Identification Card Replacement Fee~~

~~(10) Identification Card Revalidation Fee~~

~~(11) Information Technology Fee~~

~~(12) Installment Payment of Tuition/Fees Option Fee~~

~~(13) International Education Fee~~

~~(14) International Student Fee~~

~~(15) Late Charges on Loans~~

~~(16) Late Payment Fee~~

~~(17) Late Registration Fee~~

~~(18) Liability Insurance Fee~~

~~(19) Orientation Fee~~

~~(20) Progressions Fee~~

~~(21) Reinstatement Fee~~

~~(22) Returned Check Charges~~

~~(23) Standardized Testing Fee~~

~~(24) Transcript Fee~~

~~(25) Validation Fee~~

~~e. **School of Pharmacy.**~~

~~(1) Course Fees~~

~~(2) Drug Information Center and Educational Materials Fees~~

~~(3) General Property Deposit~~

~~(4) Graduation Fee~~

~~(5) Identification Card Maintenance Fee~~

~~(6) Identification Card Replacement Fee~~

09.02, **Annual Approval of Student Fees**

~~(7) Identification Card Revalidation Fee~~

~~(8) Information Technology Fee~~

~~(9) Installment Payment of Tuition/Fees Option Fee~~

~~(10) International Education Fee~~

~~(11) International Student Fee~~

~~(12) Late Charges on Loans~~

~~(13) Laboratory Fee~~

~~(14) Late Payment Fee~~

~~(15) Late Registration Fee~~

~~(16) Malpractice Insurance~~

~~(17) Progressions Assessment Fee~~

~~(18) Returned Check Charges~~

~~(19) Transcript Fee~~

~~3. **Deposit Required of Students Accepted for Enrollment.**~~

~~a. **School of Allied Health.** Tuition Deposit~~

~~b. **School of Medicine.** Tuition Deposit~~

~~c. **School of Nursing.** Tuition Deposit~~

~~d. **School of Pharmacy.** Tuition Deposit~~

~~4. **Prospective Student Fees**~~

~~a. **School of Allied Health.** Application Fee~~

~~b. **School of Medicine.** Application Fee~~

~~c. **School of Nursing.** Application Fee~~

~~d. **Graduate School of Biomedical Sciences.** Application Fee~~

~~e. **School of Pharmacy.** Application Fee~~

~~5~~3. ~~**Parking**~~ **Vehicle Registration Fees and Penalties - All Schools.**

a. Permit Fee and Refunds.

b. Penalties.

~~6~~4. **Student Services Fee Schedule.**

B. Texas Tech University

1. **Registration Fees.**

a. All Colleges and the School of Law

(1) Residents of Texas - Long Term
- (a) Tuition
- (b) Student Services Fee
- (c) Medical Services Fee
- (d) Institutional Tuition
- (e) University Center Fee
- (f) Information Technology Fee
- (g) Miscellaneous Mandatory Fee
- (h) Library Fee

(2) Residents of Texas - Summer Term
- (a) Tuition
- (b) Student Services Fee
- (c) Medical Services Fee
- (d) Institutional Tuition
- (e) University Center Fee
- (f) Information Technology Fee
- (g) Miscellaneous Mandatory Fee
- (h) Library Fee

(3) Non-Resident Students, United States Citizens and Foreign Students - Long Term
- (a) Tuition
- (b) Student Services Fee
- (c) Medical Services Fee
- (d) Institutional Tuition
- (e) University Center Fee
- (f) Information Technology Fee
- (g) Miscellaneous Mandatory Fee
- (h) Library Fee

(4) Non-Resident Students, United States Citizens and Foreign Students - Summer Term
- (a) Tuition
- (b) Student Services Fee
- (c) Medical Services Fee
- (d) Institutional Tuition
- (e) University Center Fee
- (f) Information Technology Fee
- (g) Miscellaneous Mandatory Fee
- (h) Library Fee

09.02, **Annual Approval of Student Fees**

2. **Housing Fees**

a. Deposits and Room and Board Rates

(1) Room Deposits

(2) Advance Payments

(3) Room and Board Rates
(a) Dormitory Rates
(b) Gaston Apartment Rates

b. Miscellaneous Housing Rates

(1) Installment Fee

(2) Late Payment of Room and Board

(3) Miscellaneous Guest Housing Rates

(a) Guest Room and Apartment Rates
(b) Conference Room Rates
(c) Conference Meal Rates

3. **Other Fees**

a. All Colleges and the School of Law

(1) Application Fee

(2) Auditing Fee

(3) Binding Theses and Dissertations

(4) Correspondence Courses

(5) Course Fee

(6) Diploma Replacement Fee

(7) Diploma Insert Fee

(8) Education Abroad Program Fee

(9) General Property Deposit

(10) Identification Card Maintenance Fee

(11) Identification Card Replacement Fee

(12) Identification Card Revalidation Fee

(13) Information Technology Fee

(14) Installment Payment of Tuition/Fees Option Fee

(15) International Education Fee

(16) International Student Fee

(17) Laboratory Fees

(18) Late Charges on Loans

(19) Late Payment Fee

(20) Late Registration Fee

(21) Law School Deposit

(22) New Student Orientation Fee

(23) Post Suspension Assistance Fee

(24) Private Music Instruction

(25) Post Census Day Matriculation Fee

(26) Returned Check Charges

(27) Sponsored International Student Administrative Fee

4. **Parking Fees and Penalties.**

a. Permit Fees and Refunds

b. Penalties

(1) Citation Service Fees
(a) Handicap Parking Violations
(b) Use of Lost of Stolen Permit
(c) All Other Parking Violations

(2) Impoundment Fees

(3) Fee if driver arrives after hook-up but prior to impoundment

(4) Storage Fee for Impounded Vehicles

09.03, Compulsory Student Services Fee

1. *Texas Education Code*, Section 54.503 authorizes all state-supported institutions of higher education to assess and collect a compulsory student services fee. This compulsory student services fee will be collected from each student enrolling for courses during each regular session or each six week summer session. The amount to be collected from each student will be based on the number of semester credit hours for which the student is enrolled with the rate per semester credit hour to be established annually.

   a. Refunds of the student services fee will be made in accordance with a refund schedule. Refunds to students who voluntarily withdraw may be made only upon request of the individual student concerned. The student services fee will not be refunded to any student who is suspended from ~~the Health Sciences Center~~ Texas Tech University or Texas Tech University Health Sciences Center.

   b. ~~Students shall be exempt from payment of the student services fee provided that these students have requested such exemption on the form provided for that purpose at the time of registration. Any student declared to be exempt from payment of the student services fee shall not be eligible for those services provided by payment of the student services fee except those provided for by legislative enactment.~~ Exemption for payment of the student services fee shall be granted to students included in the following categories:

      (1) Students who qualify under Board of Regents Policy 09.09 Distance Learning or Off-Campus Courses, subject to certification by the Vice Chancellor for Administration and Finance. ~~Students who, on or before the twelfth (12th) class day of the applicable fall or spring semester, or fourth (4th) class day of a summer term, were employees of Texas Tech University or Texas Tech University Health Sciences Center eligible as defined in Title 110B Public Retirement Systems and the "Rules and Regulations of the Board of Trustees of the Teacher Retirement System of Texas."~~

      ~~(2) Students who, on or before the twelfth (12th) class day of the applicable fall or spring semester, or fourth (4th) class day of a summer term, were appointed at least one-half time as a teaching assistant or research assistant and remunerated at rates as established by the Executive Vice President and Provost.~~

      ~~(3) Students who register only for those courses which, because of the nature of such will not permit the student to avail himself of the services, and such courses have been approved prior to each registration by the Executive Vice President and Provost. Programs approved for this exemption include the junior clinical clerkships for medical students conducted in El Paso or Amarillo, Texas. Students enrolled in these programs are automatically exempt and do not need to complete additional forms. Senior students who spend 12 weeks or more away from the Lubbock campus are also exempt from the compulsory student services fee.~~

      (4~~2~~) Students specifically excluded by legislative enactment.

   c. Students in these categories may be exempt from payment of the student services fee provided that these students have requested such exemption on the form provided for that purpose at the time of registration. Any student declared to be exempt from payment of the student services fee shall not be eligible for those services provided by payment of the student services fee except those exemptions provided ~~for~~ by legislative enactment.

09.03, Compulsory Student Services Fee

2. Section 54.503 (e) of the *Texas Education Code* provides that the student services fees collected shall be reserved and accounted for in an account kept separate and apart from educational and general funds and shall be used only for the support of student services. All money derived from the student services fee shall be placed in such depository bank or banks as designated by the Board of Regents. A separate budget for each activity showing specifically the purpose and function to be financed and the proposed expenditures to be made shall be approved. Copies of these budgets shall be filed annually with the Coordinating Board, the Governor, the Legislative Budget Board, the State Auditor, and the State Library.

09.04, ~~General Use Fee~~ Institutional Tuition Fee

1. Section 55.16 of the Texas Education Code authorizes the governing board of each institution of higher education to fix and collect ~~a student use fee~~ rentals, rates and charges from students and others for the occupancy, services, use, and availability of all or any of its property, buildings, structures, activities, operations, or other facilities, in such amounts and in such manner as may be determined by the governing board. ~~All student use fees shall be fixed and collected in proportion to the number of semester credit hours for which a student registers. The student use fee shall not exceed the maximum amount set by the Legislature.~~ This fee is designated as tuition.

2. Any student who is included in one or more of the categories listed in a. through ~~b~~ c. may be exempted from payment of the ~~student use~~ fees charged as tuition under this section provided that the student requests such exemption at the time of registration and on the forms provided for that purpose. The following categories of students may be exempted from payment of the ~~student use~~ Institutional Tuition fee:

   ~~a. Students who, on or before the twelfth (12th) class day of the applicable fall or spring semester, or fourth (4th) class day of a summer term, were employees of Texas Tech University or Texas Tech University Health Sciences Center eligible as defined in Title 110B, Public Retirement Systems and the "Rules and Regulations of the Board of Trustees of the Teachers Retirement System of Texas."~~

   ~~b. Students who, on or before the twelfth (12th) class day of the applicable fall or spring semester, or fourth (4th) class day of a summer term, were appointed at least one-half time as a teaching assistant or research assistant and remunerated at rates as established by the Executive Vice President and Provost.~~

   a. Students who are qualified to receive a waiver of the tuition charged under this section due to a finding that the payment of such tuition would cause an undue economic hardship on the student.

   ~~c~~b. Students specifically excluded by legislative enactment.

   c. Students who qualify under Board of Regents Policy 09.09 Distance Learning or Off-Campus Courses, subject to certification by the Vice Chancellor for Administration and Finance.

09.05. University Center Fee

1. Section 54.524 of the *Texas Education Code* authorizes the governing board of Texas Tech ~~University Health Sciences Center~~ to levy a regular fixed student fee not to exceed the maximum amount set by the Legislature for each semester of the long session and each term of the summer session or any fractional part thereof. This fee is to be used for the sole purpose of operating, maintaining, and improving the University Center. The amount of the fee may be changed at any time within the limits specified in order to provide sufficient funds to support the Center, but any increase must be approved by a majority vote of those students participating in a general election called for that purpose.

2. Any student who is included in ~~one or more of the categories listed in~~ a. ~~through e~~ or b. below may be exempted from payment of the University Center fee provided that the student requests such exemption at the time of registration and on the form provided for that purpose. Any student who is granted exemption from payment of the University Center fee shall not be eligible for the services provided for students who do pay the fee except those exemptions provided ~~for~~ by legislative enactment. The following categories of students may be granted exemption from payment of the University Center Fee:

   ~~a. Students who, on or before the twelfth (12th) class day of the applicable fall or spring semester, or fourth (4th) class day of a summer term, were employees of Texas Tech University or Texas Tech University Health Sciences Center and who are eligible as defined in Title 110B, Public Retirement Systems of the "Rules and Regulations of the Board of Trustees of the Teacher Retirement System of Texas."~~

   ~~b. Student who, on or before the twelfth (12th) class day of the applicable fall or spring semester, or fourth (4th) class day of a summer term, were appointed at least one-half time as a teaching assistant or research assistant and remunerated at rates as established by the Executive Vice President and Provost.~~

   ~~c. Students who register only for those courses which, because of the nature of such will not permit the student to avail himself of the services, and such courses have been approved prior to each registration by the Executive Vice President and Provost.~~

   a. Students who qualify under Board of Regents Policy 09.09, Distance Learning or Off-Campus Courses, subject to certification by the Vice Chancellor for Administration and Finance.

   ~~d~~b. Students specifically excluded by legislative enactment.

   ~~e. Students enrolled for two or less hours.~~

09.06, **Medical Services Fee**

1. The *Texas Education Code*, Section 54.508 authorizes a charge for a Medical Services Fee which may be levied and collected from each student registered at the institution not to exceed the maximum amount set by the Legislature for each regular semester and for each term of each summer session.

2. It is the policy of Texas Tech ~~University Health Sciences Center~~ that there will be a compulsory Medical Services Fee. This fee will be collected from each student enrolling for courses during each regular session and each six-week term of the summer session with the amount to be determined by the Board of Regents. The following ~~group~~ categories of individuals may claim ~~exception~~ exemption from paying the fee and, therefore, would not be eligible for the services. Only ~~except~~ those ~~provided for~~ exempted by legislative enactment will be eligible for the services. ~~Exception~~ Exemption must be requested in writing on the form provided for that purpose at registration.

   ~~a. Students who, on or before the twelfth (12th) day of the fall or spring semester, applicable, or the fourth (4th) class day of a summer term, applicable, were employees of Texas Tech University or Texas Tech University Health Sciences Center eligible as defined in Title 110B Public Retirement System and the "Rules and Regulations of the Board of Trustees of the Teacher Retirement System of Texas."~~

   ~~b. Students who, on or before the twelfth (12th) class day of the applicable fall or spring semester, or fourth (4th) class day of a summer term, were appointed at least as a teaching assistant or research assistant and remunerated at rates as established by the Executive Vice President and Provost.~~

   ~~c~~a. Students who qualify under Board of Regents Policy 09.09, Distance learning or Off-Campus Courses, subject to certification by the Vice Chancellor for Administration and Finance. ~~register only for those courses which, because of the nature of such will not permit the student to avail themselves of the health services, and such courses have been approved prior to each registration by the Executive Vice President and Provost.~~

   ~~d~~b. Students specifically excluded by legislative enactment.

   ~~e. Students enrolled for three or fewer hours.~~

3. The Medical Services Fee will be refunded to the student ~~by Health Sciences Center authorities~~ only on request of the individual student in accordance with a refund schedule available ~~in the Office of Accounting Services~~ for those students who voluntarily withdraw. In no case will the Medical Services Fee be refunded to a student suspended from ~~the Health Sciences Center~~ Texas Tech.

4. The Medical Services Fees received may be used only to provide medical services to students.

5. Prior to the levy of the Medical Services Fees, recommendations will be solicited from students, faculty, and administration concerning the type and scope of medical services to be provided.

09.07, Fees to be Charged for Certain Individual Courses

1. Special course fees will be assessed for certain ~~resident~~ credit courses for which special costs are incurred. These special course fees are to be assessed in addition to the required tuition and fees.

   a. Special costs may result from a requirement to offer a particular course at a particular time.

   b. Special costs may result from a requirement to pay allowable instructor travel expenses not covered from other funds.

   c. No costs may be included in the determination of special course fees if funds have previously been appropriated to cover such costs.

2. A fee shall be assessed for all non-credit courses, workshops, seminars and other meetings utilizing facilities, personnel and services of Texas Tech ~~University Health Sciences Center~~.

   a. Fees charged shall be sufficient to cover all direct and indirect costs incurred by Texas Tech ~~University Health Sciences Center~~ as a result of offering and conducting the course, workshop, seminar, and other meeting.

3. The President and the Vice President for Fiscal Affairs <u>of each institution</u> are authorized to fix special course fees and fees for non-credit courses, workshops, seminars and other meetings.

09.08, Tuition and Fees Installment Payment Options

1. *Texas Education Code*, Section 54.007, provides that state-supported institutions of higher education shall provide students with the election to pay tuition and fees using one of the following alternatives:

   a. Full payment of tuition and fees in advance of the beginning of the semester;

   b. One-half payment of tuition and fees in advance of the beginning of the semester and separate one-fourth payments prior to the sixth and eleventh class weeks.

2. The administration shall develop procedures which will provide that students may elect to pay tuition and fees using the payment alternative.

3. The administration is authorized to establish payment due dates in advance of the beginning of a semester and prior to the sixth and eleventh class weeks which will insure that required payments have been received and student records have been appropriately updated on the dates required by law.

4. If a student elects to pay tuition and fees using the payment alternative, he or she shall be assessed an installment option fee in addition to the required payment of tuition and fees. The fee developed and recommended for approval shall reflect all costs incurred in operating and handling payments under the installment alternative. The rates of the fee shall be approved by the Board of Regents.

5. If a student who has elected to pay tuition by installment fails to pay in full all amounts of tuition, other registration fees, installment option fee, late payment fees, and other authorized fees by the end of the working day of the last day of the semester, then he or she shall not be given credit or grade for any course in which the student was enrolled for that semester. The student's transcript shall be marked to indicate that the student did not complete the required payments for that semester. Subsequently, and under procedures established by the administration, if the student wishes to receive the credit or grade, then upon payment in full of the entire amount due, the student's transcript shall be changed to reflect the credits or grades earned in the courses by the student in that semester.

6. The administration shall develop procedures that will insure that students are notified of the requirements, provisions, and penalties of the installment payment options.

09.09. Distance Learning or Off-Campus Courses

Section 54.214 of TEC gives the governing Board the authority to waive a fee it is authorized to charge if the Board determines that:

(1) a student is enrolled only in distance learning courses or other off-campus courses of the institution;

(2) the student cannot reasonably be expected to use the activities, services or facilities on which the fee is based; and

(3) the waiver of the fee will not materially impair the ability of the institution either to service any debt on which the fee is based or to offer or operate the particular activity, service or facility supported by the fee.

Any student who is included in (1) and (2) above may be exempted from payment of fees charged to provide the associated activities, services or facilities on which the fee is based.

The waiver is dependent upon certification by the Vice Chancellor for Administration and Finance that the waiver of the fee will not materially impair the ability of the institution either to service any debt on which the fee is based or to offer or operate the particular activity, service or facility supported by the fee.

10.01, Governance and Control of Intercollegiate Athletics

1. The intercollegiate athletic programs of the University shall be conducted in strict compliance with all rules, regulations and bylaws of the National Collegiate Athletic Association and the ~~Southwest Athletic Conference~~ Big 12 Conference.

2. The ~~President~~ Chancellor, with assistance from the Director of Intercollegiate Athletics and the ~~Chairman~~ Chair of the Athletic Council, will report to the Board of Regents on compliance with the National Collegiate Athletic Association and ~~Southwest Athletic Conference~~ Big 12 Conference bylaws, rules and regulations. This report will be made each year at a spring meeting of the Board.

10.02, Broadcasting and Telecasting of Intercollegiate Athletics

1. The following procedure is to be followed for the granting of radio and television rights to Texas Tech intercollegiate athletic events:

   a. Texas Tech University owns and exercises authority concerning all broadcast and telecast rights of all University athletic events, subject to contracts and agreements entered into by the ~~Conference~~ Big 12 Conference or national or regional organizations of which Texas Tech is a member.

   b. In administering this authority, the University will select events to be covered, set broadcast or telecast conditions to be met and establish fees to be changed and bidding procedures to be used, as appropriate.

   c. The University may enter into contract for broadcast rights of a particular sport for any period of time not to exceed three years.

10.03, **Athletic Council**

1. The Athletic Council is established to advise the Board of Regents, the Office of the Chancellor and the President of Texas Tech University in the development and supervision of intercollegiate athletic programs.

2. The Athletic Council of the University may:

   a. Review and make recommendations to the President and the Office of the Chancellor on any matters pertaining to the enforcement of eligibility rules and regulations established by an athletic conference or national association in which the University holds membership.

   b. Review and make recommendations on any pertinent matters related to the University's intercollegiate athletic program; however, such recommendations and suggestions shall be made to and channeled through the President of the University.

3. The Athletic Council shall not have final authority to direct, control or supervise the operation or activities of the Department of Athletics or intercollegiate athletic programs of the University.

4. The Athletic Council shall consist of eleven (11) members as follows:

   a. Six (6) of such members shall be appointed from the faculty by the President of the University, one (1) of whom shall be designated by the President as ~~Chairperson~~ Chair.

   b. Three (3) members who are not employed by the University shall be appointed by the President.

   c. No member of the Board of Regents shall be appointed to the Council.

   d. One (1) member of the Council shall be appointed by the Texas Tech Ex-Students Association.

   e. One (1) member of the Council shall be a current member of the student body at Texas Tech, appointed by the Texas Tech Student Association.

   All appointments to the Council including the ~~Chairperson~~ Chair shall be for a term of three years, with the exception of that of the student member whose term will be for one-year. (In the continuing implementation of this policy, the President shall have the authority to make appointments of less than three years so that terms of service will be staggered in order that approximately one-third of the Council members will complete their terms of service each year.)

5. The President shall report to the Board of Regents, through the Office of the Chancellor, his annual appointments to the Council.

6. The Council should adopt rules, regulations and by-laws regarding its internal functioning and such rules and regulations should provide for regularly scheduled meetings and the keeping of full minutes concerning all of its actions.

10.04. Football Bowl Games

1. **Bowl Participation.**

   a. Possible bowl invitations will be assembled early by the Athletics Director who will discuss them with the President. The President will, in turn, discuss such invitations with the ~~Chairman~~ Chair of the Board of Regents and the ~~Chairman~~ Chair of the Athletic Committee of the Board of Regents. The ~~Chairman~~ Chair of the Athletic Committee will review the desirability of participating in the Football Bowls under consideration with the Athletic Committee. The Athletic Committee will review the financial impact of acceptance of the Bowl invitation. It may reject a Bowl invitation if the Bowl under consideration does not justify acceptance for financial reasons or if the committee feels the team does not merit such reward.

   b. Official Bowl invitations will be received by the Athletics Director.

   c. Consideration of the acceptance of Bowl bids will progress from the Athletics Director, after he has discussed the bids with the Head Football Coach and the ~~Chairman~~ Chair of the Athletic Council, to the President who will discuss the invitation with the ~~Chairman~~ Chair of the Board of Regents and the ~~Chairman~~ Chair of the Athletic Committee of the Board of Regents.

   d. The official decision to accept or reject a Bowl invitation shall be announced by the President after he has received approval of the ~~Chairman~~ Chair of the Board of Regents and the Board of Regents' Athletic Committee. Transmittal of such decision to Bowl officials shall be by the Athletics Director.

   e. All Bowl arrangements will be coordinated by the Athletics Director.

   f. The point of local contact for Bowl representatives will be the Athletics Director.

2. Provided that Texas Tech University receives a profit for participating in a Bowl game and has adequate funds from Bowl proceeds, after all participating expenses have been paid, consideration shall be given to awarding bonuses according to the following guidelines:

   a. **Athletic Department Staff.**

      If the President and Athletics Director agree that bonuses should be awarded the Athletics Director will recommend, for the President's approval, those staff members who are to receive them and the amount each is to receive. Bonuses will range from a minimum of 3 percent to a maximum of 9 percent of a person's annual salary.

   b. **Staff Eligibility.**

      In order to be eligible for bonus consideration, all Athletics Department personnel must be employed full-time and must have been employed at least six months prior to the National Collegiate Athletic Association (NCAA) event.

3. **Bowl Awards.**

   a. All players on the Bowl roster shall receive all benefits that are allowed under the NCAA policy.

   b. Providing funds are available from the event proceeds, the Athletics Department shall purchase from such funds awards for any remaining players, coaches, trainers or others recommended by the Athletics Director and approved by the President.

10.04. Football Bowl Games

4. **Official Bowl Party.**

   a. Transportation, housing and meals shall be provided for members of the Board of Regents, the President, the Chancellor and the voting members of the Athletic Council and their spouses.

   b. Transportation, housing and meals shall be provided as needed to fulfill all Bowl requirements for the Head Football Coach, his full-time assistant coaches and their spouses. The Athletics Director will be responsible for naming other necessary support personnel to complete the official Bowl party. Spouses of those named by the Athletics Director will be included in the official party. All recommendations by the Athletics Director will be approved by the President.

5. **Support Personnel.**

   a. The President shall then determine the Texas Tech Marching Band's participation. Band participation expenses will be paid from the Athletics Department's Bowl proceeds and, should there be insufficient funds to fully pay those expenses, the President, at his discretion, may permit University nonstate funded accounts to be used to pay up to one-half of the deficiency.

   b. Housing and meals shall be provided for the cheerleaders and Raider Red. Their transportation arrangements must be approved by the Athletics Director who may approve mileage at the state approved rate for the necessary number of automobiles required for transportation.

   c. Transportation costs at the state approved mileage rate for one automobile and housing and meals for the Masked Rider and one person to accompany him will be provided if he is allowed to perform at the Bowl game.

10.05, Prayer at Football Games

At all Texas Tech University football games played in the Jones Stadium Complex there will be an audible prayer over the sound amplification system before the commencement of the game.

10.06. Basketball Postseason Tournaments

1. **Postseason Tournament Participation.**

   a. The Athletics Director will discuss with the President any possible postseason tournament invitation. The President will in turn discuss the invitation with the ~~Chairman~~ Chair of the Board of Regents and the ~~Chairman~~ Chair of the Athletic Committee of the Board of Regents.

   b. Consideration of the acceptance of tournament bids will progress from the Athletics Director, after he has discussed the bids with the Head Basketball Coach and the ~~Chairman~~ Chair of the Athletic Council, to the President who will discuss the invitation with the ~~Chairman~~ Chair of the Board of Regents and the ~~Chairman~~ Chair of the Athletic Committee of the Board of Regents.

   c. The official decision to accept or reject a tournament invitation shall be announced by the President after he has received approval of the ~~Chairman~~ Chair of the Board of Regents and the Board of Regents' Athletic Committee. Transmittal of such decision to tournament officials shall be by the Athletics Director.

   d. All basketball postseason tournament arrangements will be coordinated by the Athletics Director and should parallel as closely as possible regular season out-of-town game procedures.

   e. Basketball postseason tournament representatives will make all local contacts with the Athletics Director.

2. **Athletic Department Staff.**

   If the President and Athletics Director agree that bonuses should be awarded, the Athletics Director will recommend, for the President's approval, those staff members who are to receive them and the amount each is to receive. Bonuses will range from a minimum of 3 percent to a maximum of 9 percent of a person's annual salary.

3. **Staff Eligibility.**

   In order to be eligible for bonus consideration, all Athletics Department personnel must be employed full-time and must have been employed at least six months prior to the National Collegiate Athletic Association (NCAA) event.

4. **Support Personnel.**

   a. The Athletics Director will determine the extent of the Texas Tech Basketball Band participation in a postseason tournament. If funds are available from the proceeds of the tournament, the Athletics Director will determine the number of days at the tournament as well as housing and meals.

   b. The Athletics Director will determine the extent of the participation for cheerleaders, pompon squad, and Raider Red. Their transportation arrangements must be approved by the Athletics Director who may approve mileage at the state approved rate for the necessary number of automobiles required for transportation.

5. **Tournament Awards.**

   a. All players on the tournament roster shall receive all benefits that are allowed under the NCAA policy.

b. Providing funds are available from the event proceeds, the Athletics Department shall purchase from such funds awards for any remaining players, coaches, trainers or others recommended by the Athletics Director and approved by the President.

6. **Official Tournament Party.**

Transportation, housing and meals shall be provided as needed to fulfill all tournament requirements for the Head Basketball Coach, the full-time assistant coaches and their spouses. The Athletics Director will be responsible to name other necessary support personnel to complete the official tournament party. Spouses of those named by the Athletics Director will be included in the official party. All recommendations by the Athletics Director will be approved by the President.

10.07. Postseason Competition Involving Sports Other Than Football and Basketball

1. **Postseason Participation.**

   a. All teams or participants in sports other than football and basketball must meet or exceed National Collegiate Athletic Association (NCAA) qualifying standards in order to represent Texas Tech University in postseason competition.

   b. All postseason participation will be coordinated by the Athletics Director and should parallel as closely as possible procedure used in regular season out-of-town competition.

2. **Athletics Department Staff.**

   If the President and Athletics Director agree that bonuses should be awarded, the Athletics Director will recommend, for the President's approval, those staff members who are to receive them, and the amount each is to receive. Bonuses will range from a minimum of 3 percent to a maximum of 9 percent of a person's annual salary.

3. **Staff Eligibility.**

   In order to be eligible for bonus consideration, all Athletics Department personnel must be employed full-time and must have been employed at least six months prior to the NCAA event.

4. **Support Personnel.**

   The Athletics Director will determine the extent of participation for spirit groups or individuals. Their transportation arrangements must be approved by the Athletics Director who may approve mileage at the state approved rate for the necessary number of automobiles required for transportation.

5. **NCAA Awards.**

   a. All student athletes who have met NCAA qualifications for postseason competition shall receive all benefits allowed under NCAA policy.

   b. Providing funds are available from the event proceeds, the Athletics Department shall purchase from such funds awards for any remaining players, coaches, trainers or others recommended by the Athletics Director and approved by the President.

6. **Official Party.**

   The Athletics Director will make recommendations to the President regarding those persons who should travel to the NCAA event. If the recommendations are approved, transportation, housing and meals will be provided them by the Athletics Department.

Resolutions
Establishing a Four-Year Capital Projects Plan
for
Texas Tech University and Texas Tech University Health Sciences Center

(A) RESOLVED, that: (i) these Resolutions are designed to provide the framework for the implementation of a *Four-Year Capital Projects Plan* for Texas Tech University and Texas Tech University Health Sciences Center; (ii) while the formal four-year term of the plan envisioned by these Resolutions begins on September 1, 1997 and ends on August 31, 2001, work toward its implementation shall begin immediately; and (iii) the *Four-Year Capital Projects Plan* shall be reviewed and updated as necessary by the Board of Regents (the "Regents") but ~~and~~ at least annually. ~~during the first quarter of the calendar year.~~

(B) RESOLVED, that, from the Education and General ("E&G") projects listed, or to be listed, in the *Five-Year Facilities Construction and Deferred Maintenance Master Plan* for Texas Tech University and Texas Tech University Health Sciences Center ("the Five-Year Plan") that is submitted and annually updated to the Texas Higher Education Coordinating Board (the "Coordinating Board"), the Regents, in order to give guidance to the Office of the Chancellor and the Presidents of Texas Tech University ("TTU") and Texas Tech University Health Sciences Center ("TTUHSC") in their four-year planning efforts, hereby adopt the following working list of priorities for the construction of facilities, diminution of deferred maintenance, acquisition of major items of equipment, and major repair and rehabilitation:

Priority E&G Projects for TTU

	Project	Estimated Cost (in millions)	
1)	English/Philosophy/Education Complex	42.0	
~~2)~~	~~Research Science Building~~	~~35.0~~	
~~3)~~	~~Animal Science Building~~	~~8.0~~	
4)	West Hall renovation	3.0	
5)	Museum Auditorium	6.9	
6)	Reese Renovation: IEHH	7.0	
7~~5~~)	Deferred Maintenance (4 years)	8.0	~~16.0~~
8~~6~~)	Art Building ~~& Engineering~~ Renovation	2.5	~~5.0~~
	Approved Projects ~~– Funds Available~~	**69.4**	**~~109.0~~**

1)	Research Science Building	40.0[1]	
2)	Animal Science Building	8.0[2]	
3)	Engineering Renovation	2.5	
4) ~~9~~	Investment in Master Plan Infrastructure	18.0	
5) ~~10~~	Observatory	3.5	
6) ~~14~~	Combine Men & Women's P.E. Programs	3.0	
7) ~~8~~	Band Hall	8.0	
8) ~~11~~	Theatre Renovation	6.0	
9) ~~12~~	Renovation of Architecture Building	5.0	
10) ~~13~~	Major Equipment	16.0	
11) ~~7~~	Library Expansion	10.0	
	Projects – Pending Approval ~~Funds Not Identified~~	**120.0**	**~~69.5~~**

[1]Total assumes $20 million from private sources. May be done in two phases of $20 million each.

[2]Total assumes $4 million from external sources.

Priority E&G Projects for TTUHSC

	Projects	Estimated Cost (in millions)
1)	Amarillo: (Pharmacy 3rd floor Finishout)*	1.2 ~~30.0~~
2)	Midland: Cardiology Expansion	5.0 ~~2.5~~
3)	Lubbock: Patio Deck Enclosure Phase I	4.8
4)	Purchase/Renovation ~~of~~ South Park Hospital	7.0
5)	Investment in Master Plan Infrastructure	9.0 ~~8.5~~
~~6)~~	~~Reese Renovation: IEHH~~	~~5.2~~
6~~7~~)	Midland: Physician Assistant Program	6.0
7)	Deferred Maintenance	5.0 ~~10.0~~
	Approved Projects ~~– Funds Available~~	**38.0 ~~64.0~~**
1)	Major Equipment	7.5
2)	Amarillo-New Academic Building*	25.9
3)	Lubbock Classroom/Auditorium	12.3
4)	Odessa 2nd Floor	1.2
5)	Master Plan Infrastructure	5.0
6)	El Paso Int. Health Institute	20.0
7)	Amarillo Library/Student Services[1]	2.9
8)	Roof Replacement	.75
9)	Renovation of 2B	1.5
10)	Finishout of 2C-N/2A-S	2.3
11)	Teaching Nursing Home	10.0
~~8)~~	~~Lubbock Auditorium/Classroom Facility~~	~~14.6~~
~~9)~~	~~Lubbock Patio Deck Enclosure Phase II~~	~~2.7~~
~~10)~~	~~Deferred Maintenance~~	~~10.0~~
~~11)~~	~~Major Equipment~~	~~7.5~~
~~12)~~	~~El Paso: 3rd Floor Clinical Education~~	~~4.0~~
~~13)~~	~~Lubbock Support Services Bldg.~~	~~6.0~~
~~14)~~	~~Lubbock: Pod C Basement renovation~~	~~2.8~~
Projects – Pending Approval ~~Funds Not Identified~~		**103.86 ~~47.6~~**

*No more than $22 million of bond proceeds will be spent on these projects.

(C) RESOLVED, that from the auxiliary and other non-E&G projects listed, or to be listed, in the Five-Year Plan, the Regents, in order to give guidance to the Office of the Chancellor and the Presidents of TTU ~~and TTUHSC~~ in TTU's ~~their~~ four-year planning efforts, adopt the following working list of priorities for the construction of facilities, diminution of deferred maintenance, acquisition of major items of equipment, and major repair and rehabilitation:

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

	Projects	Estimated Cost (in millions)
1)	Parking Structure, Phase I	4.2
2)	Conference Bonfire Circle	0.3
3)	Frazier (Ex-Students) Pavilion	1.25
4)	Student Rec expansion	13.0 ~~9.5~~
5)	Stangel/Murdough Dining Hall	2.9
6)	Red Raider Plaza	0.625
7)	Academic Services	2.0
8)	Women's Softball	2.5
	Approved Projects ~~– Funds Available~~	**26.775 ~~18.15~~**

1) ~~6~~	Athletic Complex Renovation/Upgrades	52.0
2) ~~7~~	Parking Structure Phase II	7.5
3) ~~9~~	Campus Hotel	30.0
4) ~~10~~	Deferred Maintenance	10.0
5) ~~8~~	Parking Structure Phase III	7.5
6) ~~11~~	Chancellor's Residence	*
7) ~~12~~	Museum Exhibit Hall	1.5
Projects – Pending Approval		**108.5**
~~**Funds Not Identified**~~		

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

(D) RESOLVED, that the lists of priorities contained hereinabove be deemed by the Office of the Chancellor and the Presidents of TTU and TTUHSC for planning purposes to be, in general, listed in order of priority; *provided, however, that* factors such as (i) availability of external funding from private or governmental sources, (ii) changed needs, or (iii) the occurrence of targets of opportunity related to teaching, research, patient care, public service, or to any other appropriate objective of the institutions, will be sufficient cause, upon approval of the Regents, to add or delete projects or to reorder priorities in an appropriate manner.

(E) RESOLVED, that the Office of the Chancellor through its Office of Facilities Planning and Construction is hereby authorized and instructed to begin work immediately toward (i) the development of plans for the construction of the projects in the order listed on each of the three priority project lists; (ii) the presentation of plans when sufficiently developed to the Regents for approval; and (iii) the presentation of plans when approved by the Regents to the Coordinating Board.

(F) RESOLVED, that, upon approval of each project by the Coordinating Board ~~(the first such approval being expected to be in hand in approximately January, 1998)~~, the Office of the Chancellor is hereby authorized and instructed to have in place (insofar as is practicable within the constraints of legal and administrative guidelines and prudent management of the business affairs of TTU and TTUHSC), mechanisms as described hereinafter for financing the completion of the projects.

(G) RESOLVED, that, in order to finance as many of the projects as is prudent over a four-year period, the Office of the Chancellor be authorized and directed:

(1) to plan to pledge for payment of debt service up to 50% of TTU's annual allocation from the constitutionally appropriated Higher Education Assistance Fund ("HEAF") to finance projects at TTU that conform to the constitutional guidelines;

(2) to plan to pledge for payment of debt service up to 50% of TTUHSC's annual allocation from the constitutionally appropriated HEAF to finance projects at TTUHSC that conform to the constitutional guidelines;

(3) to plan to pledge under the Revenue Financing System ("RFS") approved by the Regents on October 21, 1993 sufficient revenue streams to pay debt service on up to $100 million of bonded indebtedness for the construction of projects as long as the revenue dedicated from each project is sufficient to cover debt service payments with a ratio of 1.15 or better;

(4) to plan to take advantage of low interest costs and financing flexibility by implementing a commercial paper program in the amount of up to $50 million from HEAF and $100 million from RFS;

(5) to plan to expend prudent portions of any unexpended plant fund balances at TTU and TTUHSC for the purpose of financing projects including, in particular, the development of transportation infrastructure for the emerging campus master plan.

(H) RESOLVED, that the Office of the Chancellor and the Presidents of TTU and TTUHSC are hereby authorized and directed aggressively to seek external sources of funding such as private donations and state and federal grants that can be used to supplement the internally generated funds that will be provided by the actions authorized in Resolution (G).

RESOLUTION

WHEREAS, Legislation to create Southwest Texas State Normal School was introduced in the Texas Legislature on March 3, 1899 and signed into law by Governor J.D. Sayers on May 10, 1899; and

WHEREAS, the school opened its doors to 303 students in 1903 and today is known as Southwest Texas State University and enrolls nearly 21,000 students; and

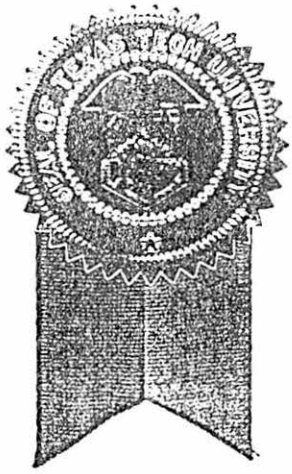
WHEREAS, the university has graduated over 100,000 citizens, including President Lyndon Baines Johnson, Class of 1930, and is the only university in Texas to have graduated a President of the United States and one of only 29 in the nation to have done so; and

WHEREAS, the university today offers degrees in 110 undergraduate programs, 77 graduate programs and two doctoral fields and is recognized nationally for its programs in geography, creative writing, jazz, marketing, long-term health care, physical therapy, aquatic biology, materials physics and more; and

WHEREAS, Southwest Texas State University has had a positive impact upon public higher education in the State of Texas and has added significantly to the culture and economic growth of this state.

NOW, THEREFORE, BE IT RESOLVED, that the Texas Tech Board of Regents sends its most sincere congratulations to the students, faculty, staff, administration, and alumni of Southwest Texas State University and applauds them on the occasion of the university's Centennial Celebration.

EXECUTED on the 13th day of November, 1998.



Edward E. Whitacre, Jr., Chair
Texas Tech Board of Regents

TRAFFIC AND PARKING REGULATIONS
1999 - 2000

I. Introduction

These regulations are established by Texas Tech University and Texas Tech University Health Sciences Center campuses in order to facilitate the safe and orderly conduct of business and to provide registered vehicles parking space as conveniently as possible within the limits of space available. Operating a motor vehicle on campus is a privilege and is conditioned, in part, on complying with these rules and regulations.

II. Applicability of State General and Criminal Laws

Article 51.201 of the Texas Education Code provides that: "All the general and criminal laws of the state are declared to be in full force and effect within the areas under the control and jurisdiction of the state institutions of higher education of this state."

III. Authority of Board of Regents to Make Rules and Regulations

Article 51.202 of the *Texas Education Code* provides as follows: "Rules and Regulations: Penalty-

A. The governing board or each state institution of higher education, including public junior colleges, may promulgate rules and regulations for the safety and welfare of students, employees, and property, and other rules and regulations it may deem necessary to carry out the provisions of this subchapter and the governance of the institution, providing for the operation and parking of vehicles on the grounds, streets, drives, alleys, and any other institutional property under its control including, but not limited to, the following:

1. limiting the rate of speed;
2. assigning parking spaces and designated parking areas and their use and assessing a charge for parking;
3. prohibiting parking as it deems necessary;
4. removing vehicles parked in violation of institutional rules and regulations or law at the expense of the violator; and,
5. instituting a system of registration for vehicle identification, including a reasonable charge.

B. A person who violates any provision of this subchapter or any rule or regulation promulgated under the authority of this subchapter is guilty of a misdemeanor and on conviction is punishable by a fine of not more than $200."

IV. General Regulations for Traffic and Parking

A. Texas Tech is committed to the principle that in no aspect of its programs shall there be differences in the treatment of persons because of race, creed, national origin, age, sex, or disability, and that equal opportunity and access to facilities shall be available to all.

B. Due to the diverse nature of operations between the University and the Health Sciences Center campuses, it is necessary to have certain regulations that pertain to the specific institution; these are included as Appendix A for the University and Appendix B for the Health Sciences Center campuses. Following are the regulations that apply to Texas Tech as defined in C.1 below.

C. Definitions

1. The campus is defined as all lands owned, managed, or otherwise controlled by the University and the various Health Sciences Center campuses, herein called "Texas Tech".

2. Impoundment refers to the actual towing of a vehicle or immobilizing a vehicle by means of an "Auto-Boot".

3. A visitor is an individual with no official connection with Texas Tech as a student, faculty, or staff member.

4. A valid parking space is defined as an area designated on three sides by lines and/or posts, curbs, or other types of barriers.

D. Texas Tech makes every effort to provide protection for vehicles parking on campus, but cannot assume responsibility for any loss.

E. The person to whom a vehicle is registered with Texas Tech is responsible for all violations of the parking rules and regulations. If a vehicle is not registered with Texas Tech, and a family member is a currently enrolled student, it shall be presumed that the student is the operator of the vehicle and is responsible for all violations of the parking rules and therefore subject to all Texas Tech traffic rules, policies, and penalties associated with monetary obligations owing Texas Tech.

F. Pedestrians in crosswalks will be given the right-of-way at all times.

G. Speed limits on campus are radar and/or lidar enforced.

H. No person shall drive, cause or permit a vehicle to be driven on Texas Tech property at a speed greater than is reasonable and prudent under the circumstances then existing, but any speed in excess of the posted limits shall be prima facie evidence that the speed is not reasonable and prudent and that it is unlawful:

<u>Speed Limits</u>

1. Campus Streets: Twenty miles per hour, unless otherwise posted.

2. Parking Lots: Ten miles per hour, unless otherwise posted.

I. Inoperable vehicles are to be reported to the Texas Tech Police as soon as possible. Operators should identify their problem immediately and follow the instructions given.

J. The campus is restricted for use as described in these regulations. Any vehicle in violation of the regulations or not having a valid Texas Tech registration permit properly displayed may be issued a campus citation.

K. Skate and Skateboards

On the campus of Texas Tech (as defined in Section 4.c.(1) of these regulations):

1. No person may skate or use a skateboard

   a. on or in any university buildings, structures, stairways, elevated sidewalks, access ramps, steps, retaining walls, handrails, malls, benches, fountain areas or other architectural elements;

   b. on or in planing areas, grass areas or seeded areas;

   c. on streets open for vehicular traffic;

   d. where prohibited by sign, by police officer, or where otherwise prohibited by law; or,

   e. in a manner that is incompatible with the flow of vehicular or pedestrian traffic.

2. No person may use a skateboard in such a way that it is

   a. not under the control of the user; or

   b. operated in an unsafe manner.

3. No person who is skating or using a skateboard may fail to yield the right-of-way to

   a. a pedestrian;

   b. a bicyclist;

   c. a motor vehicle; or

   d. a wheelchair or other device designed for the transport of persons with disabilities.

Pursuant to Section 51.202, *Texas Education Code*, a person who violates any provision of this regulation is guilty of a misdemeanor and upon conviction is punishable by a fine of not more than $200.

L. These regulations apply to all persons who operate vehicles on Texas Tech property.

M. The Chief of the Texas Tech Police Department, the Director of Accounting Services at the Health Sciences Centers (responsible for managing the parking function on that campus), and the Manager of Traffic and Parking Services on the University campus are responsible for the implementation and the just and proper enforcement of these regulations.

V. Vehicle Registration

A. In order to operate or benefit from the use of a motor vehicle on campus, each member of the Texas Tech community must obtain, in his or her name, a vehicle

registration permit. No person may register a motor vehicle in his or her name which belongs to another student, faculty, or staff member. Violation of the Traffic and Parking Regulations is prohibited by the Student Affairs Handbook and Texas Tech policy.

B. Students are required to register each motor vehicle to be operated on campus at the time they register for school or at the time they commence operating a motor vehicle on campus.

C. Faculty and staff are required to register their motor vehicles on or before the date they commence operating a motor vehicle on campus. Faculty and staff who share a motor vehicle where one is employed at the University and the other at the Health Sciences Center, must register at each campus if they intend to park at both campuses.

D. Faculty and staff, whose dependents are students, may allow those dependents to register a commonly operated motor vehicle for a student permit in addition to the reserved permit. If the faculty or staff member has two motor vehicles registered, and if both motor vehicles are on campus at the same time, the motor vehicle with the student permit must be parked in the designated student parking area and not in either the faculty or staff member's reserved space or in the time limit areas on campus.

E. Any person giving false information when registering a vehicle is subject to appropriate disciplinary action and revocation of their motor vehicle registration permit and related parking privileges.

F. Texas Tech issues two types of registration permits, non-transferable and transferable.

1. Non-transferable Permits: Non-transferable permits must be permanently affixed to the front windshield in the lower corner of the driver's side. All such permits are self-adhering and application in any other manner may subject the motor vehicle to ticketing. Vehicle registration is not complete until the permit is properly and completely affixed to the motor vehicle of record.

2. Transferable Permits: Transferable permits are designed and intended to be hung from the rearview mirror. The purpose of these permits is to allow the owner to move them from vehicle to vehicle; the permit MUST be displayed on the motor vehicle parked on campus. Be sure to contact the Traffic and Parking personnel if you have any problems with your transferable permit. Texas Tech Police recommend you properly secure your vehicle and any valuables contained therein.

3. All outdated Texas Tech registration permits must be removed from the motor vehicle(s) prior to installation of the current year permit.

G. Lost or stolen permits should be reported as soon as possible to the Texas Tech Police or the appropriate Traffic and Parking Office. The recovery of a lost or stolen permit must be reported immediately to the Texas Tech Police or the appropriate Traffic and Parking Office.

H. Replacement Permits

1. Replacement for a non-transferable permit will be issued when identifiable remnants or proof of loss or destruction of the permit are provided. A fee of $2.00 will be charged for each replacement permit.

2. Replacement for a transferable permit which is reported lost or stolen will be issued for $5.00 the first time and $10.00 the second time; thereafter, the cost will be the full price of the permit.

I. Persons who hold non-transferable reserved registration permits and are assigned reserved spaces may obtain one duplicate permit at no additional charge. One additional permit may be purchased for $2.00. Duplicate permits do not allow for more than one motor vehicle to be on campus during the reserved period.

J. Persons who hold Health Sciences Center registration permits and are assigned to reserved or area reserved spaces may also park on the University campus in Visitor and Time Limit spaces. University reserved and area reserved permits will be honored in Health Sciences Center Patient and Visitor parking spaces. Parking is restricted to use in the individual's capacity as an employee which does not include going to class.

K. Upon termination of employment with Texas Tech, an employee's parking privileges are revoked. If the registration permit(s) is returned to the appropriate Traffic and Parking Office, the refund in effect at the time it is returned will be issued.

VI. Parking Enforcement, Parking Violations, and Sanctions

A. Parking is governed by markers and traffic signs. Parking is permitted only in areas clearly identified for parking.

B. The absence of "No Parking" signs does not imply that parking is allowed. Street parking is prohibited except where signs indicate parking is permitted.

C. The following illegal parking acts may result in a citation being issued:

Violation		Fine
**1.	Parking in non-designated areas.	$25.00
2.	Permit not properly installed.	10.00
**3.	Parking in a fire lane.	25.00
4.	Failure to removed expired permit(s).	10.00
**5.	Parking in a no parking or tow away zone.	15.00
**6.	Parking service vehicle spaces, service drives, or access drives.	15.00
**7.	Unauthorized parking reserved parking spaces.	25.00
**8.	Obstructing traffic, street, sidewalk, crosswalk, driveway, trash container, building entrance or exit, or space and/or curb cut designed to aid persons with disabilities.	25.00
**9.	Parking overtime in a time limit zone.	10.00
**10.	Parking a bicycle in violation of these regulations.	10.00
11.	Parking a motor vehicle beyond the lines of a parking space.	10.00
**12.	Parking in reserved zones without proper permit.	15.00
13.	Parking on wrong side of street facing oncoming traffic.	15.00
**14.	Parking without a valid permit.	25.00

**15.	Parking a motor vehicle upon any unmarked (including turf) or unimproved ground which has not be designated for parking.	25.00
**16.	Parking in a space or area designated for persons with disabilities without the proper insignia.	100.00
**17.	Blocking an access ramp or curb cut designed to aid persons with disabilities.	100.00
**18.	Display or use of a lost, stolen, forged, or altered permit. Such violation may result in the responsible party/parties being referred to the appropriate office for disciplinary action which may include loss of parking privileges for the remainder of the academic year.	~~50.00~~ Up to 200.00
**19.	Other parking violations as defined on the face of the citation.	10.00

**Impoundable Offenses

D. In the State of Texas, motorcycles, mopeds, and bicycles are subject to the same rules and regulations as automobiles. Operators are subject to a moving violation, to be adjudicated in a court of competent jurisdiction as provided in the Texas Education Code, Article 51.208, for failing to comply with the Official Texas Motor Vehicle Laws and these Regulations. Examples of the most common bicycle violations are:

1. Riding on sidewalks or other prohibited areas
2. Failing to stop at stop signs and red lights
3. Failing to yield right-of-way to pedestrians in crosswalks
4. Operating bicycle without proper lights and reflectors when required
5. Failing to drive on the right side of the roadway

The maximum fine for violation of these STATE LAWS is $500.00.

E. Motorcycles and mopeds must be parked in areas designated for parking of such vehicles. Motorcycles and mopeds are not permitted to park in time limit areas.

F. All motorcycle registration permits are issued for the academic year. They may be purchased at any time during the year at a rate that is prorated monthly. (See schedule in Appendix A or B).

G. Bicycles should be parked in racks whenever available. Use of shrubs, trees, or any architectural structures to secure bicycles is prohibited. Bicycles are not permitted in Texas Tech academic or administrative buildings. Any bicycle found in violation of this subsection may be impounded. The normal impoundment fee is $40.00. THE IMPOUNDMENT FEE DOES NOT INCLUDE THE COST OF THE CITATION OR ANY APPLICABLE STORAGE FEES. (See Section VIII.A. 1 and 2).

H. No person shall operate a bicycle or any other vehicle upon a sidewalk or sidewalk area except those vehicles expressly designed for the transport of persons with disabilities and bicycles operated by officers of the Texas Tech Police Department when necessary to fulfill their lawful duties.

I. Bicycle registration is encouraged and conducted free of charge, 24 hours a day, at the Texas Tech Police Department. In addition to registration services, the Texas

Tech Police Department offers a Bicycle Safety course. The course is available to any campus user. The goals of the course are to enhance safety and awareness through education and training. Additional information concerning this course is available by contacting the Texas Tech Police Department at 742-3931.

J. Moving Violations

1. All the general and criminal laws of the state are declared to be in full force and effect within the areas under the control and jurisdiction of the state institutions of higher education of this state, Article 51.201, *Texas Education Code*. All violations as set forth above may be adjudicated in a court of competent jurisdiction as provided in the *Texas Education Code*, Article 51.208.

2. All violations as set forth in ordinances enacted by the City of Lubbock, Texas, may be adjudicated in Municipal Court, 10th Street and Avenue J, Lubbock, Texas.

3. It shall be unlawful for any person to drive, operate, push, park, or leave standing a motor vehicle on any area of the campus not designated for driving such a motor vehicle.

4. It shall be unlawful for any person to drive by, through or beyond a barricade or roadblock that is lawfully erected.

5. No person shall willfully fail or refuse to comply with any lawful order or direction of any police officer vested by law with authority to direct, control, or regulate traffic.

VII. Resolving Citations

Citations for parking violations may be resolved in one of the following ways:

A. Pay the stated fee for each citation. If payment is not received within ten (10) calendar days, an additional $5.00 charge will be assessed.

B. Appeal the citation in writing, within ten (10) calendar days of the alleged violation, through the individual designated as the supervisor of parking appeals for University violations or the Traffic and Parking Office at the Health Sciences Center for violations that occur there.

C. The Presidents shall provide equitable and efficient appeals processes through the establishment of Parking Violation Appeals and Parking Policy Advisory Committees. Written appeals will be provided to the appropriate Appeals Committee when there is a significant dispute over facts or major extenuating circumstances.

D. After a period of ten (10) days from the date of issuance of the citation or from the date of final determination of an appealed citation, citations not resolved through the appropriate Traffic and Parking Office will be overdue. Overdue citations may subject the permit holder's motor vehicle(s) to impoundment and removal of the parking permit(s). Overdue citation(s) may result in restriction of subsequent academic registration and withholding of a student's transcript at Texas Tech until such time as the obligation is satisfied. Parking and these restricted services may be restored when all overdue citations have been resolved. At the discretion of Texas Tech, overdue citations may be adjudicated in a court of competent jurisdiction in accordance with Article 51.208 of the *Texas Education Code*.

E. Notice of violation for motor vehicles without permits and returned notices of violation will be sent to the address on file with the Texas Department of Transportation, Division of Motor Vehicles.

F. Four valid violations of the Traffic and Parking Regulations within the academic year may result in the revocation of the individual's parking privileges for a period of 90 days. If, at the end of the 90 days the individual's parking privileges are restored, a single violation of the Regulations may result in permanent revocation for the academic year.

1. All citations must be resolved before any parking privileges are restored.

2. The revocation period shall commence with the return of the registration permit(s) to the appropriate Traffic and Parking Office.

VIII. Impounding Vehicles

A. When a vehicle has been impounded it will be necessary for the operator of the vehicle to contact the appropriate Texas Tech parking dispatcher for release. Prior to the release of the impounded vehicle, satisfactory arrangements for payment shall be made.

1. The normal impoundment fee is $40.00. THE IMPOUND FEE DOES NOT INCLUDE THE COST OF THE CITATION. Some impoundment fees may be higher, depending on the vehicle impounded and the wrecker service used.

2. Vehicles impounded will be charged storage at the rate of $6.00 per day, including tax, commencing 24 hours after impoundment.

3. The maximum storage fee to be charged is $130.00 per month, including tax.

B. If the owner or driver of a motor vehicle to be impounded arrives before impoundment has begun, the vehicle will not be impounded. If the owner or driver arrives after impoundment has begun, the vehicle will not be impounded if the driver opts to pay the tow truck driver or Texas Tech parking enforcement personnel a fee of $17.50 (payable in a manner acceptable to either the towing company) or Texas Tech in lieu of impoundment.

C. If a motor vehicle or bicycle is parked on Texas Tech property and is not moved for a period of 30 days, Texas Tech may deem the same to be abandoned. Abandoned motor vehicles or bicycles may be impounded and disposed of in the manner prescribed by law. This includes those motor vehicles which have a valid registration permit.

D. No personal property or vehicles (including boats, trailers, motor homes, etc.) shall be permitted to be stored on the campus without permission from the appropriate Traffic and Parking Office.

E. The owner of any vehicle that has been damaged or dismantled to the extent that it is inoperable for a period of more than one week must contact the Texas Tech Police Department so that appropriate arrangements can be made.

IX. Texas Tech Police

A. Texas Tech Police Officers are duly commissioned peace officers of the State of Texas. Upon request of a police officer of Texas Tech, any person on the campus is required to identify himself with proper identification.

B. All thefts, accidents, or other offenses that occur on campus should be reported to the Texas Tech Police Department immediately. Accidents should be reported prior to moving the involved vehicles. One-vehicle accidents and inoperable vehicles must also be promptly reported. Keys or valuables should not be left in a motor vehicle. ALWAYS KEEP YOUR VEHICLE LOCKED.

C. The University provides a shuttle bus service to assist persons with their on-campus transportation needs. The shuttle bus service is operated between the hours of 5:00p.m. and 4:00a.m. during the fall and spring semesters (when school is in session). One of the buses is lift equipped to accommodate persons with disabilities. Shuttle bus schedules are available at various locations on campus including the residence halls, the Texas Tech Police Department, and the Dean of Students' Office.

D. Texas Tech is concerned about the protection of persons and property and places a high priority on striving to maintain a safe environment for students, faculty, staff, and visitors. The University cannot, however, guarantee the absolute safety of any one individual. Personal safety must begin with individual responsibility. With that thought in mind, a Personal Safety brochure has been prepared which contains personal safety recommendations, crime statistics, safety services and programs, as well as a list of telephone numbers to contact for help. All visitors and members of the campus community are encouraged to make themselves familiar with this information. The Personal Safety brochure is available at various locations on campus including the Personnel Office, the Texas Tech Police Department, the Dean of Students' Office, and the residence halls.

E. Chapter 46, Section 46.03, Texas Penal Code, provides that a person commits a felony offense if the person carries a firearm, illegal knife, club, or other prohibited weapon listed in Section 46.05(a) on the physical premises of an educational institution.

APPENDIX A
TEXAS TECH UNIVERSITY
1999-2000

I. The following are the regulations that apply to the University, including fee and refund schedules, and are effective ~~May 17, 1998,~~ May 16, 1999, through the end of the week following Graduation in the Spring Semester.

II. Types of Registration Permits (See Map for Areas)

A. Reserved parking spaces are assigned to full-time faculty and staff and part-time faculty and staff not enrolled as students as space is available. Any space remaining after the needs of the faculty and staff are met will be available for assignment to part-time instructors, graduate teaching assistants, and graduate research assistants who hold contracts for one-half time or more. Such assignments may be revoked as necessary to accommodate regular faculty and staff requirements. Nine-month registration permits will not be issued to staff members holding twelve-month appointments.

1. Non-transferable permits will be issued for reserved spaces. The permit will contain the lot and space number assigned to the registrant. The space is reserved from 7:30a.m. to 5:30p.m., Monday through Friday. Additionally, in certain designated faculty/staff reserved lots, a limited number of parking spaces are reserved after these hours until 11:00p.m. for use by any reserved permit holder.

2. Access to the interior portion of the campus during the hours that parking spaces are reserved is restricted to motor vehicles with reserved space permits and visitors. The interior portion of the campus is that area controlled by entry stations.

3. Certain residence halls staff living in the residence halls may be assigned spaces that are reserved 24 hours daily.

B. Reserved area parking spaces are available to qualified faculty and staff in certain designated parking lots. Transferable permits may be issued for all area reserved lots.

C. Renewal notices for persons assigned reserved and area reserved spaces are sent out prior to the end of the Spring Semester. Employees who wish to retain their space for the next year must renew their registration by the date stated in the renewal notice. Most major credit cards (Visa, Mastercard, and Discover) may be used to make this payment, as well as cash, ~~and~~ personal checks, and payroll deductions. (Payroll Deductions are not available to Research Assistants/Teaching Assistants due to the way in which they are appointed/semester to semester.)

D. Residence hall lots are reserved for respective residence hall parking permit holders from 7:30a.m. to 5:30p.m., Monday through Friday, unless otherwise posted.

1. Non-transferable permits will be issued for residence halls parking lots.

2. The owner of a residence hall parking permit should use the commuter lots when space is not available in the residence hall parking lot.

3. Motor vehicles which cannot be accommodated in the residence halls lot will be assigned to the commuter lots until the residence hall lot has available space..

4. A student changing residence halls or moving off campus must exchange his permit at the Traffic and Parking Office.

5. Residence hall permits are issued to individuals and OWNERSHIP is not transferable. Use of a residence hall permit by anyone other than the individual to whom it was issued is not permitted. Violation of this regulation may result in ticketing, impoundment, and loss of all vehicle registration privileges on campus, including parking, for the academic year for all parties involved.

E. Commuter permits will be issued for motor vehicles belonging to students residing off campus.

1. Non-transferable permits will be issued to commuters.

2. Commuter permits are issued to individuals and OWNERSHIP is not transferable. Use of a commuter permit by anyone other than the individual to whom it was issued is not permitted. Violation of this regulation may result in ticketing, impoundment, and loss of all vehicle registration privileges on campus, including parking, for the academic year for all parties involved.

3. Parking is available in commuter lots around the periphery of the campus, as well as in certain designated commuter areas at the Health Sciences Center.

4. When not in use for programs and events, the Auditorium/Coliseum lot, which is leased from the City of Lubbock, will also be available, with the exception of the area directly east of the Auditorium which is marked as reserved for the Auditorium/Coliseum.

5. Commuter parking east of Jones Stadium, with the exception of that area marked as reserved, is also available. The use of the 24-hour reserved area requires a valid permit and an "A" permit which can only be authorized by the Athletics Department.

6. On days of home football games, the C1, C2, and R15 parking lots (west and east of Jones Stadium, and west of the Athletic Training Center), are reserved for gameday football parking permit holders. **VEHICLES PARKED IN THESE LOTS NOT DISPLAYING A VALID GAMEDAY FOOTBALL PARKING PERMIT MAY BE TOWED BY THE ATHLETICS DEPARTMENT THROUGH AN INDEPENDENT TOWING SERVICE AT THE VIOLATOR'S EXPENSE.**

7. Parking in the north section of the C1 parking lot, west of aisle "F", is prohibited on days of home basketball games beginning two hours prior to game time. This area is reserved for holders of special Athletics basketball parking permits. **VEHICLES PARKED IN THESE LOTS NOT DISPLAYING A SPECIAL ATHLETICS BASKETBALL PARKING PERMIT MAY BE TOWED BY THE ATHLETICS DEPARTMENT THROUGH AN INDEPENDENT TOWING SERVICE AT THE VIOLATOR'S EXPENSE.**

F. Persons with disabilities may be issued disability access registration permits designed to assist them in campus mobility. Parking in spaces reserved for persons with disabilities requires the correct registration permit and the appropriate state issued placard or license plate.

G. Motorcycle permits allow parking of motorcycles or mopeds in designated two-wheel areas. Permits must be permanently affixed to the top of the front headlight, front fender, or shock absorbers. Motorcycles are not permitted on the interior of the campus unless registered by a faculty or staff member who parks in a reserved parking space. Mopeds and motorcycles may not park in bicycle racks. All motorcycle permits expire in ~~August~~ May.

H. Temporary registration permits will be issued for $2.00 per week for assignment to area parking and $3.00 per week for assignment to reserved parking. Temporary permits are not refundable. Certain temporary permits, which may be purchased in advance, are available for $1.00 per day.

I. Students attending summer school who have a valid summer school registration permit may utilize residence hall and commuter parking lots.

J. Students bringing a new motor vehicle on campus when the Traffic and Parking Office is closed are to report to the Texas Tech Police where a temporary one-day permit may be issued. This permit is intended to allow students sufficient time to register their new motor vehicle in accordance with these regulations.

III. Texas Tech Bookstore

Time limit parking is available for Texas Tech Bookstore patrons. Individuals may enter the campus at University Avenue and 15th Street and proceed directly to the lot west of the Bookstore. Parking is limited to 30 minutes and is restricted for use by Bookstore patrons only.

IV. Visitor and Time Limit

A. Visitors are welcome to the campus and special parking areas are set aside for them. Visitor passes are required throughout the University campus during the hours of 7:30a.m. to 3:00p.m., Monday through Friday, excluding University holidays. Visitor passes may be obtained at any entry station.

1. Visitors' motor vehicles parked in areas not designated for visitor parking are subject to receiving a campus citation and being impounded at the owner's expense.

2. Use of outdated or altered visitor passes is prohibited.

B. Designated time limit parking areas are enforced from 7:30a.m. to 5:30p.m., Monday through Friday, unless otherwise posted.

V. Service and Vendor Vehicle Parking

Service and vendor motor vehicles found to be blocking a street or creating a hazard may be ticketed and impounded.

A. University Service Vehicle Parking: Faculty, staff, and students who operate Texas Tech University service vehicles on campus should become familiar with the contents of Operating Policy/Procedure 78.18. University service vehicles may be parked only in the following areas which are listed in priority order:

1. Service area or service drive must be used if the building has one.

2. Time Limit space.

3. Visitor space.

4. On-street parking.

B. Vendor Parking: Vendor vehicles may be parked only in the following areas which are listed in priority order:

1. Service area or service drive MUST be used if the building has one.

2. Time Limit space.

3. Visitor space.

4. On-street parking.

C. Construction Contractor Parking

1. Parking space for construction contractor vehicles will be designated by the Manager of Traffic and Parking Services or by the contracting department (i.e., Building Maintenance, Grounds Maintenance, etc.) on the University campus.

2. Construction contractor vehicles will display a dash pass, issued by the appropriate Traffic and Parking Office, on the dash of each vehicle which is parked on University property.

Parking Fees and Refunds - Texas Tech University

1999-2000 Rates Through	Faculty/Staff Reserved Space		~~Faculty/Staff Area Reserved~~		Faculty/Staff Area Reserved		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
June 30	~~$ 109.00~~	~~$ 94.90~~			~~$ 79.00~~	~~$ 69.00~~					~~$ 17.00~~	~~$ 10.50~~
	125.00	109.60			66.00	55.50					20.00	13.35
July 31	~~99.90~~	~~85.80~~			~~72.50~~	~~62.50~~					~~15.50~~	~~9.00~~
	114.60	99.15			60.50	50.00					18.35	11.65
August 31	~~90.80~~	~~76.70~~			~~66.00~~	~~56.00~~					~~14.00~~	~~7.50~~
	104.15	88.75			55.00	44.50					16.65	10.00
Sept. 30	~~81.70~~	~~67.60~~	~~$ 82.00~~	~~$ 69.00~~	~~59.50~~	~~49.50~~	~~$ 61.00~~	~~$ 52.00~~	~~$ 43.00~~	~~$ 33.20~~	~~12.50~~	~~6.00~~
	93.75	78.30			49.50	39.00	71.00	58.10	49.00	38.55	15.00	8.30
Oct. 31	~~72.60~~	~~58.50~~	~~73.00~~	~~60.00~~	~~53.00~~	~~43.00~~	~~54.50~~	~~45.50~~	~~38.20~~	~~28.40~~	~~11.00~~	~~4.50~~
	83.30	67.90			44.00	33.50	63.10	50.20	43.55	33.10	13.30	6.65
Nov. 30	~~63.50~~	~~49.40~~	~~64.00~~	~~51.00~~	~~46.50~~	~~36.50~~	~~48.00~~	~~39.00~~	~~33.40~~	~~23.60~~	~~9.50~~	~~3.00~~
	72.90	57.50			38.50	28.00	55.20	42.35	38.10	27.70	11.65	5.00
Dec. 31	~~54.40~~	~~40.30~~	~~55.00~~	~~42.00~~	~~40.00~~	~~30.00~~	~~41.50~~	~~32.50~~	~~28.60~~	~~18.80~~	~~8.00~~	~~1.50~~
	62.50	47.05			33.00	22.50	47.35	34.45	32.70	22.25	10.00	3.30
Jan. 31	~~45.30~~	~~31.20~~	~~46.00~~	~~33.00~~	~~33.50~~	~~23.50~~	~~35.00~~	~~26.00~~	~~23.80~~	~~14.00~~	~~6.50~~	-
	52.05	36.65			27.50	17.00	39.45	26.55	27.25	16.80	8.30	1.65
Feb. 29	~~36.20~~	~~22.10~~	~~37.00~~	~~24.00~~	~~27.00~~	~~17.00~~	~~28.50~~	~~19.50~~	~~19.00~~	~~9.20~~	~~5.00~~	-
	41.65	26.20			22.00	11.50	31.55	18.65	21.80	11.35	6.65	-
March 31	~~27.10~~	~~13.00~~	~~28.00~~	~~15.00~~	~~20.50~~	~~10.50~~	~~22.00~~	~~13.00~~	~~14.20~~	~~4.40~~	~~3.50~~	-
	31.20	15.80			16.50	6.00	23.65	10.75	16.35	5.90	4.95	-
April 30	~~18.00~~	~~3.90~~	~~19.00~~	~~6.00~~	~~14.00~~	~~4.00~~	~~15.50~~	6.50	~~9.40~~	-	~~2.00~~	-
	20.80	5.40			11.00	-	15.75	2.90	10.90	-	3.30	-
May 15	~~8.90~~	-	~~10.00~~	-	~~7.50~~	-	~~9.00~~	-	~~4.60~~	-	~~1.00~~	-
	10.40	-			5.50	-	7.90	-	5.50	-	1.65	-

SUMMER SESSIONS

Permit for First and Second Summer Sessions	Cost	Refund
June 30	~~$ 21.00~~	~~$ 10.00~~
	24.00	11.00
July 31	~~14.00~~	~~3.00~~
	16.00	3.00
August 31	~~7.00~~	-
	8.00	-
Permit for First or Second Session Only:	~~11.00~~	~~6.00*~~
	12.00	7.00*

*Refund will be given through the second week of classes; after that time, no refund will be given.

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

APPENDIX B
TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
1999 - 2000

I. The following are the rules and regulations that apply to all of the Health Sciences Center campuses, where applicable, including fee and refund schedules to be effective for the academic year for students and the fiscal year for faculty/staff.

II. Types of Motor Vehicle Registration Permits

A. Reserved parking spaces are assigned to full-time faculty and staff and part-time faculty and staff not enrolled as students as space is available. Any space remaining after the needs of the faculty and staff are met will be available for assignment to part-time instructors, graduate teaching assistants, and graduate research assistants who hold contracts for one-half time or more. Such assignments may be revoked as necessary to accommodate regular faculty and staff requirements.

1. Non-transferable permits will be issued for reserved spaces. The permit will contain the lot and space number assigned to the registrant. The space is reserved from 6:30 a.m. to 5:30 p.m., Monday through Friday, year-round, excluding holidays.

2. Access to the campus ~~interior portion~~ during the hours that parking spaces are reserved is restricted to vehicles with valid parking permits, visitors, and patients. ~~The interior portion of the campus is that area controlled by entry stations.~~

B. Reserved Area parking spaces are available to qualified faculty and staff in certain designated parking lots. Non-transferable permits will be issued for all area reserved lots.

C. Reserved Area parking spaces may be purchased by part-time employees (less than 20 hours a week) at half the specified cost. An approved PAF form must accompany the vehicle registration form.

D. Renewal notices for persons assigned reserved and area reserved spaces are sent out prior to the end of the Spring Semester. Employees must renew their vehicle registration by the date stated in the renewal notice. Payment may be made by credit card (Visa, MasterCard, and Discover), cash or personal checks.

E. Commuter permits will be issued for motor vehicles belonging to students.

1. Commuter permits will be of the non-transferable type.

2. Commuter permits are issued to the individual vehicle and ownership is not transferable. Use of a commuter permit by anyone other than the individual to whom it was issued is not permitted. Violation of this regulation may result in ticketing, impoundment, and loss of all parking privileges on campus, including parking for the academic year for all parties involved.

3. Parking is available in certain designated lots.

4. Health Sciences Center commuter permits will be allowed in commuter lots around the periphery of the Tech campus.

F. Persons with disabilities may be issued disability access motor vehicle registration permits designed to assist them in campus mobility.

1. Parking in spaces reserved for persons with disabilities requires the correct motor vehicle registration permit and the appropriate state issued placard or license plate.

2. State placards or license plates must be displayed at all times when a vehicle is parked in these areas.

3. The designated disability parking areas are reserved 24 hours daily.

G. Motorcycle registration permits will allow parking of motorcycles or mopeds in designated two-wheel areas. Motorcycle registration permits must be permanently affixed to the top of the front headlight, front fender or shock absorbers. Mopeds and motorcycles may not park in bicycle racks. All motorcycle registration permits expire in August.

H. Temporary registration permits will be issued for $2.00 per week for assignment to area parking and $3.00 per week for assignment to reserved space parking. Temporary permits are not refundable.

III. General Regulations

A. Persons who hold a Thompson Hall motor vehicle registration permit (R-25 or C-5) may park in the visitors lots at the Health Sciences Center (A1, B1, C1).

B. Persons who hold a Health Sciences Center parking permit (A2, A3, B2, B3, C2, C3 or E1) may park in the R-25 visitor's area at Thompson Hall.

C. Persons who hold a motor vehicle registration permit for reserved or area reserved parking from any Health Sciences Center campus may park in a designated visitor's area when visiting another campus.

~~IV.~~ ~~Texas Tech Bookstore~~

~~Time limit parking is available for Texas Tech Bookstore patrons. Individuals may enter the campus at University Avenue and 15th Street and proceed directly to the lot west of the Bookstore. Parking is limited to 30 minutes and is restricted for use by Bookstore patrons only.~~

~~V.~~IV. Visitor and Patient Parking

Visitors and patients are welcome on the campus. Special parking areas are designated for patients and visitors. ~~Parking information may be obtained at any entry station.~~ Visitors' motor vehicles parked in areas not designated for visitor parking are subject to receiving a campus citation.

~~VI.~~V. Time Limit

Designated time limit parking areas are enforced from 7:30 a.m. to 5:30 p.m., Monday through Friday, unless otherwise posted.

~~VII.~~VI. Loading Dock

Parking at the loading dock is enforced 24 hours daily.

~~VIII.~~VII. Service and Vendor Vehicle Parking

Service and vendor motor vehicles found to be blocking a street or creating a hazard may be ticketed and impounded.

A. University Service Vehicle Parking: Faculty, staff, and students who operate Texas Tech service vehicles on campus should become familiar with the contents of Health Sciences Center Operating Policy/Procedure 76.37. Texas Tech service vehicles may be parked only in the following areas which are listed in priority order:

1. In designated service vehicle parking at the loading dock.
2. Time limit space for specified time.
3. Visitor space.
4. On-street parking.

B. Vendor Parking: Vehicles belonging to vendors may be parked only in the following areas which are listed in priority order:

1. In designated service vehicle parking at the loading dock.
2. Visitor parking.

C. Contractor Parking

1. Contractors may obtain, at no charge, a construction permit for their trucks or cars from the TTUHSC Traffic and Parking Office, Room BAB007 (located next to the Lockshop in the basement of Pod A).
2. Contractors must display parking permit on the rear view mirror.
3. Parking for contractors is limited to the following area:
   a. Contractor's parking lots are specifically designated locations on each campus.
   b. Parking outside the designated Contractor's lot is a violation of the parking regulations and does subject the vehicle to a citation and/or impoundment.

Parking Fees and Refunds - Texas Tech University Health Sciences Center

1999-2000 Rates Through	Faculty/Staff Reserved Space 12 months		Faculty/Staff Area Reserved 12 months		Faculty/Staff F-3 Area Reserved 12 months		Commuter 12 months		Commuter 9 months		Two-Wheeler 12 months	
	Cost	Refund	Cost	Refund	Cost	Refund	Cost	Refund	Cost	Refund	Cost	Refund
	~~$ 109.00~~	~~$ 94.90~~	~~$ 79.00~~	~~$ 69.00~~			~~$57.00~~	~~$48.00~~	~~$43.00~~	~~$33.20~~	~~$17.00~~	~~$10.50~~
Sep. 30	125.00	109.60	66.00	55.50	$65.00	$54.60	65.00	54.60	49.00	38.55	20.00	13.35
	~~99.90~~	~~85.80~~	~~72.50~~	~~62.50~~			~~52.50~~	~~43.50~~	~~38.20~~	~~28.40~~	~~15.50~~	~~9.00~~
Oct. 31	114.60	99.15	60.50	50.00	59.80	49.15	59.80	49.15	43.55	33.10	18.35	11.65
	~~90.80~~	~~76.70~~	~~66.00~~	~~56.00~~			~~48.00~~	~~39.00~~	~~33.40~~	~~23.60~~	~~14.00~~	~~7.50~~
Nov. 30	104.15	88.75	55.00	44.50	59.80	49.15	55.20	49.15	38.10	27.70	16.65	10.00
	~~81.70~~	~~67.60~~	~~59.50~~	~~49.50~~			~~43.50~~	~~34.50~~	~~28.60~~	~~18.80~~	~~12.50~~	~~6.00~~
Dec. 31	93.75	78.30	49.50	39.00	49.40	38.25	49.40	38.25	32.70	22.25	15.00	8.30
	~~72.60~~	~~58.50~~	~~53.00~~	~~43.00~~			~~39.00~~	~~30.00~~	~~23.80~~	~~14.00~~	~~11.00~~	~~4.50~~
Jan. 31	83.30	67.90	44.00	33.50	44.20	32.80	44.20	32.80	27.25	16.80	13.30	6.65
	~~63.50~~	~~49.40~~	~~46.50~~	~~36.50~~			~~34.50~~	~~25.50~~	~~19.00~~	~~9.20~~	~~9.50~~	~~3.00~~
Feb. 29	72.90	57.50	38.50	28.00	39.00	27.35	39.00	27.35	21.80	11.35	11.65	5.00
	~~54.40~~	~~40.30~~	~~40.00~~	~~30.00~~			~~30.00~~	~~21.00~~	~~14.20~~	~~4.40~~	~~8.00~~	~~1.50~~
Mar. 31	62.50	47.05	33.00	22.50	33.80	21.90	33.80	21.90	16.35	5.90	10.00	3.30
	~~45.30~~	~~31.20~~	~~33.50~~	~~23.50~~			~~25.50~~	~~16.50~~	~~9.40~~	0.00	~~6.50~~	~~0.00~~
Apr. 30	52.05	36.65	27.50	17.00	28.60	16.45	28.60	16.45	10.90	0.00	8.30	1.65
	~~36.20~~	~~22.10~~	~~27.00~~	~~17.00~~			~~21.00~~	~~12.00~~	~~4.60~~	0.00	~~5.00~~	0.00
May. 31	41.65	26.20	22.00	11.50	23.40	11.00	23.40	11.00	5.50	0.00	6.65	0.00
	~~27.10~~	~~13.00~~	~~20.50~~	~~10.50~~			~~16.50~~	~~7.50~~			~~3.50~~	0.00
Jun. 30	31.20	15.80	16.50	6.00	18.20	5.55	18.20	5.55			4.95	0.00
	18.00	3.90	14.00	4.00			12.00	0.00			2.00	0.00
Jul. 31	20.80	5.40	11.00	0.00	13.00	0.00	13.00	0.00			3.30	0.00
	~~8.90~~	0.00	~~7.50~~	0.00			~~7.50~~	0.00			~~1.00~~	0.00
Aug. 31	10.40	0.00	5.50	0.00	7.80	0.00	7.80	0.00			1.65	0.00

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

Additional Permits (after two)	$2.00
Replacement Permits w/identifiable remnants; non-transferable permit	$2.00
Temporary Permits (Non-Refundable)	
Area Parking per Week	$2.00
Reserved Space per Week	$3.00

Report of the Investment Advisory Committee

Regent Robert Brown

The Investment Advisory Committee met in Lubbock on October 9, 1998.

The committee reviewed *Board of Regents Policy 05.06*, Investment Policy Statement for Endowment and Certain Long-Term Institutional Funds ("LTIF"). After reviewing the types of funds that make up the long-term institutional funds component of the LTIF, the committee discussed a procedure to authorize withdrawals of long-term institutional funds. The committee recommended that an amendment be presented to the Board of Regents for approval at the November 13, 1998 meeting allowing, under certain circumstances, withdrawals of long-term institutional funds from the LTIF.

David Stein of Fund Evaluation Group (our investment consultants) presented a summary recapping the performance of the LTIF. Through September 30, 1998, the composite portfolio's calendar year-to-date performance was –1.1%, trailing the balanced index of 2.5%. Alex. Brown

Capital Management, Becker Capital Management (our two small cap investment managers) and Hansberger Global Investors (our international investment manager) underperformed their respective indices which detracted from the composite portfolio's performance. However, Davis Hamilton, Jackson & Associates (one of our balanced managers, outperformed its index due to the relative strength of their equity returns.

Mr. Stein presented a history of the performance of small cap stocks. Historically, the performance of small cap holdings has been more volatile than the larger S&P index. Yet, over time, small cap stocks have outperformed larger company stocks. Mr. Stein indicated his firm's opinion that small cap and international stock portfolios do have an important role in Tec's investment program and will, over time, outperform the broader index. Fund Evaluation Group's recent review of these investment firms has confirmed that they are employing sound discipline by sticking to their respective investment styles and will provide the desired diversification to TTU's portfolio. The committee requested that the two small cap managers be invited to discuss their performance with the committee at its January 1999 meeting.

The committee also requested that Fund Evaluation Group contact each investment manager to determine their plans to be compliant with Y2K or Year 2000 technology requirements.

The committee was informed that approximately $4 million of funds now in the Short-Term Investment Fund are awaiting redeployment into the LTIF. Mr. Pfluger moved that the committee recommend to the administration that $3 million be placed with Davis, Hamilton, Jackson & Associates and the remainder be redeployed with Becker Capital. The motion was seconded by Mr. McGinnis and unanimously passed.

Finally, the management of our fixed income investments was discussed. The committee suggested that it might be recommended to the Board of Regents that an allocation of some of the fixed income funds now invested with our balanced managers be redeployed to a Real Estate Investment Trust ("REIT") manager.

The committee recommended that a request for proposal ("RFP") process be conducted to interview REIT managers for possible recommendation to the Board of Regents. In addition, the committee suggested that another RFP be

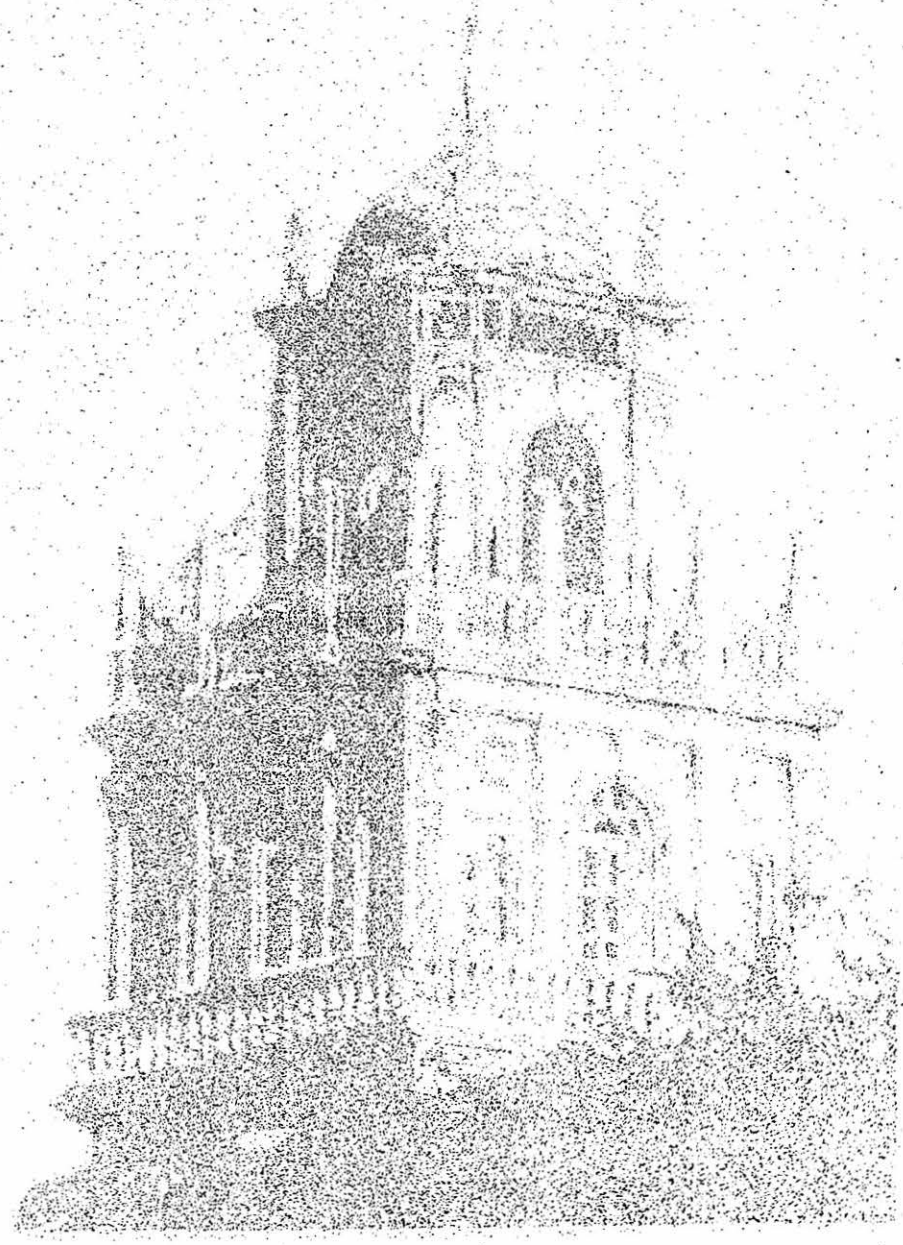
sent to obtain proposals from historically underutilized businesses ("HUBs") for possible recommendation to the Board of Regents for the management of a portion of the LTIF's fixed income component. It was suggested that interviews be scheduled for the January 1999 meeting of the committee. A formal recommendation for consideration to the Board of Regents would be discussed at the committee's January meeting.

It was agreed that the next meeting of the Investment Advisory Committee would be held in Dallas on January 21, 1999.

TEXAS TECH UNIVERSITY™

1998 Admissions Report

Office of New Student Relations
November 11, 1998



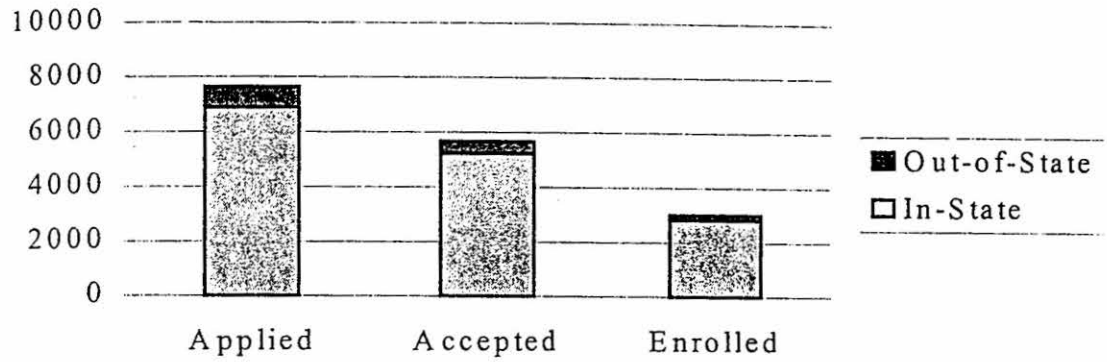
1998 Admissions Report

Texas Tech University

Office of New Student Relations

November 11, 1998

Freshman Admissions Activity



	Applied	Accepted	Enrolled
In-State	6888	5217	2839
Out-of-State	766	457	189
Total	7654	5674	3028

Freshman Admissions Activity, 1994-1998

	Applied	Accepted	% Accepted	Enrolled	Yield
1994	6,862	5,464	79.6%	3,189	58.4%
1995	7,532	6,137	81.5%	3,350	54.6%
1996	7,817	6,277	80.3%	3,520	56.1%
1997	8,356	6,053	72.4%	3,144	51.9%
1998	7,654	5,674	74.1%	3,028	53.4%

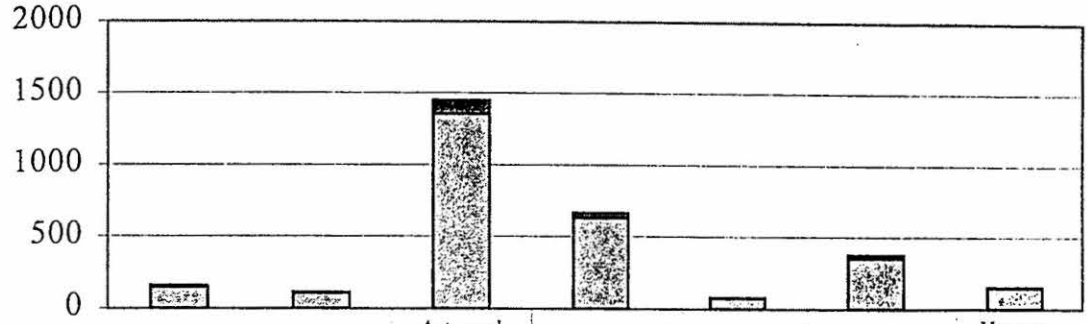
Freshman Admissions by State Residency

In-State	Out-of-State
Applied: 6,888	Applied: 766
Accepted: 5,217	Accepted: 457
Acceptance Rate: 75.7%	Acceptance Rate: 59.7%
Enrolled: 2,839	Enrolled: 189
Yield: 54.4%	Yield: 41.4%
Mean SAT: 1075	Mean SAT: 1126
Mean ACT: 23	Mean ACT: 24

Freshman Enrollment by Area or State

State/Area	Number	Percentage
Dallas/Fort Worth	722	23.8%
Lubbock	540	17.8%
Other West Texas	398	13.1%
Houston	192	6.3%
Panhandle	183	6.0%
San Antonio	159	5.3%
Austin	79	2.6%
Other Texas	566	18.7%
Total Texas	2839	93.8%
New Mexico	105	3.5%
California	9	0.3%
Oklahoma	8	0.3%
Colorado	6	0.2%
Other Out-of-State	61	2.0%
Total Out-of-State	189	6.2%
Total	**3028**	**100.0%**

Freshman Enrollment by College



	Agriculture	Architecture	Arts and Sciences	Business	Education	Engineering	Human Sciences
Out-of-State	13	7	95	38	2	28	5
In-State	147	106	1353	629	77	351	149

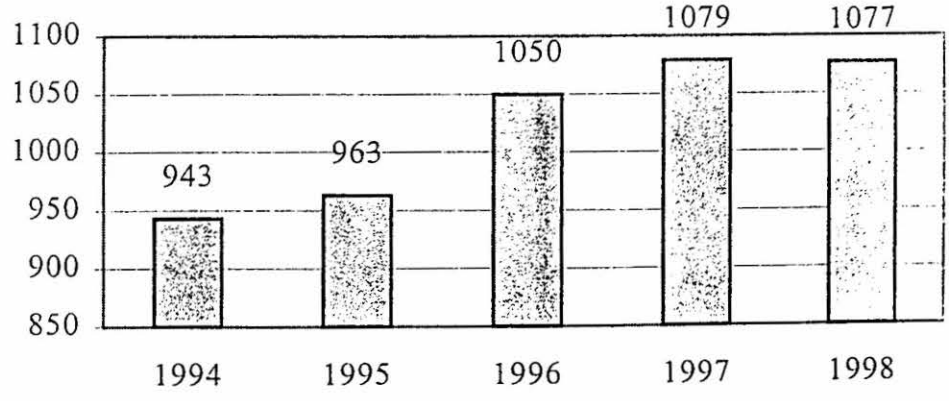
Leading In-State High Schools Enrolled Freshmen

High School	Number Enrolled	City
Lubbock High School	97	Lubbock
Coronado High School	94	Lubbock
Monterey High School	74	Lubbock
Plano Sr. High School	53	Plano
Robert E Lee High School	47	Midland
Frenship High School	38	Wolfforth
Plano East High School	30	Plano
Permian High School	30	Odessa
Midland High School	28	Midland
Churchill High School	24	San Antonio
Round Rock High School	21	Round Rock
Pampa High School	21	Pampa
Franklin High School	21	El Paso
Marcus High School	21	Flower Mound

Leading Out-of-State High Schools Enrolled Freshmen

High School	Number Enrolled	City
Carlsbad High School	12	Carlsbad, NM
Alamogordo High School	9	Alamogordo, NM
Goddard High School	8	Roswell, NM
Hobbs High School	6	Hobbs, NM
La Cueva High School	6	Albuquerque, NM
El Dorado High School	6	Albuquerque, NM
Los Alamos High School	5	Los Alamos, NM
Artesia High School	5	Artesia, NM
Farmington High School	5	Farmington, NM
New Mexico Military Institute	4	Roswell, NM
Clovis High School	4	Clovis, NM
Deming High School	4	Deming, NM
Grady High School	3	Grady, NM
Las Cruces High School	3	Las Cruces, NM
St. Pius X High School	3	Albuquerque, NM

Mean SAT Scores for Freshmen, 1994-98



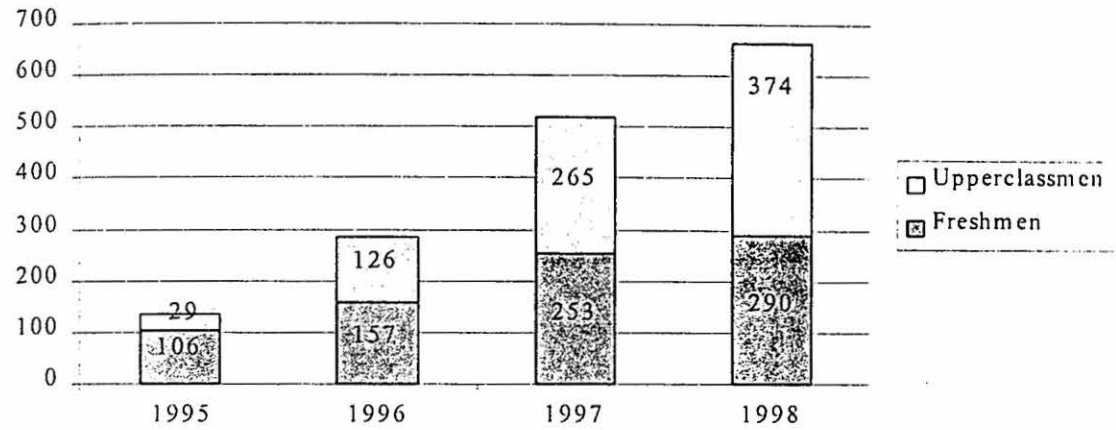
Mean SAT by College

College	1996	1997	1998
Agriculture	921	1057	1065
Architecture	971	1117	1101
Arts and Sciences	950	1075	1067
Business	943	1059	1071
Education	913	1028	1008
Engineering	1036	1142	1153
Human Sciences	909	1034	1013

Mean ACT by College

College	1996	1997	1998
Agriculture	22	23	23
Architecture	23	23	24
Arts and Sciences	23	23	23
Business	22	22	23
Education	21	22	22
Engineering	24	24	24
Human Sciences	22	22	22

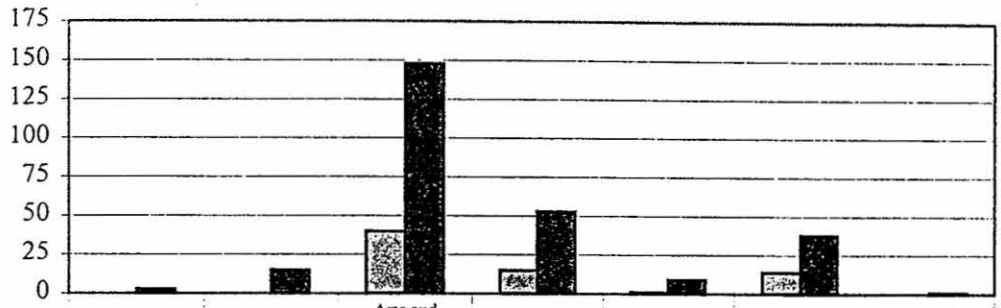
Membership in Honors Program, 1994-1998



Freshmen by Ethnic Origin

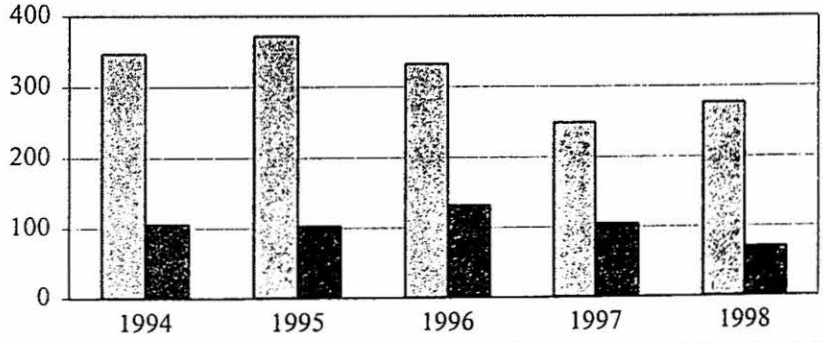
Ethnic Origin	Number	Percent
International	7	0.2%
African American	71	2.3%
American Indian	14	0.5%
Asian	60	2.0%
Hispanic	277	9.1%
White	2598	85.8%
Other/Unknown	1	-
Total	**3028**	**100%**

Hispanic/African American Freshmen by College



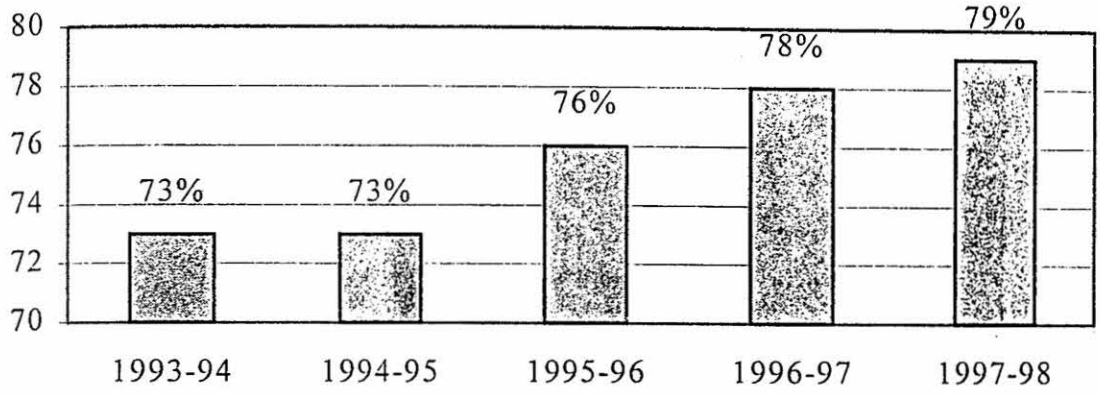
	Agriculture	Architecture	Arts and Sciences	Business	Education	Engineering	Human Sciences
African American	0	0	40	15	1	14	0
Hispanic	3	15	148	53	9	38	1

Hispanic/African American Freshmen Enrollment, 1994-1998



	1994	1995	1996	1997	1998
Hispanic	347	372	333	249	277
African American	106	103	132	105	71

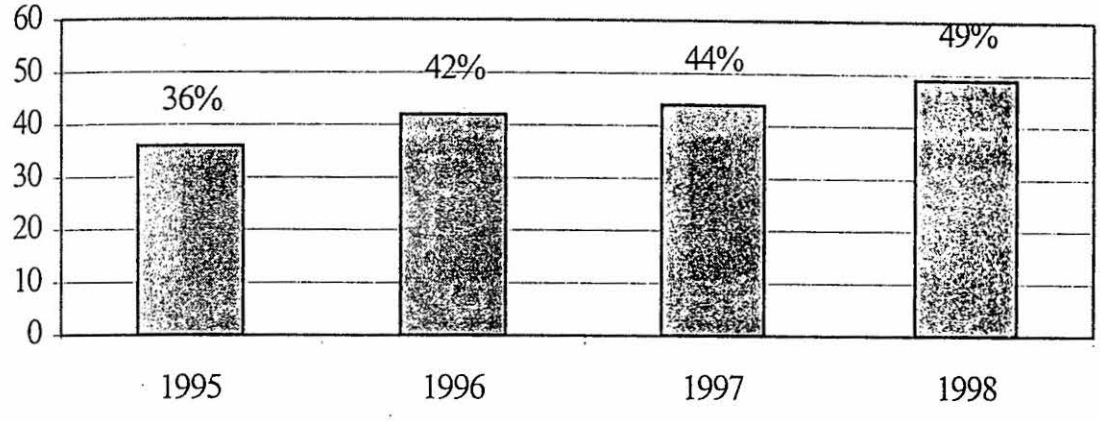
Freshman Retention Rate, 1993-1997



Freshman Retention Rate by College, 1993-1997

College	Fall 1993	Fall 1994	Fall 1995	Fall 1996	Fall 1997
Agriculture	79%	74%	73%	80%	78%
Architecture	76%	74%	71%	84%	80%
Arts and Sciences	71%	72%	76%	76%	76%
Business	75%	76%	78%	80%	81%
Education	68%	72%	80%	83%	86%
Engineering	75%	76%	74%	79%	79%
Human Sciences	77%	70%	80%	81%	80%

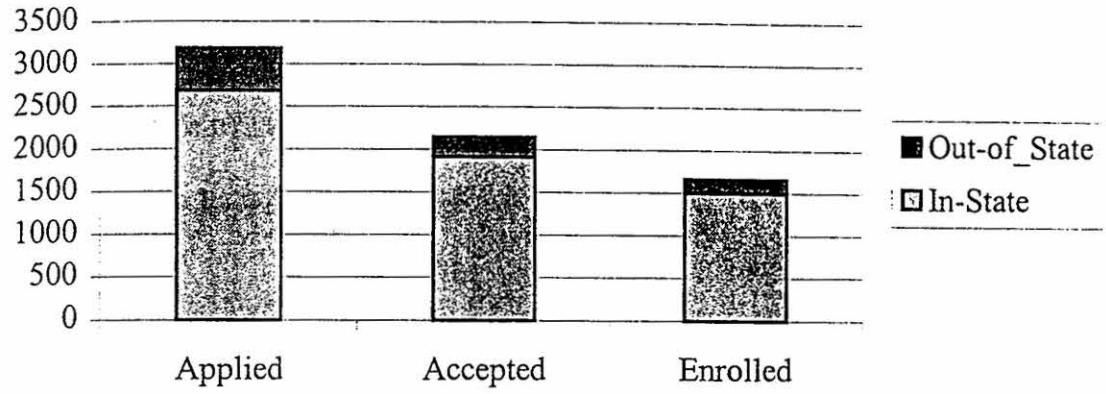
Six-Year Graduation Rate, 1995-98



Six-Year Graduation Rate by College, 1995-98

College	1995	1996	1997	1998
Agriculture	45%	50%	54%	58%
Architecture	28%	33%	35%	33%
Arts and Sciences	33%	39%	38%	46%
Business	39%	47%	53%	54%
Education	49%	46%	53%	54%
Engineering	31%	41%	44%	48%
Human Sciences	41%	55%	57%	59%

Transfer Admissions Activity



	Applied	Accepted	Enrolled
In-State	2685	1910	1497
Out-of-State	503	237	168
Total	3188	2147	1665

Transfer Admissions Activity, 1994-1998

	Applied	Accepted	% Accepted	Enrolled	Yield
1994	2,997	2,363	78.8%	1,919	81.2%
1995	2,922	2,386	81.7%	1,939	81.3%
1996	3,014	2,401	79.7%	1,933	80.5%
1997	3,446	2,631	76.3%	2,078	79.0%
1998	3,188	2,147	67.3%	1,665	77.6%

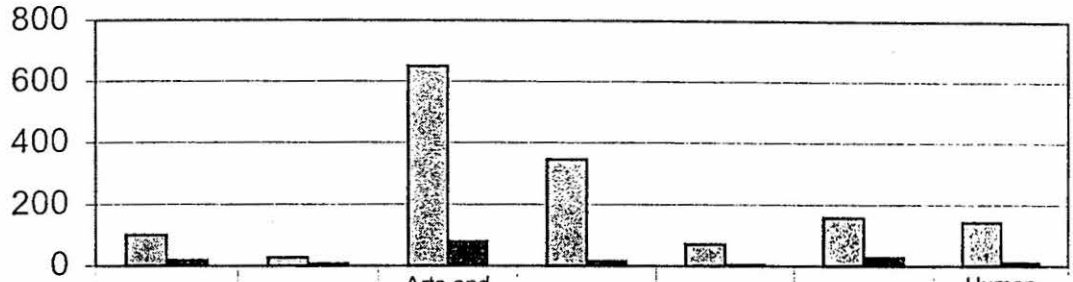
Transfers by Ethnic Origin

Ethnic Origin	Number	Percent
International	13	0.8%
African American	58	3.5%
American Indian	8	0.5%
Asian	41	2.5%
Hispanic	183	11.0%
White	1361	81.7%
Other/Unknown	1	-
Total	**1665**	**100%**

Transfers by Sending Institution

Institution	Number	Percentage
South Plains College	200	12.0%
Tarrant County College	77	4.6%
Amarillo College	62	3.7%
Collin County College	54	3.2%
Midland College	53	3.2%
Austin Community College	47	2.8%
Odessa College	47	2.8%
Richland College	42	2.5%
West Texas A&M	40	2.4%
North Harris/Montgomery	37	2.2%
Howard County College	30	1.8%
Houston Comm. College	29	1.7%
Angelo State	26	1.6%
Others	921	55.3%

Transfer Enrollment by College



	Agriculture	Architecture	Arts and Sciences	Business	Education	Engineering	Human Sciences
In-State	101	28	649	346	71	158	143
Out-of-State	19	8	80	15	5	29	12

Appendix I:

Annual Recruitment Report 1997-1998

Texas Tech University

New Initiatives and Highlights:

- Established four Regional Centers
  - Houston Grand Opening - September 22, 1997
  - Austin Grand Opening - October 14, 1997
  - Dallas Grand Opening - October 30, 1997
  - El Paso Grand Opening - June 19, 1998
- Hosted Counselor Luncheons in Regional Centers.
- Hosted Senior "Send-Off" events in all Regions and held reception for top students in Dallas at home of Regent Jim Sowell.
- Participated in Oklahoma College Day/Night Program schedule on a regular basis.
- Hosted a "Lubbock On Campus Day" for juniors from each Lubbock high school.
- Held first "Senior Saturday" for area seniors.
- Created attractive Acceptance Certificate signed by Dr. Haragan for each admitted student.
- Assisted with Chancellor's Receptions for Lubbock and area juniors and seniors.
- Assumed responsibility for New Student Orientation Program called "Double T Days".
- Assumed responsibility for catalog distribution beginning summer 1998.

Recruitment Programs

Direct contact with prospects is made by accepting invitations to programs where other institutions are also present. Many programs include a large number of high schools.

Type Program	Number of programs
TACRAO High School Programs	317
TACRAO Junior College Programs	49
TACRAO combined HS and JC	30
Non TACRAO Programs	26
New Mexico Programs	36
Oklahoma Programs	32
Other Out of State Programs	5
Special Event and Outreach Programs	12
Total Programs	507

School Visits

Visits are initiated by New Student Relations. Re-visits to schools are not included in count.

Type of Visit	Number of visits
Dallas Regional Coordinator Visits	58
Houston Regional Coordinator Visits	66
Austin Regional Coordinator Visits	54
El Paso Regional Coordinator Visits	4
Local Area (Out & Backs)	69
Other Texas Visits	73
New Mexico Visits	82
Visits in other States	21
Total Schools Visited	427

Special Events for Prospects

Some events are open to all students and some require pre-registration or top scholar status. Attendance includes prospect only and does not include family members

Event	Attendance
University Day	1,315
Lubbock On Campus Days (4)	410
Raider Rally (Student Council Officers)	78
Senior Saturday for local area	122
Honors Colloquium	43
Honor Transfer Day	82
Chancellor's Receptions (3)	350
Dallas Top Scholar Reception	120

Direct Mail to Students

The following does not include response to inquiries. Some of the numbers are approximations.

Source of Names	Number
PSAT Spring Search	3,726
ACT Search	1,720
SAT Summer Search	6,149
National Merit Semi-Finalists	997
Advanced Placement Search	10,646
Lubbock top 10%	180
Area Valedictorians and Salutatorians	208
Phi Theta Kappa Prospects	180
USA Today Academic All-Americans	1,300
College Board Junior College Talent Roster	650
Christmas Cards	30,000
Monthly Birthday Cards	25,000
University Day Invitations	42,000
Test Score Letters	10,839
Double T Days Brochures	10,000
Acceptance Certificates	7,875

Counselor Contacts

Counselors are in an excellent position to influence students' perceptions of universities and their decisions about where to attend.

ACT Workshop and breakfast for local area counselors

SAT Workshop and luncheon for local area counselors

Summer Counselor Showcase is by invitation and can include counselors nationwide.

38 attendees this year.

Regional Center Luncheons and Open House Receptions
General information and catalog mailouts (1700 high schools - 128 junior colleges)
Counselor information packets distributed during visits
Video distribution
University Day information packet to all counselors

New Student Orientation

One major goal for summer orientation was to be more accommodating to students. Evaluations were very favorable.

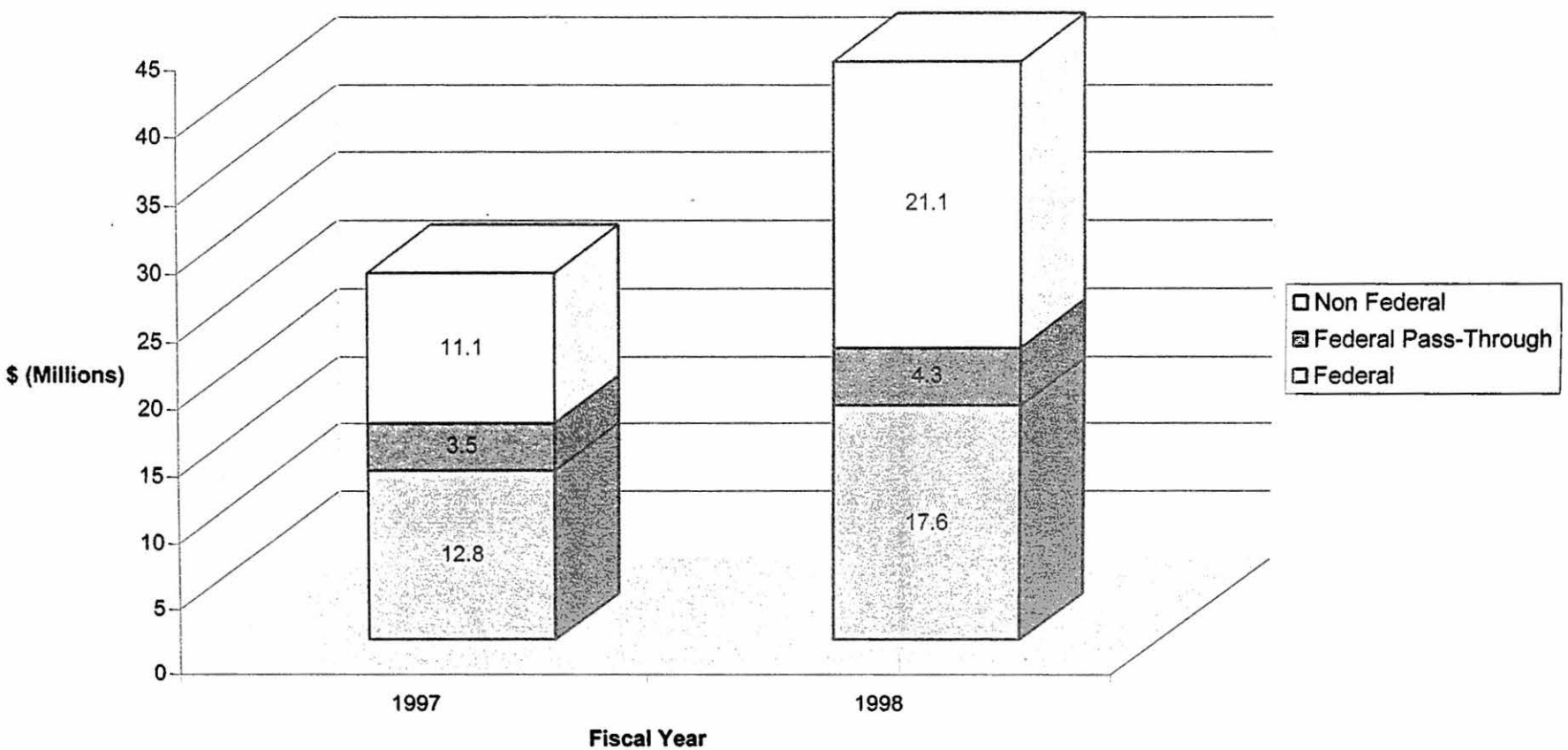
	New Freshmen and Transfers	Registered at Orientation	Percent
1997	5222	4262	81.6
1998	4693	4125	87.8

Visitor Center

Campus tours guided by students is one of the most effective ways to encourage enrollment.

4,723 persons	2,180 prospects	56 group tours

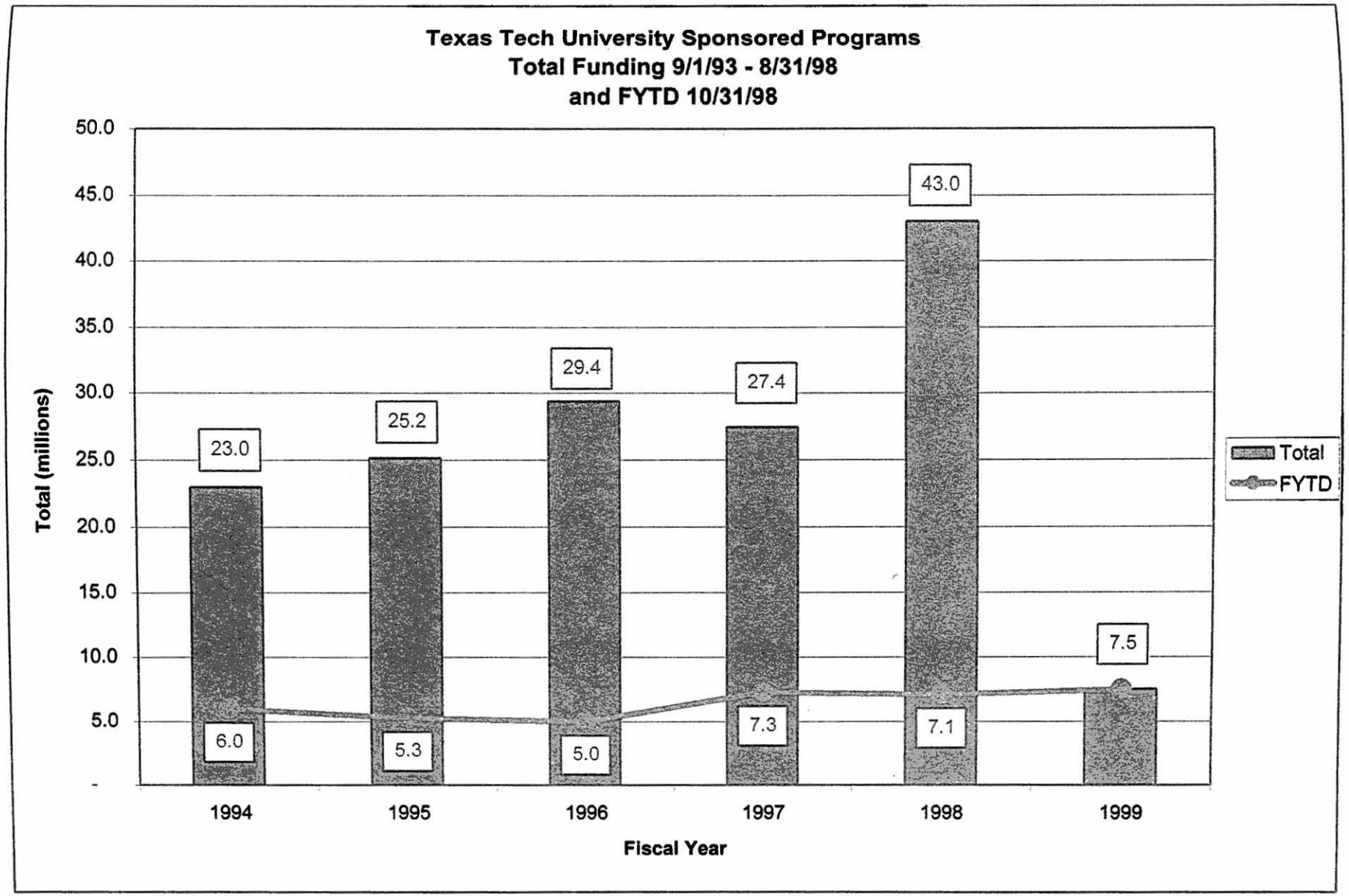
Texas Tech University
Awards for Sponsored Activity
$s in Millions



FY 1998

Record Year for Sponsored Activity

- 57% increase in total awards
- 38% increase in federal awards
- 51% increase in facilities and administrative costs
- 44% increase in average award ($56,923 to $82,108)


Texas Tech University Sponsored Programs
Total Funding 9/1/93 - 8/31/98
and FYTD 10/31/98
Total (millions)
50.0
45.0
40.0
35.0
30.0
25.0
20.0
15.0
10.0
5.0
-
23.0
25.2
29.4
27.4
43.0
7.5
6.0
5.3
5.0
7.3
7.1
1994
1995
1996
1997
1998
1999
Fiscal Year
Total
FYTD

TTU PROPOSALS AND AWARDS
BY FISCAL YEAR

Fiscal Year	Number of Proposals	Number of Awards	Amount of Awards(x1000)	Average Award(x1000)	F/A Costs (x1000)
1994*	487	508	23,042	45.4	2,214
1995+	706	507	25,156	49.6	2,828
1996*	507	510	29,376	57.6	3,048
1997+	742	480	27,149	56.9	3,173
1998*	528	524	43,024	82.1	4,837
Change	<5%	<3%	ca30%	ca18%	>35%

(*=ARP/ATP Funding Year)
(+=ARP/ATP Proposal Year)

STRATEGIES TO CONTINUE IMPROVEMENT

Submit more proposals

Receive more awards

Increase award size

- Size and quality of faculty
  - LAR
- Facilities
  - Exp. Science Bldg.
  - Reese Center
- Federal Initiatives
  - Cassidy & Associates
- "Big" Science (interdisciplinary)
  - TIEHH
- Get the right "toys"
  - Supercomputer

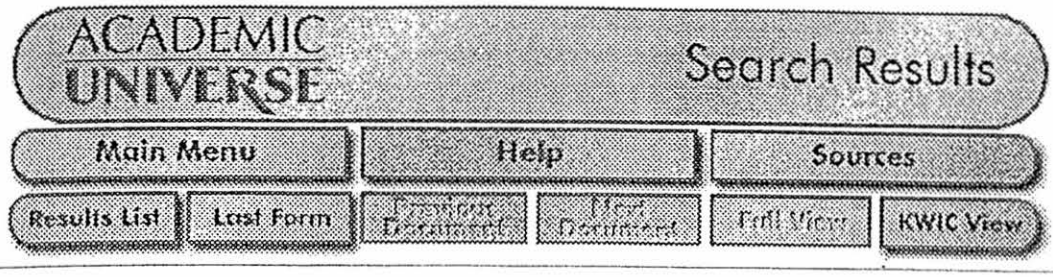
Partnerships

- ARS/USDA
- Brooks AFB
- LRRA
- City of Lubbock
- Etc.

Selected Press Clippings featuring sponsored research at

Texas Tech University

August 13 to November 13, 1998



Document 1 of 1.

The New York Times

View Related Topics

August 19, 1998, Wednesday, Late Edition - Final

SECTION: Section A; Page 18; Column 4; National Desk

LENGTH: 574 words

HEADLINE: 'Safe Rooms' Urged in Areas Prone to Tornadoes

BYLINE: By DAVID STOUT

DATELINE: WASHINGTON, Aug. 18

BODY:

With weather forecasting and warning systems far better than they were in years past, Government officials are taking an old-fashioned approach to reducing deaths in tornadoes: They are encouraging people to build modern versions of the traditional storm cellars.

Construction of "safe rooms" in dwellings in **tornado**-prone regions could cut down on fatalities, James Lee Witt, the director of the Federal Emergency Management Agency, said today at the opening session of the National **Tornado** Forum.

Noting that 120 people had been killed in tornadoes in the United States this year, Mr. Witt said, "That's 120 lives too many."

The agency acknowledges that safe rooms and cellars were useless if people do not know a tornado is approaching, and is encouraging homeowners to buy weather-alert radios that turn on automatically when tornado warning is transmitted by forecasters.

Mr. Witt said his agency and the Wind Research Center at **Texas Tech** University had developed plans for safe rooms that could provide protection against tornado winds up to 250 miles per hour and wind-driven objects flying up to 100 m.p.h.

A safe room could be built in a basement, a crawl space or a room above ground. Depending on size and materials used, it could cost $2,000 to $5,000 -- serious money for many homeowners. Vallee Bunting, a spokeswoman for the Federal agency, conceded that financial incentives, like rebates on

homeowners' insurance, would be necessary to get a lot of people to build safe rooms.

John J. Kelly Jr., director of the National Weather Service, said warning systems had improved dramatically in recent years, but "even a perfect warning is reduced to an academic exercise if people don't receive it and react to it."

Mr. Kelly recalled the twisters that killed more than 40 people in Florida in late February. "We had sirens out with good lead time, but it was late at night, with no outdoor sirens, televisions turned off and most of our citizens in bed," he said.

Accordingly, the emergency agency is encouraging homeowners in vulnerable areas to buy weather-alert radios, Ms. Bunting said. Though tornados have occurred in every state, they are most frequent in Texas, Oklahoma, Kansas and other Plains states, as well as the South.

The session today and Wednesday follows a regional tornado forum in Atlanta in April, after tornadoes killed more than 40 people in Georgia, Alabama and Mississippi. State officials and representatives of the Department of Housing and Urban Development and the National Oceanic and Atmospheric Administration are taking part.

Information on building safe rooms will be available through FEMA Publications, (800) 480-2520, in October and from the agency's Web site, www.fema.gov, soon thereafter.

Weather experts attributed the high number of tornado fatalities so far this year in part to the frequency of tornadoes in the South. The region has many mobile homes and homes without basements, and because tornadoes in the South are apt to be driven by cold fronts, they are more likely to occur at night when people are asleep.

The last year there were as many tornado-related deaths was 1984, when 122 people were killed. Though this year's death toll is relatively high, it does not approach losses in years when weather forecasting was less advanced. In 1925, nearly 800 people were killed in a single day, March 18, as tornadoes raked the South and Midwest.

LANGUAGE: ENGLISH

LOAD-DATE: August 19, 1998

Document 2 of 2.

Chicago Tribune

August 19, 1998 Wednesday, NORTH SPORTS FINAL EDITION

SECTION: NEWS; Pg. 19; ZONE: N

LENGTH: 558 words

HEADLINE: SAFE ROOMS SUGGESTED AS DEFENSE IN **TORNADO**; MODERN 'STORM CELLAR' SAVES LIVES, EXPERTS SAY

BYLINE: Associated Press.

DATELINE: WASHINGTON

BODY:

With more than 1,000 tornadoes already recorded this year, government officials announced an effort Tuesday to get people to build "safe rooms," modern versions of the old-fashioned storm cellar.

While **tornado** warnings have improved markedly in recent years, "even a perfect warning is reduced to an academic exercise if people don't receive it and react to it," said National Weather Service Director John Kelly Jr.

"When that warning comes on, a tornado warning, people need to put their family in a safe place," said James Lee Witt, director of the Federal Emergency Management Agency.

"We can no longer tolerate the losses that we see," Witt told the opening session of the National Tornado Forum. So far this year, 120 people have died in tornadoes. "That's 120 lives too many," he said.

Witt announced that FEMA and the Wind Research Center at **Texas Tech** University in Lubbock have developed plans for construction of safe rooms in homes in tornado-prone areas.

"When constructed according to the plans, the safe room can provide protection against winds of up to 250 miles per hour and projectiles traveling at 100 miles an hour," he said.

Wind speeds vary in tornadoes, but only the most powerful top 250 miles an hour. Much of the damage near the twisters is caused by flying debris.

The plans are aimed at homeowners who want to have a shelter built into a home under construction, but some can be used to add a shelter to an existing house. The plans include designs for safe rooms in basements, crawl spaces and in above-ground locations, depending on the home. The rooms can be in closets, bathrooms, storage areas and other locations that can be reinforced. Depending on the materials used and the size and location of the room, costs could range from $2,000 to $5,800.

Kelly noted that the United States has more instances of severe weather than any other country, including an annual average of 1,000 tornadoes. This year, he added, we're slightly ahead, with 1,100 so far.

Thanks to improved radar and satellites and training, the accuracy of tornado warnings has increased sharply since the mid-1980s, with lead time doubled to 10 minutes, he said.

Yet fatal cases still occur, such as the February storms in Florida that killed 42 people.

"We had warnings out with good lead time, but it was late at night, with no outdoor sirens, televisions turned off and most of our citizens in bed," Kelly said. Most people never heard the warnings.

Kelly said his agency is increasing the number of its local weather radio stations and plans efforts to educate people to buy weather radios, listen for warnings and to know what to do when they hear one.

"In this country, severe storms are coming; it's not a question of if, but when," he said. "Even with improved warnings we don't have hours, we have minutes."

Witt said the safe room project was developed at the request of state and local emergency management officials and people who had lost their homes in tornadoes.

Whether a home needs a safe room depends on whether it's in tornado- and hurricane-prone areas and on access to other shelters in an emergency.

A 25-page brochure, "Taking Shelter From the Storm: Building a Safe Room Inside Your House," will be available starting in October from FEMA (1-800-480-2520 or through the Internet at

www.fema.gov.)

LANGUAGE: ENGLISH

LOAD-DATE: August 19, 1998

PRESS CLIPS
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Dallas Morning News
Dallas TX

AUG 19 1998

Storm 'safe rooms' encouraged

Agency, Texas Tech researchers develop construction plans

Associated Press

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charlotte.com The Charlotte Observer

Posted at 5:58 p.m. EDT Wednesday, August 26, 1998

Researchers eager to meet Bonnie head-on

WILMINGTON -- As residents and tourists flee Hurricane Bonnie's punishing winds, researchers are flocking to the coast to study them.

Texas Tech University researchers studied data collected from a 35-foot tower anchored at Wilmington's airport. The data could help scientists and engineers better understand how hurricane-force winds twist and punch buildings.

``We understand very little about it in these extreme events," said John Schroeder, a civil engineering doctoral student at Texas Tech.

Schroeder, 26, and two other researchers from the Lubbock, Texas, school were collecting data on how gusts press concentrated bursts of wind against an entire building or just a few windows.

The tower, its power supply and measuring instruments encased in steel to protect against windblown debris, took horizontal wind speed measurements five times per second at four different heights. The devices also registered wind direction, vertical wind speed, temperature, relative humidity and barometric pressure.

The researchers arrived in North Carolina after sampling wind gusts last week during Tropical Storm Charley at Rockport, Texas. They'll chase the winds again if other storms developing in the Atlantic come ashore along the East Coast, Schroeder said.

The research is funded by Idaho National Engineering and Environmental Laboratory, an Energy Department facility.

In a large gray house on Skyline Drive in Southern Shores, John Hopkins University researchers tested how different materials withstand storms. The house was cobbled together with sections of wood frame, steel beams and concrete, to test how the different materials withstand storms.

Now the house also bristles with weather and pressure gauges that Johns Hopkins University researchers hope will describe how the

Johns Hopkins University researchers hope will describe how the structure of a building stands up to swirling, 100 mph wind.

``We just don't have that many good wind-speed measurements at ground level," said Nicholas Jones, a civil engineering professor at the university overseeing the study. ``When the wind reaches the ground, it gets stirred up."

The goal is to help planners and builders better prepare for storms. The need for such a study was brought home by Hurricane Andrew, which caused an estimated $18 billion in damage in Florida in 1992 in part, officials said, because of poor construction.

Bonnie represents the first opportunity for testing winds twice as fierce slamming into a building, Hopkins researchers said.

``We're hoping to capture results on a large variety of wind," said Michelle Porterfield, a 25-year-old graduate student from Binghamton, N.Y., whose thesis will include the research.

Staff writer Tonya Jameson contributed to this article.

Fort Worth Star-Telegram

Friday, August 28, 1998 / www.star-telegram.com / Section A, Page 5

Texans take measure of hurricane

Tech students study Bonnie's effect on man-made structure

BY MICHAEL D. TOWLE
Star-Telegram Washington Bureau

WASHINGTON — Just hours before Hurricane Bonnie made landfall, three researchers from Texas Tech University rushed to Wilmington, N.C., to study the effect of hurricane-force winds on man-made structures.

In a scene reminiscent of the film *Twister*, the team of graduate students drove from Lubbock to North Carolina in search of the storm's leading edge.

At Wilmington's airport, they fought Bonnie's early fury to erect a 35-foot steel tower laden with instruments. The structure, called the Wind Engineering Mobile Instrumented Tower Experiment, operates on a battery and wind-powered generator, both encased in steel for protection from hurtling debris.

The tower monitors horizontal wind speed, taking measurements five times per second at four different heights. The tower also records wind direction, vertical wind speed, temperature, relative humidity and barometric pressure.

"We are looking at the wind in a lot of detail and trying to understand what we call the turbulence of it and how it impacts structures," said team leader John Schroeder, 26, a doctoral student in civil engineering at Tech.

"We want a better understanding of what we call the surface-layer winds — the winds that are right down on the ground that affect you and me and the house we live in."

But unlike the tornado-chasing scientists in *Twister*, Schroeder and the other students took cover at a Wilmington hotel after the tower was erected.

"*Twister* was a movie. This is real life," Schroeder said in a telephone interview from his hotel. "More specifically, this is my life. We take shelter and would never sit there with it and ride it out in the open."

The Texas Tech group arrived at Wilmington's airport at 3 a.m. Wednesday and had the tower built by just after 4 a.m. The eye of Bonnie made landfall at Cape Fear south of Wilmington about 2 p.m. yesterday. The storm packed sustained winds of about 115 mph.

Schroeder began examining the data the tower collected late yesterday. He said that previous efforts by scientists to study hurricanes have been hampered by power outages.

This was the second use of the tower. The first was last week in Rockport, where the Texas Tech team studied the winds of Tropical Storm Charley, the storm that led to deadly flooding in Del Rio.

Schroeder said he hopes the group's studies lead to a better understanding of hurricane forces and to better forecasting.

The team is part of Tech's Wind Engineering Research Center, which recently developed a tornado "safe room" to provide protection against winds of up to 250 mph and projectiles traveling at 100 mph.

The 8-by-8 building is designed to be part of an existing structure, although it has a separate roof and reinforced walls. The engineers began their research after a tornado hit Lubbock several years ago.

Michael D. Towle, (202) 383-6104
mtowle@krwashington.com

Diary Dispute
Legal battle brews over new pages from Anne Frank's WWII journal
News 2A

Switched Babies
Lawyer says genetic tests confirm newborn given to wrong parents
News 5A

Texas Troubles
Rangers lose doubleheader to Red Sox 4-1, 5-4
Sports 1F

High 85 Low 67
http://www.lubbockonline.com

LUBBOCK AVALANCHE-JOURNAL

76th Year, No. 244 ©1998 ★ Wednesday, August 19, 1998 50 cents FINAL EDITION

Make room for safety

Tech, federal agency team up to tout in-house storm shelters

By KARA ALTENBAUMER
Avalanche-Journal

Federal emergency officials announced a partnership Tuesday with Texas Tech to convince people to build tornado shelters in their homes.

In-residence shelters, or "safe rooms" are an updated version of the storm cellar.

"They're more inexpensive than outdoor shelters, but more importantly because it's inside the home, people can continue to do their daily routines when they're under a warning and know they just have to take a few steps to shelter," said Larry J. Tanner, a structural engineer and architect who helped design the shelters at Tech's Wind Engineering Research Center.

"Most people wait too long to go to outside shelters," he said.

Tech and the Federal Emergency Management Agency are teaming up to produce a free 25-page booklet called "Taking Shelter From the Storm: Building a Safe Room Inside Your House." It will be available in October.

The book details plans for the shelters, which cost between $2,000 and $5,800, depending on the location, size and materials used in the room, according to an Associated Press report Tuesday.

Shelters can be constructed in a bathroom, laundry room, closet or any similar-size room, as long as it's windowless, has specified storm doors and is made of the correct materials, Tanner said. The shelters can withstand winds of up to 250 mph and "missiles" – 15-pound 2-by-4 boards – flying at 100 mph.

While the research was funded by FEMA, all designs were created at Tech, Tanner said.

"This all began as an offshoot of the Lubbock tornado of 1970," he said.

There have been 1,100 tornadoes with 120 fatalities in the United States so far this year. That's 100 more tornadoes than normal.

"We can no longer tolerate the losses that we see," said James Lee Witt, FEMA director. "That's 120 lives too many."

A spokesman with the National Weather Service in Lubbock said tornadoes typically occur on the South Plains between March and mid-June. There were four tornadoes in the area this year. Twisters were reported in Hale, Swisher and Crosby counties in April, and a tornado was reported in Lynn County in May, he said.

Tuesday's announcement, which was made during a Washington, D.C., tornado forum, brings exposure to Tech's research and the university as a whole, Tanner said.

"Tech is probably the premier researcher in this field," he said. "This is definitely level-one research."

More information

For a copy of the booklet or designs for a safe room:
- Contact FEMA at 1-800-480-2520 or access its Web site at www.fema.gov
- Access the Texas Tech Wind Engineering Research Center Web site at www.ce.ttu.edu/wind and click on "inresidence shelter."

SOUTH PLAINS

LUBBOCK AVALANCHE-JOURNAL Wednesday, August 26, 1998 Section B

Tech researchers head to coast to study hurricane

By KARA ALTENBAUMER
Avalanche-Journal

Texas Tech wind researchers, known for arriving after storms to survey damage, are trying for the first time set up at a date collection site before a hurricane strikes.

A team of engineering and atmospheric science students were heading toward the North Carolina coast Tuesday, hoping to reach it today before Hurricane Bonnie does. They will erect a 35-foot mobile tower to register everything from wind speeds to temperatures to barometric pressure at four different levels inside the storm.

During a telephone interview on their way to Smithfield, N.C., mechanical engineering seniors Jamie Snelson and Tony Rodriguez said that after they get to the Carolina coast, they'll set up the tower, which is on a trailer, and anchor the trailer to the ground.

"Right now, we don't even know where we're going, just to North Carolina," Snelson said. "We're following the storm and playing it by ear."

According to Associated Press reports, Bonnie could hit the North Carolina coast by daybreak today. Winds were reported Tuesday at 115 mph and more than a half-million tourists and residents were ordered to leave the Carolina coast.

The tower, called the Wind Engineering Mobile Instrumented Tower Experiment, collects atmospheric data at four heights – 3, 10, 15, and 35 feet. That's unique, the students said, because most surveillance of storms is done by helicopters at much greater heights.

If all goes well, Tech's researcher will be able to measure wind speeds and examine atmospheric conditions as the storm rages past structures on the ground, such as houses.

"It's mostly concerning structural damage," Snelson said. "What they haven't ever done is measure low-level wind. It will help in designing new homes and setting building codes."

"It's very meaningful. Somewhere down the line, maybe not today or tomorrow, this research we do this week may save someone's life."

After the storm, "if there's anything left of the tower – which hopefully there will be – we can retrieve the data," Snelson said. A computer system and power supply on board are protected by a steel casing so that data will not be lost, even if the tower is. The tower, has been designed to withstand winds of up to 150 mph.

This is the first time Tech wind researchers have gone in before a storm. Since the May 1970 tornado that ravaged Lubbock, researchers have been surveying storm damage to see which buildings stand and which don't.

They've used that research to develop structures such as "safe rooms," which are above-ground shelters inside of homes.

SOUTH PLAINS
Section B
Thursday, August 27, 1998
LUBBOCK AVALANCHE-JOURNAL

State grant to aid Reese development

By MARY ALICE ROBBINS
Morris News Service

AUSTIN – The Texas Department of Economic Development Board on Wednesday awarded two grants totaling more than $2 million to continue developing Reese Center.

"It's one more part of the jigsaw puzzle," state Rep. Delwin Jones, R-Lubbock, said about the board's action.

Board members also praised Lubbock officials for the way they have worked together to find ways to reuse Reese Air Force Base after it was shut down last fall.

"They're a tremendous group of partnership players," said board member Tucker Bridwell of Abilene.

Lubbock received two of the six Defense Economic Adjustment Assistance grants awarded by the board at Wednesday's meeting.

A $2 million grant went to Texas Tech University's Wind Engineering Center and the West Texas MesoNet, which is expected to become part of a statewide network of atmospheric weather-gathering stations. The money will be used to set up facilities to accurately measure and predict the effects of wind and weather on the region's agricultural industry and to aid utilities in planning.

The initial phase of Tech's project – 28 stations to be installed in the northwestern part of the state – will be in place within 12 months, said Dave Schmidly, vice president for research and graduate school dean at the university. Tech plans to partner with Texas A&M University to expand the network statewide.

Board members also approved an $83,500 grant to the South Plains Association of Governments to help recapitalize its small-business revolving loan fund. SPAG Executive Director Jerry Casstevens said the grant will provide half the money needed as a local match for a $500,000 federal grant his agency is seeking.

The loan fund will be used to assist businesses hurt by the closure of Reese or to entice new businesses to the center, Casstevens said.

"Tech is the anchor tenant of our center," Jones told the board, noting that the university's research on the former base already is drawing interest.

The Institute of Environmental and Human Health, which earlier received $4 million from the board, is operating at Reese Center. Schmidly said a recently formed minority-owned environmental business has committed to locate at Reese and that a Dallas-based environmental company also is "seriously considering" locating a satellite operation there to partner with the institute.

Most of the $20 million that the Legislature allocated last year to assist communities hurt by base closures has been spent.

However, the economic development agency's board will ask lawmakers for another $20 million to provide grants during the next two-year budget cycle. The request is part of the budget proposal approved by the board Wednesday for submission to the Legislature next year.

LUBBOCK AVALANCHE-JOURNAL

72nd Year, No. 52 ©1998 ★ Sunday, August 30, 1998 $1.50 FINAL EDITION

Tech work could boost Mars flight

Scientists developing high-power thrusters

By KARA ALTENBAUMER
Avalanche-Journal

If humans make it to Mars someday, they may do it with the help of a propulsion system created by Texas Tech.

Tech scientists are working with NASA on electric propulsion devices called Hale thrusters, which are designed to use as little energy as possible and eventually gain speed in space.

"It's kind of like the tortoise and the hare," said James Dickens, an electrical engineering professor. "You start out slow and steady and eventually gain high speeds."

Dickens said as the thrusters travel, they build up speed from the force of moving through space. The thrusters use xenon gas as fuel and could get energy from solar panels, batteries or nuclear sources.

Though NASA hasn't yet made the decision about whether a Mars flight is even feasible, electrical engineering and physics professor Magne Kristiansen said Tech's "propulsion scheme has as big of a chance as any."

NASA engineer Robert Jankovski said NASA won't even decide until 2003 whether it will attempt a manned flight to Mars. It could be sometime around 2013 or 2015 before the trip actually occurs.

Getting to and from Mars would take about a year round trip, Jankovski said. A cargo flight would have to go first, while the manned spacecraft would come later. If it were propelled by the Tech thrusters, the manned flight eventually would overtake the cargo flight before reaching Mars.

Jankovski said Tech researchers are the only ones working on high-power thrusters.

"They've done quite a bit," he said. "This is the first year where research has been focused on Mars."

Making a trip to Mars would take about 200 times more power than most space flights now, he said. "For a spacecraft, that's a ton of power," Jankovski said.

A thruster used to power the average space flight is about the size of a softball. Thrusters strong enough to power a Mars flight would have to be about the

See TECH 15A

Tech working with NASA to develop propulsion devices for mission to Mars

Continued from Page One

size of a basketball, and it would take several of them. That's where Tech comes in.

"If you're going to have such a long mission, it's important to have fuel that's as efficient as possible," Kristiansen said.

"They want (the thrusters) to be lighter, faster and less expensive," Dickens said.

Also, the thrusters need to be designed to produce exactly the amount of energy the spacecraft needs.

"Every bit of energy you make and don't use turns into heat," Dickens said. "It's hard to get rid of heat in space."

Tech has been working on propulsion research for NASA for about six years and has received somewhere around $750,000 from the agency, Dickens said. One important role Tech researchers play in the project is working with the Russian version of NASA.

"The Russians have been studying this for 30 years. We've only been studying it for five or six years," Jankovski said.

Jankovski is skeptical about whether a mission to Mars will ever take place.

"It's exciting that we could be doing the forefront work on the technology that makes this possible," he said. "But I have a hard time believing the American public will be willing to pay what it takes to do this."

But Dickens says when Tech first started the project, "there was no mission to Mars."

"Sometimes you feel like a small fish in a big pond when it comes to this overall endeavor, but it's nice to see work going forward."

SOUTH PLAINS

LUBBOCK AVALANCHE-JOURNAL. ★Friday, September 4, 1998 Section B

Tech moves closer to Carnegie I goal

By KARA ALTENBAUMER
Avalanche-Journal

Texas Tech has surpassed the halfway funding point in its climb toward Carnegie I research status, according to a research report card released Thursday.

Federal research dollars reached $21.9 million in fiscal year 1997-98, a 72 percent increase over the previous year. It takes $40 million to reach Carnegie I.

Sponsored research from all sources jumped almost 60 percent to its highest level ever: $43 million. The fiscal year ended Monday.

"This is a record year, a remarkable year," said David Schmidly, vice president for research and graduate studies. "These are really incredible increases. What you're seeing is that we're really getting there (to level I status)."

The state comptroller has determined that for every dollar in research, there is a $3.62 impact on the general economy, Schmidly said. That means Tech's $43 million translates into more than $155 million.

About 80 percent of that is estimated to impact the local economy alone, meaning Lubbock could see $125 million worth of results. But those funds won't be seen immediately, Schmidly said, because the $43 million is in research awards, not spending, and not all of it will be used this year.

"When you consider that we can develop intellectual property out of this (research) and transfer the technology to the marketplace, who knows the impact," Schmidly said. "Texas Tech being a top research university has an enormous impact on West Texas."

Kishor Mehta, who heads Tech's Wind Engineering Research Center, said, "One of the things we forget often is that these research dollars we bring in are spent locally. That contributes to local economic development."

The center receives federal and state funding, including funding from the Department of Defense.

When John Montford became Tech chancellor in 1996, he set a goal of reaching Carnegie I status. That challenge has been embraced by faculty, Schmidly said.

"If there's a hero in this outfit, it's the faculty," he said.

"We've tried to invest more in research. We've said to people, 'We'll give you better equipment.' We've said, 'We'll try to market the technology.' But somebody still has to write the proposals, and that's the faculty."

Ron Kendall, who heads Tech's Institute for Environmental and Human Health, said the increase is due in part to finding research opportunities and going after them.

"Texas Tech is rapidly developing new areas in research that will be a benefit in technology and economic development," he said. "Federal support and private support is all working together. It's remarkable."

The majority of research funding was divided between three colleges, with 22 percent in engineering, 21 percent in arts and sciences and 16 percent in agricultural sciences and natural resources.

Sponsored research has grown 84 percent since 1993, according to the report.

"Success initiates success," said Kathleen Harris, vice president for research. "It's not the case that we're going to fall back because there's so much more to do."

Magne Kristiensen, an engineering and physics professor who heads Tech's Pulse Power Laboratory, said when professors see other people getting research funded, it makes them want to do more. The lab is one of Tech's larger earners of federal dollars.

"It feeds on itself," Kristiensen said. "More breeds more."

Mehta said one funded research project often prompts funding from other sources.

"This additional funding from the federal government allows us to make a quantum jump in how we do research," he said. "Because we will improve our facilities, we'll be able to compete for money other than federal dollars down the road."

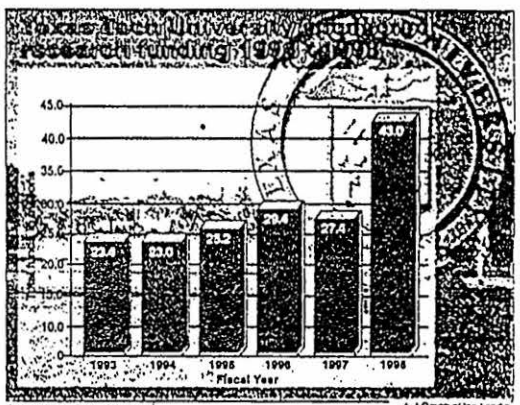
Schmidly hopes Tech continues these research strides next year. Only four days into the 1998-99 fiscal year, $15 million has already been allocated to Tech by federal and state sources.

But right now, Tech is about 100 faculty members below what it needs to reach level I, Schmidly said. The university plans to ask the Legislature next year for 100 new faculty over a four-year period.

"I'm going to be disappointed if we can't (reach level I) in five years," Schmidly said. "But we can't do it without help.

"When you have a faculty that's a little too small, and they're doing their job well, everyone's got more than they can do. There's no time for those extra two or three (funding) proposals."

Carnegie classifications are expected to change soon, but officials don't know what those changes will be. The $40 million figure could increase, making Tech's goal even higher.



Source: Texas Tech University
A-J Graphic/Joe Landon

SOUTH PLAINS

LUBBOCK AVALANCHE-JOURNAL Wednesday, September 16, 1998 Section B

A-J Photo/James Granger

Astronaut Dr. Bonnie Dunbar, the assistant director of NASA's Research and University Affairs division, talks Tuesday about teaming with Texas Tech for a future mission to Mars.

NASA looks to Tech for help

University may get to play role in manned mission to Mars

By KARA ALTENBAUMER
Avalanche-Journal

A contingent from NASA met with Texas Tech scientists and engineers Tuesday to discuss roles the university could play in a mission to Mars.

Those roles ranged from helping to develop lighter spacesuits to growing plants in space.

"Although crews tend to get the visibility in our space program, what makes it work is university research and the people who came with me today," said Bonnie Dunbar, a NASA astronaut who works with university research.

Dean Ethridge, director of Tech's International Textile Center, told NASA scientists about the center's work with blending synthetic and natural fibers. He also talked about being able to produce spacesuits in small quantities – something NASA researchers said most manufacturers won't do.

Robert Yowell, who works in NASA's extra-vehicular activity, or spacewalk, project, said, "It's more than just a spacesuit. It's a spacecraft, in and of itself."

"This is the most expensive part of a space mission. We value each and every minute of a spacewalk."

Yowell said NASA needs lighter and stronger spacesuit materials for a Mars mission. Potentially, the textile center could help develop the materials. Because such a mission would be about three years long, the materials need to be easily maintained and repaired.

William Marcy, Tech's interim engineering dean, discussed different projects in the engineering school with Mars applications, from wind research to data processing to propulsion systems.

"We're looking for cooperation," said Frank T. Buzzard, NASA's chief engineer for their International Space Station. "NASA doesn't have much money. Institutes tend to do research more cheaply, and you have a large labor pool interested in space research."

Henry Nguyen, a plant genetics professor, presented ideas for growing crops in space. With a multi-year mission, it's not possible to carry enough food aboard the spacecraft, he said.

He talked about developing shorter plants with higher yields that can stand stress from low light and radiation. Plants in space also would need to be disease-resistant, nutritious and efficient.

"We have to deal with plant technology," respon-ded Don Henninger, NASA's deputy program manager and chief scientist for ad-vanced life support systems. "How do we put it on a shelf or in front of the crew? And if we put it in front of a crew member, how nutritious is it and what's its caloric content?"

Other presentations included mounting collection devices for particle data and producing lightweight power devices. NASA researchers toured several facilities and met with Tech leaders and professors throughout the day.

The university works on some NASA projects now, including a possible Mars mission. Tuesday's meetings dealt with expanding Tech's involvement.

SOUTH PLAINS
Section B
Thursday, September 17, 1998
LUBBOCK AVALANCHE-JOURNAL

Tech receives $2 M grant

By KARA ALTENBAUMER
Avalanche-Journal

Texas Tech announced Wednesday that it had received a $2 million grant from the Howard Hughes Medical Institute and a $125,000 gift from American State Bank.

The contributions will go to the biology department. The bank gift will be used for scholarships in the College of Agricultural Sciences and Natural Resources.

Tech is one of 58 research and doctoral universities to receive a four-year grant from the Hughes institute.

The university had received two previous grants from the same source, $1.3 million in 1992 and $1 million in 1994.

The grant will help fund student development, curriculum development, laboratory equipment and pre-college outreach programs in biology, according to the university.

The institute's principal purpose is to facilitate biomedical research.

The $125,000 gift from American State Bank will count toward Tech's $300 million Horizon Campaign goal.

"Agriculture has been and will be a mainstay for our economy in West Texas," said W.R. Collier, president of American State Bank.

"For 50 years, our bank has had a strong partnership with this vital industry. We are proud to provide funding for scholarships that will enable deserving students to further their educations."

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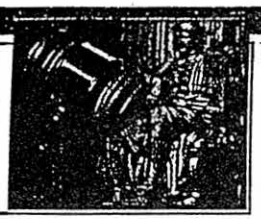

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LUBBOCK AVALANCHE-JOURNAL

76th Year, No. 280 ©1998 ★ Wednesday, September 30, 1998 50 cents FINAL EDITION

Congress clears $3 million for research at Tech institute

By KARA ALTENBAUMER
Avalanche-Journal

Congress approved $3 million in funding Tuesday for Texas Tech's Institute for Environment and Human Health. The money is part of the $270.5 billion 1999 Department of Defense spending bill.

"Our federal support is growing," said Ron Kendall, institute director. "The bottom line is that we can make a contribution to help them."

The $3 million will be used in defense research on toxic chemicals and toxic waste management and their associated health risks. Money also will be used to study base cleanup procedures and to develop methods for monitoring of chemical use.

The institute, housed at Reese Center, investigates environmental concerns and how they affect health, law and public policy.

Funds approved Tuesday will be added to $2 million in defense funding already appropriated for the project. Research will involve Tech's medical school and departments like chemistry, biology, mathematics and engineering.

"We're very excited about the multidisciplinary support we're getting throughout campus," Kendall said. "This will involve a number of graduate students and people pursuing advanced degrees with this research.

"We see a lot of winners in this. Hopefully, taxpayers will be the final winners as we reduce costs for toxic chemical remediation."

"Reese Center is taking off on a new mission, with the institute positioned as the region's premier facility for educating a generation of new investigators for a commonsense, valid approach to cleanup procedures and chemical exposure," said U.S. Rep. Larry Combest, R-Lubbock. "I am pleased to help bring together the federal side of this funding partnership."

Tech should receive the $3 million sometime near the end of 1999.

Lubbock Avalanche-Journal, October 7, 1998

Tech researcher helps plan mission to Pluto

Professor's ideas might power unmanned craft

By JOHN GUNNING
A-J Special Contributor

At the turn of the century, scientists didn't know Pluto existed.

But now, with help from a Texas Tech researcher, they're hoping to get their first close-up look at the solar system's outermost planet and possibly the belt of smaller icy worlds beyond it.

If all goes as planned, the Pluto-Kuiper Express, a lightweight robotic reconnaissance probe, will leave the Earth in 2004 and rely on the gravitational tugs of Venus and Jupiter to reach Pluto and its tiny moon, Charon.

Because Pluto is about 3.7 billion miles from the sun, scientists needed an alternative power supply for the spacecraft.

Solar panels, the standard method for powering satellites, are not able to gather enough sunlight to produce electricity in such a dark and distant place.

M.A.C. Lodhi, a nuclear physicist and professor at Tech, is helping to devise an alternative power supply.

He is refining a process that turns heat radiation directly into electricity.

"They needed some source of energy to power their vehicles," Lodhi said recently.

"When a satellite is too far from sunlight ... scientists need to find an alternative to solar power that is still a compact, lightweight source of electricity."

So Lodhi is using radioactive material to warm a special metal plate that converts the heat directly into electricity.

"For that, you use radio isotopes. It has to be harnessed to where it can be turned directly into electricity," he said.

Each of the power cells is about the size of a soda can and can produce five watts continually for 15 years.

NASA's goal for the spacecraft is to operate it on no more than 100 watts.

The cell technology comes from Ford Motor Co. scientists who developed it in the 1960s.

But previous models were too large to be used in space, Lodhi said.

"Our task is to make it more compact, trouble-free, lighter and more efficient," he said.

The mission is lengthy. NASA's Jet Propulsion Laboratory doesn't expect the 220-pound satellite to reach Pluto until at least 2012, according to a NASA website.

When the satellite flies by Pluto, information about the tiny planet's composition will be transmitted back to Earth.

Some of that data might help scientists understand how planets are formed.

After completing its mission to Pluto, the satellite is expected to travel beyond the solar system's immediate family of planets to explore the Kuiper Belt, the realm of the solar system's short-period comets, according to the NASA Web site.

Even though the Pluto mission conceivably could be scrapped, scientists say the technology for Pluto-Kuiper Express still could be used for other spacecraft.

The technology could have earthly applications as well.

The same technology, Lodhi said, could be used for automobiles or anything else that needs electricity.

"There is a source of electricity as long as there is heat," he said.

Pluto: Fast facts

- Pluto is the ninth planet from the sun, but sometimes is closer to the sun than Neptune because of its eccentric orbit.
- It wasn't discovered until 1930.
- Scientists think the surface is nearly 400 degrees below zero and covered in frozen nitrogen.
- The planet is only 1,400 miles wide.
- Some astronomers say it is more like a large comet than a planet, and it takes nearly 247 years to circle the sun.

SOUTH PLAINS
Section B
★ Thursday, October 22, 1998
LUBBOCK AVALANCHE-JOURNAL

Congress marks $8 million for Tech research

By KARA ALTENBAUMER
Avalanche-Journal

About $8 million in Congress' final omnibus spending bill is earmarked for Texas Tech research, and an additional half million dollars is slated for another local research project.

And the economic benefits and agricultural advances will be welcome, said U.S. Rep. Larry Combest, R-Lubbock.

"All of these things have net results," he said Wednesday. "That's where the benefit comes – from the investments that are made.

"It's important. If we're going to do studies and research and things anywhere in the country, I would like for as many of those as possible to be at Texas Tech."

Federal funding for Tech's Plant Stress and Water Conservation Laboratory totals just over $3 million and includes a $500,000 increase to consolidate 21 agriculture department and agricultural research services scientists under one roof.

"The passage of that bill is important to us," said David Schmidly, Tech's vice president for research and graduate studies. "It will greatly facilitate our continued growth toward research I excellence."

Tech is pushing for more federal funding because it takes about $40 million in federal research funding to be considered a Carnegie Level I research university.

Another $200,000 in the spending bill will go to the university's International Cotton Research Center to coordinate cotton research, production and marketing. Tech's Institute for Environmental and Human Health at Reese is slated to receive $3 million in funding.

The Wind Disaster Mitigation Research Program will receive $1.2 million. The Agricultural Research Service Ginning Lab – not affiliated with Tech – is scheduled to get $500,000 in the bill.

All of these projects demonstrate Tech and Lubbock's increased presence in Washington, D.C., Combest said.

"They've made this an initiative they are pursuing," he said. "Like so many things, it's just getting in the door the first time.

"These things can lead to so many others down the road. Once the federal government begins working with an institution, they understand its qualifications and the relationships."

Federal funding also demonstrates work at the local level, said Keith Williams, a Combest spokesman.

"Congress doesn't just appropriate something out of thin air. Someone asks for it – and that's usually a member of Congress – but it takes coordination on the local level," he said.

Some projects are continuations of current funding or increases of those.

LUBBOCK AVALANCHE-JOURNAL

76th Year, No. 304 ©1998 ★ Wednesday, October 28, 1998 50 cents FINAL EDITION

Tech partnerships would boost job market

Two companies negotiating move to Reese Center

y KARA ALTENBAUMER
/alanche-Journal

Texas T-Bone Express and ntact Inc. are in talks with exas Tech that could bring more ıan 400 jobs to Reese Center, niversity officials said Tuesday.

Tim Jackson, president of marillo-based T-Bone Express, aid the meat-processing compa- y will try to open doors at Reese y March with about 35 jobs. Vithin 18 months, the company ould grow to between 300 and 00 local employees, he said.

The company would work with 'ech's meat processing lab, /hich is moving to the former Air 'orce base commissary. At least he initial portion of the company /ould be housed in the same acility as Tech.

"Texas Tech is a research partner of ours," Jackson said. "We have high regard for them. We're working on some technology with them."

■ Tech hopes to be magnet at Reese Center 3B

Jackson would not discuss details about salaries but said there would be "quite a bit of skilled labor. A lot of this is computer-based."

At least 90 percent of the employees would be hired from the Lubbock area, Jackson said. He also estimated that local sales would be in the neighborhood of $20 million.

T-Bone Express also wants to work with other Tech ventures at Reese, as well as South Plains College, Jackson said. He predicted that the company could attract other businesses to Reese, citing a genetic engineering firm that T-Bone Express is working with now.

Kevin Pond, chairman of Tech's animal science and food technology department, said the partnership falls in line with the state's agritech corridor initiative.

Creating jobs is the No. 1 goal of the Texas Agritech Corridor Partnership, a 100-mile stretch of communities from San Antonio to Plainview. The project tries to attract industries such as spinning mills and leather tanneries to process raw materials grown in Texas.

"We have an industry in meats that's rapidly growing in this area," Pond said. "(The partnership) gives us more value for our beef.

"(Cattle) are slaughtered here and sent elsewhere for processing. We're looking at ways to keep these products here."

Chris Wallace, director of business development for the Lubbock Reese Redevelopment Authority, said the second company, Entact, initially would bring between 50 and 75 jobs.

Entact, an environmental and waste remediation firm, would work with Tech's Institute of Environmental and Human Health but would not be housed in the same building.

"They are a private company that would enhance the institute," Wallace said.

Ron Kendall, institute director, said Entact is interested in gaining access to a proposed supercomputer at the Tech facility.

"They're interested in the high visual capability," he said. "We would be able to walk through the remediation of groundwater, the remediation of soil."

Both company partnerships are subject to approval by the board of regents at its Nov. 13 meeting, as well as Air Force building approval.

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER BUDGET ADJUSTMENTS (7/1/98 - 9/30/98)

	Source of Funds Other	Source of Funds Income	Expense	Remarks
BOARD APPROVAL AND RATIFICATION				
MEDICAL PRACTICE INCOME PLAN				
OB/GYN - Lubbock		249,999	249,999	To establish a budget for the OB/GYN program at Texas Tech Medical Center - Southwest
Cell Biology and Biochemistry - Lubbock	200,000		200,000	Budget of fund balance for basic science research.
Pharmacology - Lubbock	218,144		218,144	
Physiology - Lubbock	179,710		179,710	
TOTAL MEDICAL PRACTICE INCOME PLAN	**597,854**	**249,999**	**847,853**	
GENERAL DESIGNATED FUNDS				
Internal Medicine - Lubbock	100,000		100,000	Carryforward fund balance for Nephrology Development.
Texas Tech Medical Center - Southwest	189,203	183,900	373,103	To provide facility operating costs for FY 1999.
TOTAL GENERAL DESIGNATED FUNDS	**289,203**	**183,900**	**473,103**	

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER SALARY ADJUSTMENTS

				Remarks
BOARD RATIFICATION				
SALARY INCREASES	CURRENT SALARY	NEW SALARY	% INCREASE	
STAFF				
Lane Beasley - Dermatology - Lubbock	37,758	48,000	27.1%	Equity Adjustment
Jeanette Woodruff - Surgery - Lubbock	19,970	23,500	17.7%	Merit Increase
FACULTY				
Della Nabhan - Internal Medicine- El Paso	48,377	57,600	19.1%	Equity Adjustment
Ross Selder - Surgery - Lubbock	303,226	400,000	31.9%	Equity Adjustment
Joseph Dwoskin - Surgery - Lubbock	100,000	120,000	20.0%	Equity Adjustment
Saeed Akhter- Surgery - Lubbock	160,919	200,000	24.3%	Equity Adjustment
Clint Gregg - Ophthalmology - Lubbock	115,000	132,000	14.8%	Increased Duties
Anthony Adolph - Anesthesiology - Lubbock	140,050	180,000	28.5%	Increased Duties
Edwin Knipstein - Orthopaedic Surgery - Lubbock	110,000	127,360	15.8%	Contractual Agreement

Admission Policy for Transfer Students

Admission of Transfer Students. Undergraduate students who have attended another accredited college may be accepted for admission to Texas Tech provided they meet certain requirements.

Students must apply for admission at least 30 days before the beginning of the semester. They must present official transcripts of their *entire* academic record from *all* institutions in which they have been or are currently enrolled. (Official transcripts must be sent directly to the Admissions Office and have the signature of the proper college official and college seal. Transcripts marked "student copy" are not acceptable.) Transfer students must also provide a high school transcript for use in advisement and placement.

Transfer applicants may be admitted to the University in one of three ways:

- Transfer of 24 or more hours from an accredited institution with a minimum 2.25 GPA and eligibility to return to the institution most recently attended.*
- Transfer of 12 to 23 hours including at least 12 hours of required basic courses from an accredited institution with a minimum 2.50 GPA.**
- If transferring with less than 12 hours, meet the same standards for admission as required of new freshmen entering from high school and have a minimum 2.00 cumulative GPA in work completed in addition to eligibility to return to the institution most recently attended.

*Students with 24 or more hours from an accredited institution and a cumulative GPA of 2.00-2.24 will be reviewed. Consideration will be given to the student's major, courses taken, and pattern of progress, as well as the previous high school records and standardized tests scores.

** Students with 12-23 hours from an accredited institution and a cumulative GPA of 2.00-2.49 will be reviewed. Consideration will be given to the student's major, types of courses taken, and pattern of progress, as well as the previous high school records and standardized tests scores.

Note: Provisionally admitted students who choose to transfer work to Texas Tech must submit 12 hours of required basic courses with a minimum 2.50 GPA.

Texas Tech University
COMMENCEMENT

December 19, 1998
Lubbock, Texas

ALMA MATER
"MATADOR SONG"

Fight, Matadors, for Tech!
Songs of love we'll sing to thee.
Bear our banners far and wide.
Ever to be our pride.
Fearless champions ever be.
Stand on heights of victory.
Strive for honor evermore.
Long live the Matadors.

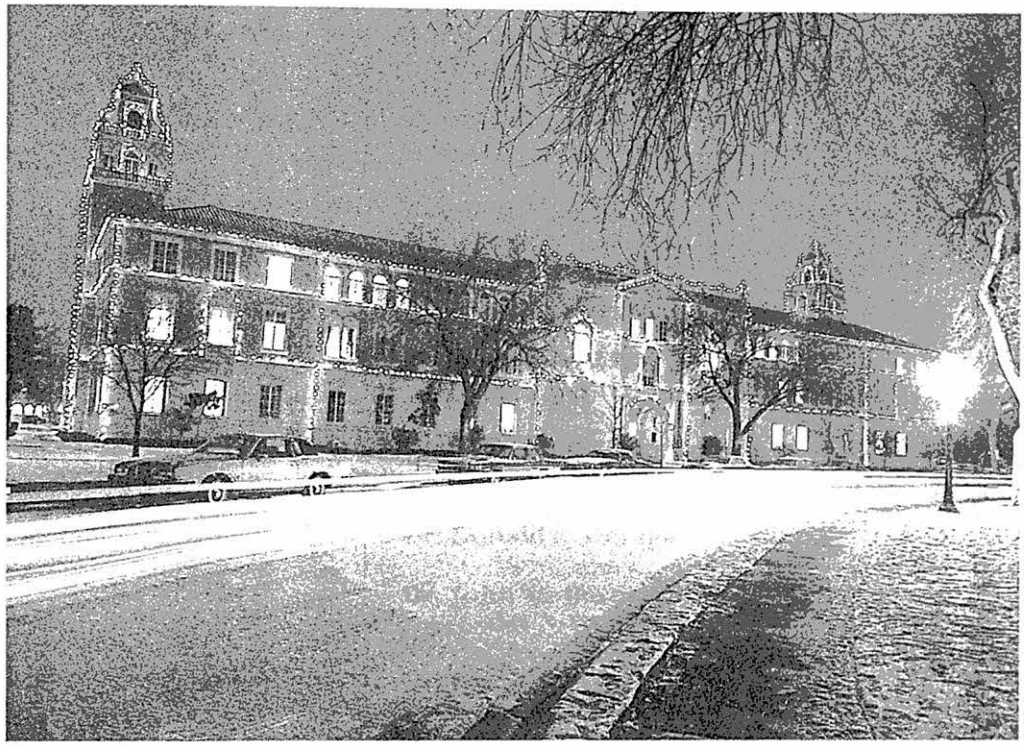
TEXAS TECH UNIVERSITY

Texas Tech is a state-supported, multipurpose university of approximately 25,000 students enrolled in eight colleges—Agricultural Sciences and Natural Resources, Architecture, Arts and Sciences, Business Administration, Education, Engineering, Human Sciences, and Honors. Within the College of Arts and Sciences are the School of Music and the School of Mass Communications. The Graduate School and the School of Law provide graduate and professional programs. The Texas Tech Health Sciences Center—a separate institution—the Museum and Ranching Heritage Center share the Lubbock campus with the University. The common-campus arrangement with a law school is unique among the state's higher education institutions.

As is necessary for an educational institution of its scope and purposes, Texas Tech operates in several locations. Beyond its 1,839-acre Lubbock campus—all in one tract—the University agricultural and biological facilities at the Texas Tech University Center at Amarillo, and various research activities at the East Campus Research Center and the Institute of Environmental and Human Health at the Reese Center. Other agricultural research and teaching facilities are in Lubbock County and in Terry County. Texas Tech University Health Sciences Center is a multi-campus institution with Lubbock as the administrative center and with regional campuses at Amarillo, El Paso and Odessa. The Texas Tech University Center at Junction, in the Texas hill country, is a 411-acre unit including teaching, conference, and lodging facilities.

Paul Whitfield Horn, the first president of Texas Tech, drew from the broad open plains of West Texas his vision for the institution. "Let us make the work of our college fit into the scope of our country," he said. "Let our thoughts be big thoughts and broad thoughts. Let our thinking be in world-wide terms."

Horn's challenge to Texas Tech, now in its seventy-fifth year, continues as a viable force. His insight is most evident as we—faculty and students, administrators and alumni, supporters and friends—strive to shape the University's programs and activities to meet the highest standards of excellence in teaching, research, and public service.



Photography by Artie Limmer

Texas Tech University
COMMENCEMENT PROGRAM
December 19, 1998
9:00 a.m.

Presiding	**Dr. Donald R. Haragan, President**
*Processional	**Texas Tech Brass Ensemble** **Alan D. Shinn, Director**
Invocation	**Dr. Cleve Haley** **Oakwood Baptist Church**
Welcoming Remarks	**Board of Regents**
	Dr. John T. Montford **Chancellor**
Introduction of Commencement Speaker	**Congressman Larry Combest** **United States Congress, Nineteenth District**
Commencement Address	**Congressman Henry Bonilla** **United States Congress, Twenty-Third District**
Conferring of Degrees	**Dr. Donald R. Haragan**
	Dr. John M. Burns **Provost**
Presentation of Doctoral Candidates	**Dr. David Schmidly, Dean of the Graduate School**
Presentation of Master Candidates	**Dr. David Schmidly**
Presentation of Bachelor Candidates	**Dr. Larry M. Hovey, Acting Dean of the College of Education** **Dr. Elizabeth G. Haley, Dean of the College of Human Sciences** **Dr. Roy Howell, Dean of the College of Business Administration** **Dr. William M. Marcy, Interim Dean of the College of Engineering**
Recognition of Outstanding Students, Class of 1998	**Dr. John M. Burns**
Charge to the Graduates	**Dr. Donald R. Haragan**
Benediction	**Dr. Cleve Haley**
Alma Mater	**Mr. Brent Reno** **Senior, Music Education Major**
*Recessional	**Texas Tech Brass Ensemble**

*Please remain seated during the Processional and Recessional

Texas Tech University
COMMENCEMENT PROGRAM
December 19, 1998
1:30 p.m.

Presiding	**Dr. Donald R. Haragan, President**
*Processional	**Texas Tech Brass Ensemble** **Alan D. Shinn, Director**
Invocation	**The Reverend Robert Barndt** **Gloria Dei Lutheran Church ELCA**
Welcoming Remarks	**Board of Regents**
	Dr. John T. Montford **Chancellor**
Conferring of Honorary Degree	**Dr. Donald R. Haragan**
Response	**Mr. Elmer Kelton** **Texas Author**
Introduction of Commencement Speaker	**Congressman Larry Combest** **United States Congress, Nineteenth District**
Commencement Address	**Congressman Henry Bonilla** **United States Congress,** **Twenty-Third District**
Conferring of Degrees	**Dr. Donald R. Haragan**
	Dr. John M. Burns **Provost**
Presentation of Doctoral Candidates	**Dr. David Schmidly, Dean of the** **Graduate School**
Presentation of Master Candidates	**Dr. David Schmidly**
Presentation of Bachelor Candidates	**Dr. John R. Abernathy, Dean of the** **College of Agricultural Sciences and** **Natural Resources** **Professor James E. White, Dean of the** **College of Architecture** **Dr. Jane Winer, Dean of the College of Arts** **and Sciences**
Recognition of Outstanding Students. Class of 1998	**Dr. John M. Burns**
Charge to the Graduates	**Dr. Donald R. Haragan**
Benediction	**The Reverend Robert Barndt**
Alma Mater	**Mr. Brent Reno** **Senior, Music Education Major**
*Recessional	**Texas Tech Brass Ensemble**

*Please remain seated during the Processional and Recessional

COLLEGE READERS

Agricultural Sciences and Natural Resources	Dr. Marvin J. Cepica
Architecture	Professor David Driskill
Arts and Sciences	Dr. Donald R. Walker
Business Administration	Dr. Robert C. Ricketts
Education	Dr. Margaret Johnson
Engineering	Dr. Theodore Wiesner
Human Sciences	Dr. Stephen R. Jorgensen
Graduate School	9:00 a.m. Dr. Troy Johnson 1:30 p.m. Dr. Monty J. Strauss

BANNER BEARERS

Agricultural Sciences and Natural Resources	Ms. Elisabet Ann Berg
Architecture	Ms. A. Denise Toungate
Arts and Sciences	Ms. Laine Elizabeth Price
Business Administration	Ms. Trudy Lynell Kellogg
Education	Ms. Christie Renea Baker
Engineering	Mr. Jeremy David McCalmont
Human Sciences	Ms. Kelly Rhea Wells
Graduate School	9:00 a.m. Mr. Derrell Hollis Moore 1:30 p.m. Ms. Marilyn A. Westfall

FACULTY BANNER BEARER

9:00 a.m	Dr. Billy E. Askins Professor College of Education
1:30 p.m.	Dr. Paul R. Vaughn Professor and Chairman Department of Agricultural Education and Communications College of Agricultural Sciences and Natural Resources

BOARD OF REGENTS

Mr. Edward E. Whitacre, Jr., Chair
Dr. Bernard A. Harris, Jr., Vice Chair
Mr. J. Robert Brown
Mr. John W. Jones
Dr. Nancy E. Jones
Dr. Carl E. Noe
Mr. James E. Sowell
Mr. J. Michael Weiss
Mr. Alan B. White

CONVOCATIONS COMMITTEE

Dr. Ronald Bremer, Chairperson	Professor Glenn Hill
Dr. Jonathan Marks, Co-Chairperson	Dr. Carole Janisch
Dr. Robert M. Bethea	Dr. Burga Jung
Dr. Ralph Bravoco	Dr. Linda Krefting
Dr. James E. Brink	Dr. Robin H. Lock
Professor Joseph Conboy	Dr. Jerry B. Matthews
Dr. Roseanna Davidson	Dr. Richard Peterson
Professor James T. Davis	Ms. Cappy Ritter
Dr. Linda Donahue	Dr. Randall Russ
Ms. Peggy Flores	Ms. Susan Norrisey
Dr. Elizabeth Fox	Dr. Al Smith
Dr. Nora Griffin-Shirley	Mr. Ben Trotter
Dr. Elizabeth Hall	Dr. Michael Verdi

ADMINISTRATIVE REPRESENTATIVES

Agricultural Sciences and Natural Resources	Ms. Ramona Johnson
Architecture	Ms. Margie Firenza
Arts and Sciences	Ms. Joyce Cline
Business Administration	Ms. Shirley Wittman
Education	Ms. Gayle Stow
Engineering	Ms. Pearl Trevino
Graduate School	Ms. Peggy Edmonson
Human Sciences	Ms. Ann Bush

Graduating Seniors of Texas Tech University who have maintained an overall grade-point average of 4.00

Zachary Querino Botone

✦

Anna Maria Dunson

✦

Kristin Ann Eimen

✦

Theresa Annette Fallin

✦

Angela Rae Fisher

✦

Ikeita Monique Cantu Hinojosa

✦

Jodi Annette Fowler Hiser

✦

Trudy Lynell Kellogg

✦

Olga Vladimirovna Popovkina

✦

Kelly Rhea Wells

COLLEGE HONOR CORDS

Agricultural Sciences and Natural Resources	Green
Architecture	White & Gold
Arts and Sciences	Royal Blue
Business Administration	Royal Blue & Gold
Education	Jade Green & Violet
Engineering	Orange
Human Sciences	Maroon

THE TEXAS TECH UNIVERSITY PRESIDENTIAL MACE

The Texas Tech University Presidential Mace is the symbolic staff of power and authority of the University. Historically, the use of the mace dates back to the Middle Ages. The Texas Tech University Mace is crowned by a flame symbolizing the Light of Knowledge. The forty pound mace is constructed of lathed and molded bronze that has been covered with a layer of 24K gold. The school crest is presented on either side directly under the flame. Hand-rubbed black walnut has been used for the connecting shafts.

✦

The mace was designed in 1990 by Robly A. Glover, an Associate Professor of Art at Texas Tech University. Mr. Glover's artwork is shown throughout the United States. His work has recently been included in the permanent collection of the Art Institute of Chicago, Chicago, Illinois.

MACE BEARER

9:00 a.m	Dr. William P. Dukes Professor Area of Finance College of Business Administration
1:30 p.m.	Dr. Gary A. Harris Professor Department of Mathematics College of Arts and Sciences

INTERNATIONAL FLAGS

From earliest times flags have served as symbols of ideals, aspirations and loyalties, representing in modern times the national states and invoking sentiments of pride and patriotism. Every flag has its own tale, with the symbols and the colors having meaning for each nation. Texas Tech University has students from every state of the United States and from more than one hundred other countries. It is with pride that the University displays the colors of those countries who have representatives among our students.

INDIVIDUAL COLLEGE RECEPTIONS
Immediately Following Ceremony

Agricultural Sciences and Natural Resources	Matador Room, University Center
Architecture	Architecture Gallery
Arts and Sciences	Hallway area in front of Room 104 in Holden Hall
Business Administration	Business Administration Rotunda
Education	Merket Alumni Center
Engineering	Engineering Center
Human Sciences	El Centro—Human Sciences Building

Arts and Sciences graduates may pick up their diplomas in Holden Hall near the South entrance (facing Will Rogers' statue).

OTHER CEREMONIES

Law School	5:00 p.m.	University Theatre
Military Commissioning	5:00 p.m.	Human Sciences, Room 169 Reception Immediately Following Commissioning

LIST OF CANDIDATES
DECEMBER 19, 1998

THE GRADUATE SCHOOL

Doctor of Education

Mildred Lucille Franse, Farwell, Texas — Educational Leadership
B.S., Eastern New Mexico University, 1969
M.A., Eastern New Mexico University, 1976
Dissertation: "An Exploratory Study of the Relationship Between Texas Administrators' Perceptions of TQM Principles and Continuous Improvement in Students' TAAS Test Scores"
Major Professors: Judith A. Ponticell and Arturo Olivarez

Phyllis Ann Karmels, West Deptford, New Jersey — Higher Education
B.S., Gwynedd-Mercy College, 1974
M.A., Villanova University, 1978
M.S.N., Villanova University, 1985
Dissertation: "Nursing Curriculum: Content Needed for Home Health Nursing Care"
Major Professors: Albert B. Smith and Susan E. Pollock

Virginia Anne Mahan, Levelland, Texas — Educational Psychology
(In absentia)
B.A., Upsala College, 1976
M.Ed., Eastern New Mexico University, 1978
Dissertation: "Heterosexism Within Educational Institutions: Coping Efforts of Lesbian, Gay, and Bisexual Students in West Texas"
Major Professor: Mary Tallent-Runnels

Derrell Hollis Moore, Abilene, Texas — Higher Education
B.B.A., Hardin-Simmons University, 1962
M.B.A., Hardin-Simmons University, 1985
Dissertation: "A Comparative Evaluation of Financial and Activity-Based Cost Accounting Systems in a Private University"
Major Professor: Albert B. Smith

Jiang Tan, Liaoning, P.R. China — Curriculum & Instruction
B.A., Liaoning Teacher's College, 1982
M.Ed., Texas Tech University, 1994
Dissertation: "Effects of Rephrasing Word-Problems on Sixth-Grade ESL and Native English-Speaking Students' Mathematics Performance and Attitudes"
Major Professors: Amie A. Mitchel Beckett and William Yun Lan

Doctor of Philosophy

Susan Beth Anders, Dallas, Texas — Business Administration
B.B.A., Southern Methodist University, 1978
M.S., University of North Texas, 1986
M.S., Texas Tech University, 1997
Dissertation: "Does the Earned Income Tax Credit Encourage or Discourage Work Effort?: An Empirical Study"
Major Professor: Robert C. Ricketts

John Joseph Anderson, Tulsa, Oklahoma — Chemical Engineering
B.S., Oklahoma State University, 1991
M.S., Oklahoma State University, 1993
Dissertation: "Vacuum Distillation Control"
Major Professor: James B. Riggs

Amit Armstrong, Rewa, India — Civil Engineering
B.S. in Engr., Awadhesh Pratap Singh Vishwavidyalaya, 1988
M.S. in C.E., Texas Tech University, 1994
Dissertation: "A Finite Difference Approach for Mathematical Simulation of Soil Vapor Extraction from the Unsaturated Zone"
Major Professor: Kenneth A. Rainwater

Virginia Suzanne Slater Balch, Portales, New Mexico — History
(In absentia)
B.A., Texas Tech University, 1989
M.A., Texas Tech University, 1991
Dissertation: "An Orderly Metropolis: The Evolution of Criminal Justice in London, 1750-1830"
Major Professor: Brian L. Blakeley

Monsicha Bejrananda, Bangkok, Thailand — Land Use Planning Mgt & Des
B.Arch., King Mongkut's Institute of Technology, 1989
Master of City and Regional Pl, Ohio State University, 1992
Dissertation: "Spatial Patterns of Shop-Houses: A Case Study of Traditional and Contemporary Shop-Houses in Southern Thailand"
Major Professor: Michael A. Jones

James Edwin Briley, III, Williamsburg, Kentucky — Business Administration
(In absentia)
B.A., Duke University, 1972
M.B.A., Eastern Kentucky University, 1979
Dissertation: "Long-Run Consistency in Mutual Fund Performance"
Major Professor: William P. Dukes

Joe Ella Cansler, Canyon, Texas — Fine Arts Interdisciplinary (Music)
B.M.Ed., West Texas A&M University, 1968
M.A., West Texas A&M University, 1970
Dissertation: "Elements of Stylistic Unity and Variety in the Solo Vocal Repertoire of Royal L. Brantley"
Major Professor: William F. Westney

Ta-Tao Chuang, Taiwan, R.O. China — Business Administration
(In absentia)
B.S., National Chung-Hsing University, 1978
M.B.A., National Chiao Tung University, 1988
M.S., Georgia State University, 1993
Dissertation: "A Conceptual Model and an Implementation of Adaptive Decision Support Systems"
Major Professor: Surya B. Yadav

Scott Keith Coupland, Littleton, Colorado — Marriage and Family Therapy
B.S., Univ of California-Davis, 1984
M.S., Friends University, 1991
Dissertation: "Effects of Couples' Perceptions of Genogram Construction on Therapeutic Alliance and Session Impact: A Growth Curve Analysis"
Major Professor: David C. Ivey

Mukaddes Darwish, Izmir, Turkey — Engineering Interdisciplin.
B.S. in Ag.E., Ataturk University, 1978
M.S. in Ag.En., Texas Tech University, 1991
Dissertation: "Process Based Aerodynamic Rougness Model for Evaporation Predictions from Free Water Surfaces"
Major Professor: John Borrelli

Betsy Dale Dunham, Arlington, Texas — Consumer Econ. & Env. Design
(In absentia)
B.S. in H.E., Oklahoma State University, 1983
M.S. in H.E., Texas Tech University, 1988
Dissertation: "Assessment of the Status of Model Building Codes in Interior Design Curricula"
Major Professor: Georgina M. Gentry

Sohail Arshed Faruqi, Lahore, Pakistan — Engineering Interdisciplin.
B.S. in Petr., University of Texas At Austin, 1992
M.S. in Petr., Texas Tech University, 1995
Dissertation: "Finite Difference Modeling of Oil Recovery by Waterflooding Using Horizontal Well Injectors"
Major Professor: John J. Day

Donna Evelyn Fletcher, Newton, North Carolina — Psychology (Experimental Psychology)
B.A., Lenoir-Rhyne College, 1994
M.A., Texas Tech University, 1996
Dissertation: "Effects of Organizational Commitment, Job Involvement, and Organizational Culture on the Voluntary Employee Turnover Process"
Major Professors: Robert W. Bell and Susan L. Kirby

Mohamed Fokar, Lubbock, Texas — Agronomy
B.S., Univ of Southwestern Louisiana, 1990
M.S., Texas Tech University, 1994
Dissertation: "Antisense-Mediated Resistance to Agrobacterium vitis"
Major Professor: Richard E. Durham

Samuel Awah Foncham, Bamenda, Cameroon — Family & Cons Sci Educ
B.S., Texas Tech University, 1988
M.Ag., Texas Tech University, 1989
Dissertation: "Attitudes Toward and Interest in Community Gardening in Two Low-Income Neighborhoods"
Major Professors: Virginia C. Felstehausen and Anna Sue Couch

John Scott Ford, McAllen, Texas — Fine Arts Interdisciplinary (Music)
B.M., Trinity University, 1971
M.A., Trinity University, 1974
Dissertation: "The 'Estudio de Arte Guitarristico' of Manuel Lopez Ramos"
Major Professor: James G. Bogle

Rajeswari Ganesan, Madras, India — Chemistry
B.S., University of Madras, 1991
M.S., Indian Institute of Technology, 1993
Dissertation: "Structure Activity Relationship Involving Chemotactic Peptide Analog Models"
Major Professor: Allan D. Headley

Jan Karen Garverick, San Antonio, Texas — Fine Arts Interdisciplinary (Music)
B.A., Stephen F. Austin State University, 1961
M.Ed., Univ of Southwestern Louisiana, 1970
Dissertation: "Selectled Pedagogical Needs of the String Class as Addressed in the Compositions of Carold Nunez"
Major Professor: Donald R. Tanner

Hayoung Gim, Seoul, Korea — Economics
B.A., Sung Kyun Kwan University, 1985
M.A., Western Illinois University, 1991
Dissertation: "Sources of Deviations From Purchasing Power Parity After Bretton Woods"
Major Professor: Ronald D. Gilbert

Doctor of Philosophy *(continued)*

María del Pilar Gómez-Gil, Puebla, Mexico — Computer Science
B.S., University de las Americas, 1983
M.S., Texas Tech University, 1991
Dissertation: "The Effect of Non-Linear Dynamic Invariants in Recurrent Neural Networks for Prediction of Electrocardiograms"
Major Professor: William J. B. Oldham

Thomas William Hainze, Lubbock, Texas — Land Use Planning Mgt & Des
B.A., University of Texas At Austin, 1970
Dissertation: "Water as a Municipal Growth Limiting Factor: Perceptions of the Growth Coaletion Compared with Other Civic Leaders in Arid Southwestern Cities"
Major Professor: Lloyd V. Urban

Shari Lyn Hogue, Whiteface, Texas — Psychology (Clinical Psychology)
B.S., Angelo State University, 1991
M.A., Texas Tech University, 1995
Dissertation: "Relationship Between Family of Origin History and Personality Pathology"
Major Professor: James R. Clopton

Michael Earnest Husband, Odessa, Texas — Engineering Interdisciplin.
B.S. in Engr., Physics, Texas Tech University, 1992
M.S. in Petr., Texas Tech University, 1993
Dissertation: "Modeling the Mobilization of Connate Water While Injecting Water to Displace Oil"
Major Professor: Scott M. Frailey

Scott Alan Hutchens, Munday, Texas — Psychology (Experimental Psychology)
B.A., Texas Tech University, 1993
M.A., Texas Tech University, 1995
Dissertation: "Maintaining Text Coherence During Reading"
Major Professor: Roman M. Taraban

Peter John Jankowski, Sycamore, Illinois — Marriage and Family Therapy
B.S., Grace College, 1990
M.A., Grace College, 1993
M.S., Northern Illinois University, 1994
Dissertation: "A Qualitative Study of How Marriage and Family Therapists Make Clinical Judgments"
Major Professor: David C. Ivey

Kankanamalage Geethani Jayakody, Anuradhapura, Sri Lanka — Civil Engineering
B.S. in Engr., University of Peradeniya, 1990
M.Engr., University of Tokyo, 1994
Dissertation: "Development and Validation of a System Identification Methodology for the Characterization of Contaminated Sites"
Major Professor: Priyantha W. Jayawickrama

Athukoralage Saman Jayantha, Anuradhapura, Sri Lanka — MechanicalEngineering
B.S. in Engr., University of Peradeniya, 1984
M.Engr., University of Tokyo, 1995
Dissertation: "Spectral Analysis of Pressure Fluctuations on Bluff Bodies Placed in Turbulent Flows"
Major Professor: Sivapathasund A. Parameswaran

Matthew Carl Johnson, Essex, Iowa — Psychology (Experimental Psychology)
B.S., Northwest Missouri State Univ, 1991
M.S., Emporia State University, 1993
Dissertation: "The Role of Conceptual Structure and Background Knowledlge in Category Learning"
Major Professor: Roman M. Taraban

Farid Uddin Khan, Dhaka, Bangladesh — Engineering Interdisciplin.
B.S. in M.E., Bangladesh University of Engineering & Technology, 1991
M.S. in Petr., Texas Tech University, 1993
Dissertation: "Mathematical Simulation of Horizontal Well Performance in Naturally Fractured Rock Formations"
Major Professor: John J. Day

Lynnea Ann Chapman King, South Fork, Colorado — English
B.A., Wayland Baptist University, 1990
M.A., Texas Tech University, 1993
Dissertation: "The Myth of Generation X: Film, Media, Literature, and the Evolution of a Generation"
Major Professor: Michael K. Schoenecke

John Fannin Leckie, Davis, California — Psychology (Counseling Psychology)
(In absentia)
B.A., Univ of California-Davis, 1990
Dissertation: "The Effect of a Computer-Assisted Career Guidance Program and a Vicarious Experience on Career Decision-Making Self-Efficacy"
Major Professor: Christine C. Robitschek

Chien-Ting Lin, Sydney, Australia — Business Administration
B.S., Pennsylvania State University, 1988
M.B.A., University of Houston, 1992
Dissertation: "Misspecification of Capital Asset Pricing Model (CAPM): Implication for Size and Book-To-Market Effects"
Major Professor: Robert S. Sears

Pamela Renee Lockwood-Cooke, Lorenzo, Texas — Mathematics
B.S., Texas Tech University, 1992
M.S., Texas Tech University, 1994
Dissertation: "A Three-Dimensional Dynamic Model for the Rotation of the Eye in Human Binocular Vision"
Major Professors: Clyde F. Martin and Lawrence Schovanec

Celia López-González, Mexico City, Mexico — Biology
(In absentia)
B.S., Escuela Nacional de Ciencias Biologicas, 1990
M.S., Texas Tech University, 1994
Dissertation: "Systematics and Zoogeography of the Bats of Paraguay"
Major Professor: Robert D. Owen

Anne Marie Terry Macy, Vermillion, South Dakota — Economics
B.A., University of South Dakota, 1992
M.A., Texas Tech University, 1996
Dissertation: "The Impact of Pharmaceutical Mergers on Economic Agents"
Major Professor: Eleanor T. vonEnde

Thomas Franklin Madison, San Angelo, Texas — Business Administration
B.A., University of Texas At Austin, 1972
B.B.A., Angelo State University, 1989
M.B.A., Angelo State University, 1994
Dissertation: "Downsizing, Efficiency, and Profitability: An Empirical Study of Manufacturers"
Major Professor: Donald K. Clancy

Lynda Ross McBride, Albuquerque, New Mexico — Human Devlmnt. & Family Stds
B.A., University of Texas-Pan American, 1987
M.A., University of New Mexico, 1993
Dissertation: "A Comparison of Postformal Operations in Diverse Adult Populations: Contrasting African Americans and Standard-Average-European Americans"
Major Professor: Gwendolyn T. Sorell

Dean Bruce McIntyre, Lubbock, Texas — Fine Arts Interdisciplinary (Music)
B.A., Eastern New Mexico University, 1978
M.M., California State Univ-San Bernar, 1993
Dissertation: "Baroque and Classical Style in the Selected Organ Works of the Bachschule"
Major Professor: Wayne C. Hobbs

João Alves de Oliveira, Rio de Janeiro, Brazil — Zoology
(In absentia)
M.S., University Federal Do Rio de Janeiro, 1989
M.S., University Federal Do Rio de Janeiro, 1992
Dissertation: "Morphometric Assessment of Species Groups in the South-American Rodent Genus Oxymycterus (Sigmodontinae), with Taxonomic Notes Based on the Analysis of Type Material"
Major Professor: Richard E. Strauss

John Anglin Peppers, Calion, Arkansas — Biology
B.S., Univ of Arkansas At Little Rock, 1991
M.S., University of Memphis, 1994
Dissertation: "A Meiotic Analysis of the Genus Reithrodontomys in the United States"
Major Professor: Raymond C. Jackson

Charles Wilkins Pickeral, Charlottesville, Virginia — Fine Arts Interdisciplinary (Music)
(In absentia)
B.M., James Madison University, 1983
M.M., Northern Illinois Univérsity, 1989
Dissertation: "The Masses of Mary Lou Williams: The Evolution of a Liturgical Style"
Major Professor: Wayne C. Hobbs

Mohammed Raonak-Uz-Zaman, Dhaka, Bangladesh — Electrical Engineering
B.S. in E.E., Bangladesh University of Engineering & Technology, 1991
M.S. in E.E., Texas Tech University, 1994
Dissertation: "Applications of Neural Networks in Computer Go"
Major Professor: Donald C. Wunsch

Margaret Lynn Rogers, Buffalo, New York — Cloth.,Text. & Merchandising
B.S. in Ed., State Univ of NY At Buffalo, 1978
M.S., Oklahoma State University, 1982
Dissertation: "An Exploration of Factors Affecting Customer Satisfaction with Selected History Museum Stores"
Major Professor: Samina A. Khan

César Mario Rostagno, Puerto Madryn, Argentina — Range Science
(In absentia)
B.S., National University of Cordoba, 1974
M.S., Texas Tech University, 1984
Dissertation: "Biosolids Application on Southwest Texas Rangelands: Its Influence on the Soil and Sediment Properties and on Runoff Water Quality"
Major Professor: Ronald E. Sosebee

Dona June Roush, Edmond, Oklahoma — Marriage and Family Therapy
B.A., Texas Tech University, 1970
M.L.S., University of Oklahoma, 1971
M.Ed., Texas Tech University, 1990
Dissertation: "A Qualitative Study of Sex Abuse Survivors' Experience of Confronting the Perpetrator"
Major Professor: Karen S. Wampler

Thomas J. Salb, Hobbs, New Mexico — Psychology (Counseling Psychology)
B.S., Eastern New Mexico University, 1970
M.S., Eastern New Mexico University, 1972
M.A., Texas Tech University, 1993
Dissertation: "Disaster Workers: Coping and Hardiness"
Major Professor: Stephen W. Cook

Doctor of Philosophy *(continued)*

Natalie Marie Tarenko, Lubbock, Texas — English
B.A., Arizona State University, 1982
M.F.A., Arizona State University, 1986
Dissertation: "From Chronicles to Computers: Tracing the Informatics of Scribal Characters in Literature"
Major Professor: Wendell M. Aycock

Thanh Nhon Tran, Flossmoor, Illinois — Mechanical Engineering
B.S. in Engr., Tokyo Institute of Technology, 1975
M.S. in Engr., Purdue University, 1993
Dissertation: "Pressure Drop and Heat Transfer Study of Two-Phase Flow in Small Channels"
Major Professor: Ming-Chien Chyu

Tina Lynn Ware, Grand Prairie, Texas — Spanish
B.A., Baylor University, 1993
M.A., Baylor University, 1994
Dissertation: "A Comparison of Audio-Only Versus Audio-Visual Second Language Instruction in First-Year University-Level Spanish"
Major Professor: Rosslyn M. Smith

Marilyn Agnes Westfall, Youngstown, Ohio — English
B.A., Youngstown State University, 1978
M.A., Texas Tech University, 1991
Dissertation: "Quartet in Blue: A Collection of Fiction"
Major Professor: Douglas E. Crowell

Craig Graham White, Lubbock, Texas — Business Administration
(In absentia)
B.B.A., Texas A&M University, 1989
M.S. in Acct., Texas Tech University, 1990
Dissertation: "The Response of Stock Returns to Unexpected Earnings Under Different Capital Gains and Ordinary Tax Rates: An Analysis Based on Ohlson Valuation Model"
Major Professor: Robert C. Ricketts

Michelle May White, Ottawa, Kansas — Engineering Interdisciplin.
B.S. in E.E., Kansas State University, 1986
M.S., Univ of Southern California, 1989
Dissertation: "Refinement of the Requirement Definition Concept in System Development"
Major Professors: Edgar A. O'Hair and Donald L. Gustafson

Young-Sun Yim, Seoul, Korea — Animal Science
(In absentia)
B.S., Kon-Kuk University, 1990
M.S., Kon-Kuk University, 1992
Dissertation: "Identification and Characterization of Molecular Genetic Differences Among Bos indictus x Bos taurus Feedlot Cattle"
Major Professor: Andy D. Herring

Master of Agriculture

Melissa Diane Askew, Lubbock, Texas — Agriculture
B.A., University of Oklahoma, 1994
non-thesis

Master of Architecture

David Alvarez, El Paso, Texas — Architecture (Professional)
non-thesis

John Brandon Anderson, Amarillo, Texas — Architecture (Professional)
150 Hour Program, Texas Tech University, 1998
non-thesis

Mark Anthony Diaz, Omaha, Nebraska — Architecture (Professional)
B.S., Univ of Nebraska at Lincoln, 1993
non-thesis

Kenneth Larry Elwood, Huntley, Illinois — Architecture
B.Arch., Texas Tech University, 1991
Thesis: "Post-Demolition Preservation: Reclaiming Lost Architecture"

Jeffrey Steven Golden, Newport Beach, California — Architecture (Professional)
non-thesis

Michelle Sharon Hainze, Lubbock, Texas — Architecture (Professional)
B.A., University of Houston-Clear Lake, 1979
non-thesis

Michael A. Kawecki, Lubbock, Texas — Architecture (Professional)
non-thesis

Robert Christopher Tisdel, Kingsland, Texas — Architecture (Professional)
non-thesis

Master of Art Education

Carol Louise Bullard, Snyder, Texas — Art Education
B.A., Univ of California-Santa Barbara, 1972
B.A., Univ of California-Santa Barbara, 1973
non-thesis

Master of Arts

Mysti Brooke Allen, Sundown, Texas — Mathematics
(In absentia)
B.S., Angelo State University, 1997
non-thesis

Olga Victorovna Babaeva, Petropavlovsk, Kazakhstan — History
B.A., Petropavlovsk Institute of Education, 1995
Thesis: "Social Contract in Early Modern France, Germany, Poland, and Russia: A Comparison"

Mary Kristin Bade, College Station, Texas — Counseling Psychology
(In absentia)
B.A., Texas A&M University, 1994
non-thesis

Barbara Boyer, Lubbock, Texas — Romance Languages (French)
B.A., Universite De Provence (Univ. D'Aix-Marseille), 1996
Thesis: "Les symboles dans l'oeuvre d'Albert Camus: Une perspective psychanalytique"

Eric Douglas Brooks, Lexington, Kentucky — Museum Science
(In absentia)
B.A., Miami University, 1991
Thesis: "Analysis of the Egyptian Material in the Collections of the Museum of Texas Tech University"

Cecilia Annette Carter, Lubbock, Texas — Museum Science
B.F.A., University of Texas At Austin, 1990
non-thesis

Jodi Lynette Cates, Amarillo, Texas — Interdisciplinary Studies
(In absentia)
B.B.A., Texas Tech University, 1994
non-thesis

Nelda Melissa Chavez, Houston, Texas — Experimental Psychology
(In absentia)
B.A., Baylor University, 1995
non-thesis

Robin Lynn Chouanard, Minnetonka, Minnesota — Museum Science
(In absentia)
B.A., Augustana College, 1994
non-thesis

Burrell Cleveland, El Paso, Texas — History
B.A., Texas Tech University, 1993
non-thesis

Adelaida Cortijo, Lubbock, Texas — Romance Languages (Spanish)
(In absentia)
B.A., Complutense University of Madrid, 1994
Thesis: "El Principe Perseguido de Tres Ingenios, Una Edicion Modernizada"

Traci Lanette Crawford, Gruver, Texas — Mathematics
B.A., Texas Tech University, 1997
non-thesis

Charles Lawrence Ehrenfeld, Lubbock, Texas — Interdisciplinary Studies
B.A., Univ of Arkansas, 1983
non-thesis

Maesa Vivian Eitouni, Katy, Texas — German
B.A., Texas A&M University, 1994
non-thesis

Guadalupe Escamilla, Laredo, Texas — Experimental Psychology
(In absentia)
B.S., Texas A&M University, 1994
non-thesis

Angela Jo Fenn, Eaton Rapids, Michigan — Museum Science
(In absentia)
B.A., Adrian College, 1992
non-thesis

Todd Anthony Gies, Maitland, Florida — Museum Science
(In absentia)
B.A., Auburn University, 1996
non-thesis

Heather Laura Haas, La Habra, California — Psychology
(In absentia)
B.A., Univ of California-San Diego, 1995
non-thesis

Britney Joan Hager, Irving, Texas — Museum Science
(In absentia)
B.S., Texas Tech University, 1995
Thesis: "A Policy Guideline for the Distribution of Non-Renewable Frozen Tissues in Museums"

Vinnie Gary Harris, Gold Hill, Oregon — Communication Studies
(In absentia)
B.A., Texas Tech University, 1995
non-thesis

Steven Keary Hyman, Lubbock, Texas — Philosophy
B.A., Texas Tech University, 1994
non-thesis

Marcus Wayne Jenkins, Merkel, Texas — Philosophy
(In absentia)
B.A., Angelo State University, 1996
non-thesis

Master of Arts *(continued)*

Linda Ann Johnson, Levelland, Texas — Museum Science
B.A., Texas Tech University, 1995
non-thesis

Jolie Vanessa Justus, Amarillo, Texas — Romance Languages (French)
B.A., Texas Tech University, 1996
non-thesis

Juliana Lilly, San Antonio, Texas — Sociology
B.A., Texas Tech University, 1995
non-thesis

Shu-Chuan Lin, Chia-Yi, Taiwan — Mass Communications
B.A., Soochow University, 1993
Thesis: "The Image of China in Three U.S. Newspapers from 1989-1996"

Shaun Allen Long, Lubbock, Texas — Experimental Psychology
B.A., Texas Tech University, 1996
non-thesis

Patrick Henry Maille, Schenectady, New York — History
B.A., Texas Tech University, 1994
Thesis: "Early Christianity and the Family"

Maria Rosario Matz, Cadiz, Spain — History
(In absentia)
B.A., Complutense University of Madrid, 1993
Thesis: "Spanish Indian Policy in the Internal Provinces, 1765-1786"

Kyle Stephen McQuilkin, San Antonio, Texas — Museum Science
B.F.A., Univ of Texas At San Antonio, 198"
Thesis: "An Articulated Phytosaur Skeleton: Preparation Techniques from Field to Exhibit"

Ryan Saxon Montcalm, Mansfield, Louisiana — German
B.A., Centenary College of Louisiana, 1996
non-thesis

Michael Charles Moore, Searcy, Arkansas — Psychology
(In absentia)
B.A., Harding University, 1996
non-thesis

David Scott Munson, Mission, Kansas — Museum Science
(In absentia)
B.S. in Ed., Pittsburg State University, 1989
non-thesis

Kenneth Paul Pace, Idalou, Texas — Economics
B.A., Texas Tech University, 1996
non-thesis

Adriana Alice Panturu, Bucharest, Romania — Mass Communications
M.S., Polytechnic Institute of Bucharest, 1986
Thesis: "Professional and Ethical Values of Central Eastern European Contributors to CNN World Report and of United States Journalists"

Thomas Harlan Payton, Post, Texas — History
(In absentia)
B.S., Texas Tech University, 1989
non-thesis

Alma Cordero Morales Potter, San Antonio, Texas — Mathematics
(In absentia)
B.A., Our Lady of the Lake Univ-San Antonio, 1995
non-thesis

Ronald Allen Power, Richardson, Texas — History
B.A., Texas A&M University, 1996
Thesis: "Protecting Texas Forests: The Texas Foresty Association, 1914-1997"

Sharon Dianne Sarles, Austin, Texas — Sociology
B.A., University of Texas At Austin, 1986
M. of Theology, Austin Presbyterian Theo Semin, 1989
Thesis: "Secularization and Sacralization: A Comparative Longitudinal Analysis of the Religious Publications of Two Denominations"

Timothy John Thomas, Plano, Texas — History
B.A., Texas Tech University, 1993
Thesis: "Searching for Balance: President Harry S. Truman, The Fair Deal, and National Defense Planning, 1945-1950"

Tufan Suha Tiglioglu, Lubbock, Texas — Economics
(In absentia)
B.S., Istanbul Technical University, 1986
non-thesis

Paul Dave Whittaker, Donalsonville, Georgia — Psychology
(In absentia)
B.S., Georgia College, 1996
non-thesis

Hope Williams, Lubbock, Texas — Technical Communications
(In absentia)
B.S., Webster University, 1996
Thesis: "The Study and Application of a Mulit-Purpose Document"

King-To Yeung, Mangilao, Guam — Sociology
(In absentia)
B.A., University of Guam, 1996
Thesis: "Gay Fraternities in a Double World: Implication for the Gay Movement"

Ginger Michelle Young, Bushnell, Illinois — Museum Science
B.A., Beloit College, 1996
non-thesis

Master of Business Administration

Osman Burak Acar, Ankara, Turkey — General Business
B.S., Bilkent University, 1996
non-thesis

Jeffrey Todd Boeckman, Amarillo, Texas — General Business
(In absentia)
B.B.A., Texas Tech University, 1992
non-thesis

Rupak Bose, Calcutta, India — General Business
Bachelor of Engineering, Birla Institute Tech & Science, 1996
non-thesis

Louis Nelson Brown, III, Waxahachie, Texas — General Business
B.A., University of Texas At Austin, 1994
non-thesis

Brandon Dewayne Daniel, Whiteface, Texas — General Business
B.A., Texas Tech University, 1996
non-thesis

Marcel Patric Denzer, Dusseldorf, Germany — General Business
B.S., The University of Buckingham, 1996
non-thesis

Richard Marion Dopson, Austin, Texas — General Business
(In absentia)
B.B.A., Texas Tech University, 1991
non-thesis

James Matthew Driskill, Lubbock, Texas — General Business
B.B.A., Texas Tech University, 1984
non-thesis

Karim Elhnot, Casablanca, Morocco — General Business
B.B.A., Ecole Superieure De Gestion, 1995
non-thesis

Stacey L. Fort, Center Point, Texas — General Business
(In absentia)
B.S., Texas A&M University, 1997
non-thesis

Jeffrey Sean Harper, Arlington, Texas — General Business
B.B.A., Texas Tech University, 1994
non-thesis

William C. Harriger, Lubbock, Texas — General Business
B.A., McMurry University, 1982
J.D., Texas Tech Univ School of Law, 1984
non-thesis

Kendal Gray Hester, Tomball, Texas — General Business
B.B.A., Texas Tech University, 1997
non-thesis

Angela R. Hohensee, Miles, Texas — General Business
(In absentia)
B.S., Texas A&M University, 1997
non-thesis

Travis Charles Hunter, Jr., Hawton, Oklahoma — General Business
B.A., Cameron University, 1996
non-thesis

Tienneke Irmayani, Jakarta, Indonesia — General Business
B.S., Gadjah Mada University, 1992
M.S. in Acct., Texas Tech University, 1997
non-thesis

Jason Don Ivy, Rowlett, Texas — General Business
B.B.A., Abilene Christian University, 1997
non-thesis

Barrett Thomas Lynch, Amarillo, Texas — General Business
B.B.A., West Texas A&M University, 1997
non-thesis

Dawnda Deann Magby, Lazbuddie, Texas — General Business
B.B.A., Texas Tech University, 1998
non-thesis

John Pennington McAlexander, Duncanville, Texas — General Business
B.B.A., Texas Tech University, 1997
non-thesis

Jairo Enrique Mejia, Bogota, Colombia — General Business
B.S. in C.E., Universidad de los Andes, 1993
M.S. in C.E., Universidad de los Andes, 1994
non-thesis

Victor Eugene Moore, III, Midland, Texas — General Business
B.B.A., Texas Tech University, 1997
non-thesis

Nathaniel Quentin Moran, Whitehouse, Texas — General Business
B.A., Texas Tech University, 1997
non-thesis

Gerald Mussnig, Leibnitz, Austria — General Business
B.A., Karl Franzens University, 1997
non-thesis

John Richards Oliver, Fort Worth, Texas — General Business
B.S., Texas A&M University, 1996
non-thesis

Master of Business Administration *(continued)*

Laura Beth Pearson, Spearman, Texas — General Business
B.B.A., Texas Tech University, 1997
non-thesis

Christopher Lee Robinson, Kingsville, Texas — General Business
B.B.A., Texas A&M University-Kingsville, 1995
non-thesis

Claude Ray Stricklin, Slaton, Texas — General Business
(In absentia)
B.S., University of Alabama, 1972
M.S., University of Puget Sound, 1974
M.A., University of Texas At Austin, 1992
Ph.D., Texas A&M University, 1996
non-thesis

Rachel A. Triplett, Katy, Texas — General Business
B.S., Texas Tech University, 1997
non-thesis

Michael Christian Walker, Plano, Texas — General Business
B.B.A., Texas Tech University, 1997
non-thesis

Stacy Don Williams, Denver City, Texas — General Business
(In absentia)
B.B.A., Texas Tech University, 1997
non-thesis

Yan-Ling Yin, Ningxia, P.R. China — General Business
B.A., Xi'an Foreign Language Institute, 1982
non-thesis

Louis William Zona, Lubbock, Texas — General Business
B.B.A., Texas Tech University, 1995
non-thesis

Master of Education

Cathy Renee McGregor Anderson, Lubbock, Texas — Language/Literacy Education
(In absentia)
B.A., Texas Tech University, 1993
non-thesis

Niki Jill Atha, Levelland, Texas — Higher Education
B.A., Western Illinois University, 1997
non-thesis

Michelle Dianne Baker, Lubbock, Texas — Language/Literacy Education
(In absentia)
B.B.A., Wayland Baptist University, 1991
Thesis: "An Exploratory Study of Emergent Literacy Development as Demonstrated Through Play"

Kimberly Lynn Bilica, Martins Ferry, Ohio — Curriculum & Instruction
(In absentia)
B.A., Ohio Wesleyan University, 1992
non-thesis

Sherry Lyn Bost, Lubbock, Texas — Special Education
B.S. in H.E., Texas Tech University, 1973
non-thesis

Michael David Brennan, Clovis, New Mexico — Counselor Education
B.S., Eastern New Mexico University, 1996
non-thesis

Lauren Marcelle Brown, Lubbock, Texas — Counselor Education
B.F.A., Texas Tech University, 1988
M.Ed., Texas Tech University, 1991
non-thesis

Kurt Alan Bruder, Jackson, Michigan — Counselor Education
(In absentia)
M.A., Michigan State University, 1987
Ph.D., University of Texas At Austin, 1994
non-thesis

Billy Clinton Caudle, Paris, Texas — Counselor Education
B.A., Oklahoma Baptist University, 1976
non-thesis

William Joseph Chambers, Aspermont, Texas — Higher Education
(In absentia)
B.S., Texas Tech University, 1996
non-thesis

Mandi Leigh Chapman, Crowell, Texas — Special Education
B.S., McMurry University, 1996
non-thesis

Shari Ann Sanzotera Cobb, Lubbock, Texas — Special Education
(In absentia)
B.S. in I.T., Texas Tech University, 1992
B.A., Texas Tech University, 1992
non-thesis

Michael Layer Craig, Cuba, New Mexico — Special Education
(In absentia)
B.A., Mid-America Nazarene College, 1971
M.A., Western New Mexico University, 1991
M.A., Western New Mexico University, 1993
M.A., Western New Mexico University, 1996
non-thesis

Kelly Ann Culbert Dean, Midland, Texas — Elementary Education
(In absentia)
B.S., Texas Tech University, 1996
non-thesis

Richard Eubank, Childress, Texas — Special Education
(In absentia)
B.S., Texas Tech University, 1991
non-thesis

Kevin Lane Galloway, Abernathy, Texas — Elementary Education
(In absentia)
B.S., Texas Tech University, 1991
non-thesis

Cordella Ruth Garner, Abilene, Texas — Language/Literacy Education
B.A., Texas A&M University, 1965
non-thesis

Andrew Wray Griffith, Lubbock, Texas — Educational Leadership
B.A., Texas Tech University, 1993
non-thesis

Shane Haberstroh, Lubbock, Texas — Counselor Education
B.A., National-Louis University, 1996
non-thesis

Courtney McCoy Hansen, Rockwall, Texas — Curriculum & Instruction
(In absentia)
B.A., Texas Tech University, 1997
non-thesis

Amy Marie Harris, Carlsbad, New Mexico — Elementary Education
B.A., Texas Tech University, 1997
non-thesis

Laura Kelly Wood Hatch, Lubbock, Texas — Elementary Education
B.B.A., Texas Tech University, 1993
non-thesis

Neomi Cruz Hernandez-Brock, Munday, Texas — Language/Literacy Education
B.S., Texas Tech University, 1994
non-thesis

Matthew James Hiser, Frisco, Texas — Counselor Education
B.S., Texas Tech University, 1996
non-thesis

Dennis G. Holt, Plainview, Texas — Educational Leadership
B.S. in Ed., Texas Tech University, 1985
non-thesis

Christy Nicole Hopkins, Chillicothe, Texas — Language/Literacy Education
(In absentia)
B.A., Texas Tech University, 1996
non-thesis

Debra Lyn Hunley, Lubbock, Texas — Special Education
B.S. in H.E., Texas Tech University, 1975
non-thesis

Terry Lee Jackson, Lubbock, Texas — Special Education
B.A., University of Texas At Arlington, 1982
non-thesis

Jalayne Giles Jermain, Pleasant Grove, Texas — Special Education
(In absentia)
B.A., Westminster College of Salt Lake, 1991
non-thesis

Mary Katherine Kallus, Midland, Texas — Language/Literacy Education
B.A., Texas Tech University, 1993
non-thesis

Mary NJambi Kunyiha, Nairobi, Kenya — Educational Leadership
B.S., Egerton University, 1993
non-thesis

Melody Dawn Carman Libby, Abernathy, Texas — Counselor Education
B.S., Texas Tech University, 1993
non-thesis

Patricia Jane Shepard Mandrell, Hale Center, Texas — Counselor Education
B.S., Texas Tech University, 1996
non-thesis

Jill Denice Mariott, Lubbock, Texas — Counselor Education
B.A., Texas Tech University, 1992
non-thesis

Robby Dwayne McCasland, Midland, Texas — Instructional Technology
(In absentia)
B.B.A., Texas Tech University, 1991
non-thesis

Jill Marie McDougall, Potsdam, New York — Language/Literacy Education
B.A., State Univ of NY Col At Potsdam, 1992
non-thesis

Elizabeth Pauline McKeller, Lubbock, Texas — Counselor Education
(In absentia)
B.A., Wheaton College, 1991
non-thesis

Christine Maria Michaud, Wiesbaden, Germany — Counselor Education
B.A., University of South Florida, 1993
non-thesis

Amanda Jane Molina, Lubbock, Texas — Counselor Education
B.A., Texas Tech University, 1975
non-thesis

Master of Education *(continued)*

Penelope Ruth Moss, Lubbock, Texas — Counselor Education
B.A., Mercer University in Atlanta, 1976
M.S., University of Texas At Arlington, 1986
M.A., Southwestern Baptist Theological Seminary, 1986
non-thesis

Harriet Lee Norton, Rockwall, Texas — Elementary Education
B.S., Texas Tech University, 1997
non-thesis

Douglas Palmquist, Macungie, Pennsylvania — Higher Education
B.S. in Ed., Univ of Tennessee At Knoxville, 1993
non-thesis

Miri Park, Pusan, South Korea — Language Literacy Education
B.A., Kosin University, 1995
non-thesis

Christina Yvonne Quink, Sweet Home, Oregon — Special Education
B.A., University of Wyoming, 1993
non-thesis

Laura Jane Rini, Lubbock, Texas — Instructional Technology
(In absentia)
B.S., Univ of Maryland At College Park, 1996
non-thesis

Kimberley Michelle Kouris Roark, Lubbock, Texas — Special Education
B.S., Texas Tech University, 1996
non-thesis

Beverly Vail Sand, East Aurora, New York — Curriculum & Instruction
(In absentia)
B.F.A., Illinois State University, 1973
Thesis: "Grade Level and Domain Independence of K-12 Science and Math Teachers' Epistemological Processes"

Janice Sue Scott, Shiprock, New Mexico — Special Education
(In absentia)
B.S., Eastern New Mexico University, 1987
M.S., Utah State University, 1994
non-thesis

Mary Joan Shaver, Dallas, Texas — Special Education
(In absentia)
B.M., University of Texas At El Paso, 1965
non-thesis

Jan Pasqua Spears, Canyon, Texas — Instructional Technology
(In absentia)
B.S., West Texas A&M University, 1984
M.S., West Texas A&M University, 1986
non-thesis

Jason Lee Stone, Lubbock, Texas — Counselor Education
B.A., Texas Tech University, 1993
non-thesis

Vanessa Belinda Stuart, Lubbock, Texas — Curriculum & Instruction
B.S., West Texas A&M University, 1992
non-thesis

Claudia Jean Juncker Thorvilson, Lubbock, Texas — Counselor Education
B.A., Luther College, 1974
non-thesis

Serena Lynn Voss, Post, Texas — Counselor Education
B.S. in Ed., Texas Tech University, 1991
non-thesis

Rick Dale West, Lubbock, Texas — Counselor Education
B.S. in H.E., Texas Tech University, 1990
non-thesis

Amanda Leigh Shaw Williams, Lubbock, Texas — Educational Psychology
B.S., Texas Tech University, 1996
non-thesis

Kim D. Williams, Lubbock, Texas — Special Education
B.S. in Ed., Texas Tech University, 1981
non-thesis

Marianne Wynn, Lubbock, Texas — Counselor Education
B.S. in Ed., Texas Tech University, 1990
non-thesis

Master of Engineering

Robert C. Frink, Plano, Texas — Engineering
B.S. in E.E., University of Houston, 1973
non-thesis

Jeffrey Andrew Gilstrap, Allen, Texas — Engineering
B.S. in M.E., Southern Methodist University, 1989
non-thesis

Kent Stephen McClurg, Plano, Texas — Engineering
B.S., Jacksonville University, 1978
non-thesis

Gregory Wayne Simpson, Plano, Texas — Engineering
(In absentia)
B.S., University of Alabama, 1975
B.S., Auburn University, 1983
non-thesis

Master of Environmental Engineering

Michelle Leanne Horne, Lubbock, Texas — Environmental Engineering
non-thesis

Master of Fine Arts

Maria Isabel Benitez, San Antonio, Texas — Theatre Arts
B.B.A., Angelo State University, 1992
Thesis: "Scene Design for Red Noses"

Paula Josie Rodriguez, San Antonio, Texas — Theatre Arts
(In absentia)
B.F.A., Southwest Texas State University, 1989
Thesis: "Laughing At the Devil: The Humor of Red Noses by Peter Barnes"

Master of Music

Ramón Alberto Araújo, Mayaguez, Puerto Rico — Music Theory
(In absentia)
B.A., Adventist Univ of the Antilles, 1996
Thesis: "The Crucifixion for Orchestra"

Donna Michelle Maher, Colorado Springs, Colorado — Music Performance
(In absentia)
B.M., Arizona State University, 1993
non-thesis

Master of Music Education

Evelyn Rosario Araújo, Mayaguez, Puerto Rico — Music Education
(In absentia)
B.A., Adventist Univ of the Antilles, 1995
non-thesis

Master of Public Administration

Bill D. Decker, Tyler, Texas — Public Administration
B.S., University of Southern Indiana, 1990
M.A., Baylor University, 1992
M.S., Michigan State University, 1995
non-thesis

Josie Michelle Hinderliter, Portales, New Mexico — Public Administration
(In absentia)
B.S., Eastern New Mexico University, 1994
non-thesis

David Kipchoge Hutchinson, Lubbock, Texas — Public Administration
(In absentia)
B.A., University of San Diego, 1992
non-thesis

Gloria Tercero Levario, Pecos, Texas — Public Administration
B.A., Texas Tech University, 1996
non-thesis

Michael Jay Reilly, II, Huntington Valley, Pennsylvania — Public Administration
(In absentia)
B.A., Villanova University, 1987
non-thesis

Master of Science

Shellie Pauline Adams, Houston, Texas — Sports Health
B.S., Texas Tech University, 1996
non-thesis

Cory Eugene Alexander, Lubbock, Texas — Business Administration
B.B.A., Texas Tech University, 1997
non-thesis

Vasundhara Andolu, Hyderabad, India — Computer Science
B.S. in Engr., Osmania University, 1997
non-thesis

Talah Sulieman Arabiyat, Jordan — Agricultural & Applied Econ
B.S., University of Jordan, 1993
Thesis: "Agricultural Sustainability in the Texas High Plains: The Role of Advanced Irrigation Systems and Biotechnology"

Eric Wayne Barefield, Beaumont, Texas — Statistics
(In absentia)
B.A., Schreiner College, 1995
Thesis: "Nonparametric Methods for Pairwise Comparisons in the Randomized Complete Block Design"

Amber Reanea Lehmann Barham, New Braunfels, Texas — Agricultural Education
B.S., Texas Tech University, 1997
Thesis: "Student Perceptions of the Quality and Effectiveness of Distance Education Systems"

Brett Lee Barham, Carrizozo, New Mexico — Animal Science
B.S., Texas Tech University, 1996
Thesis: "An Evaluation of Genetic Differences for Feedlot Performance and Carcass Traits in Beef Cattle"

William D. Becker, Slaton, Texas — Crop Science
B.S., Texas Tech University, 1984
Thesis: "Evaluation of Seed Applied Plant Growth Regulators on Cotton Germination, Emergence, and Growth"

Master of Sciene *(continued)*

John Earl Blesi, Arlington, Texas — Family Financial Planning
B.B.A., Texas Tech University, 1997
non-thesis

Garry Lenn Block, Block, Kansas — Mathematics
B.A., Concordia College-Nebraska, 1993
B.S. in Ed., Concordia College-Nebraska, 1994
Thesis: "Deterministic and Stochastic Nonlinear Age-Structured Models"

Jane Ann Bondurant, Gladewater, Texas — Agricultural & Applied Econ
(In absentia)
B.S., Texas A&M University, 1997
Thesis: "An Analysis of the Cottonseed Pricing Structure in Texas"

Teril Bundrant, Portales, New Mexico — Interdisciplinary Studies
(In absentia)
B.S., Eastern New Mexico University, 1975
Ph.D., Texas Tech University, 1987
non-thesis

Elizabeth Jane Calligan, Wichita Falls, Texas — Food and Nutrition
(In absentia)
B.S., Texas Woman's University, 1997
non-thesis

Alicia Kay Campbell, Dowling, Michigan — Interdisciplinary Studies
(In absentia)
B.S., Central Michigan University, 1991
non-thesis

Janee LaRose Campbell, Oregon — Crop Science
B.S., Oregon State University, 1993
Thesis: "Cloning of Novel Low and High Molecular Weight Heat Shock Genes in Wheat"

Cynthia Ann Caplen, Staunton, Virginia — Biology
(In absentia)
B.S., Old Dominion University, 1994
Thesis: "Allozyme Investigation of the Isoetes riparia Allotetraploid Complex"

Mark Allen Castleberry, Tulia, Texas — Agricultural & Applied Econ
(In absentia)
B.S., Texas A&M University, 1996
Thesis: "Economics of Cotton Gin Waste as a Roughage Ingredient in Beef Feedlot Rations on the Texas High Plains"

Daniel Ta-Jen Chang, Houston, Texas — Chemistry
(In absentia)
B.A., Rice University, 1993
Thesis: "A Systematic Study of Basis Set Superposition Error in the Interaction Energy of Two Hydrogen Molecules"

Lewis James Chase, Midland, Texas — Physical Education
(In absentia)
B.B.A., Texas Christian University, 1970
non-thesis

Ping Chen, Taipei, Taiwan, R.O. China — Restaurant,Hotel,Inst Mgmt
(In absentia)
B.S., Fu Jen Catholic University, 1995
non-thesis

Jason Ray Clemmons, Lubbock, Texas — Physical Education
(In absentia)
B.S., Texas Tech University, 1994
non-thesis

James Neal Conn, Three Rivers, Texas — Mathematics
(In absentia)
B.S., Texas Tech University, 1996
Thesis: "Representations of Control Systems Using Java"

James Harwin Cook, Fort Worth, Texas — Business Administration
B.B.A., Texas Tech University, 1997
non-thesis

Alan Blake Coulson, Hillsville, Virginia — Geoscience
B.S., Bowling Green State University, 1996
Thesis: "Sedimentology and Taphonomy of a Juvenile Alamosaurus Site in the Javelina Formation (Upper Cretaceous), Big Bend National Park, Texas"

Swamidas Gurunath Dalvi, Mumbai, India — Computer Science
B.Arch., L S Raheja School of Architecture, 1993
non-thesis

Srikanth Davu, Hyderabad, India — Computer Science
B.S. in Tech., Jawaharlal Nehru Technological University, 1993
non-thesis

Bo Ding, Tonghua, P.R. China — Computer Science
(In absentia)
Bachelor of Engineering, Tsinghua University, 1988
M.S., Washington State University, 1997
non-thesis

Steven James Elliott, Borger, Texas — Business Administration
B.S., West Texas A&M University, 1996
non-thesis

Yvonne Sharlene Emil, Clovis, New Mexico — Applied Physics
B.S. in E.E., University of New Mexico, 1997
non-thesis

William Duffin Galloway, Snyder, Texas — Agricultural Education
B.S., Texas Tech University, 1997
non-thesis

Amy Nicole Gavin, Ennis, Texas — Interdisciplinary Studies
B.B.A., Texas Tech University, 1997
non-thesis

Carla Gabrielle Guthrie, Kingwood, Texas — Biology
B.S., Baylor University, 1993
Thesis: "A Quantitative Model of Density-Dependent Habitat Selection: Integrating Isodar and Isoleg Theories"

Murat Guven, Lubbock, Texas — Mathematics
B.S., Texas Tech University, 1996
Thesis: "Fuzzy Neural Network"

Tigran Hayrapetyan, Yerevan, Armenia — Computer Science
B.S. in C.S., Texas Tech University, 1996
non-thesis

Barry Trent Hill, Dimmitt, Texas — Microbiology
(In absentia)
B.S., Texas Tech University, 1995
Thesis: "Development and Utilization of Procedures to Monitor E. coli in Constructed Wetlands"

David Michael Holmes, Ira, Texas — Range Science
B.S., Texas Tech University, 1996
Thesis: "Management and Ecology of Willow Baccharis in the Texas Rolling Plains"

Ming-Woei Hwang, Taipei, Taiwan, R.O. China — Statistics
B.B.A., Soochow University, 1993
Thesis: "Covariance Estimation Based on Asymptotic Normal Estimating Function"

Reid Matthew Ipser, Gainesville, Florida — Entomology
B.S., University of Florida, 1994
Thesis: "Effects of Static Electrical Devices on Red Imported Fire Ant Behavior"

Andrew Jones, Brockton, Massachusetts — Atmospheric Science
(In absentia)
B.S., Plymouth State College, 1996
Thesis: "A Study of the Relation Between Surface Convergence and Convective Initiation Along the Dryline"

Bharath Kuruvalli Nemkallu, Hyderabad, India — Computer Science
B.S. in Tech., Osmania University, 1996
Thesis: "Hypermedia Instructional Design Methodology"

Michael Bardin Larremore, Llano, Texas — Animal Science
(In absentia)
B.S., Texas A&M University, 1996
Thesis: "The Effects of Beef Cow Milk Yield and Composition on Calf Growth and Cow Reproduction"

Harriet Irene Lewis, Lubbock, Texas — Physical Education
B.S., Baylor University, 1972
Thesis: "The Effect of Hours of Training and the Use of Transfer Techniques on the Disability from Back Pain in Care Givers Employed in Geriatric Facilities"

Sundus Amina Lodhi, Lubbock, Texas — Biology
B.S., Texas Tech University, 1996
Thesis: "Localization of Glutathione-S-Transferase and Its Effect on Seedling Development"

Xin Lu, Fujian, P.R. China — Business Administration
(In absentia)
B.A., Wuhan University, 1992
non-thesis

Harriet Irene Lewis, Lubbock, Texas — Physical Education
B.S., Baylor University, 1972
Thesis: "The Effect of Hours of Training and the Use of Transfer Techniques of the Disability from Back Pain in Care Givers Employed in Geriatric Facilities"

Robert Thomas Magill, Fort Collins, Colorado — Wildlife Science
(In absentia)
B.S., Colorado State University, 1991
Thesis: "Nesting Habitat Selection of Wood Ducks and Non-Game Cavity Nesting Birds in the Northern Rolling Plains of Texas"

Chad Troy Marlow, Sherman, Texas — Mathematics
(In absentia)
B.A., Austin College, 1996
Thesis: "Experimentation with Control in a Curved Space"

Paula Dawn Massey, Las Cruces, New Mexico — Agricultural Education
B.S., New Mexico State University, 1996
Thesis: "Evaluation of Effective Visuals in Distance Education"

Delanie Ruth Mathias, Angleton, Texas — Family Financial Planning
(In absentia)
B.S., Texas Tech University, 1996
non-thesis

Neelakanth Malhari Nadgir, Lubbock, Texas — Computer Science
B.S. in Engr., Karnatak University, 1997
Thesis: "The Reliability of Distributed Computing Systems"

Christopher Mark Olsen, Houston, Texas — Biology
B.A., Baylor University, 1994
Thesis: "Behavioral and Physiological Effects of Alpha-Melanocyte-Stimulating Hormone in the Texas Toad (Bufo speciosus)"

Master of Science *(continued)*

Sharath Chandra Pallemoni, Hyderabad, India — Computer Science
B.S. in Engr., Osmania University, 1995
Thesis: "Image Recovery and Segmentation Using the Fractal Dimension"

Marvin Doyle Partin, Portales, New Mexico — Applied Physics
B.S., Eastern New Mexico University, 1997
non-thesis

Lottie Louise Lind Peppers, Innisfail, Alberta, Canada — Zoology
B.S., Texas Tech University, 1996
Thesis: "Molecular Systematics of the Genus Sigmodon"

Jennifer Kristi Peterson, Milwaukee, Wisconsin — Statistics
B.A., Cornell College, 1996
Thesis: "Logistic Regression Applications and Cluster Analysis"

Srinivas Chakravarthy Pogiri, Vishakhapatnam, India — Computer Science
B.S. in Tech., Andhra University, 1997
non-thesis

Prasanth Potluri, Visakhapatnam, India — Computer Science
B.S., Andhra University, 1995
non-thesis

Ning Qiu, Fuzhou, P.R. China — Food Technology
(In absentia)
B.S., Fuzhou University, 1994
Thesis: "Effects of Chemical Composition, Collagen and Myoglobin Content, Sarcomere Length and Water-Holding Capacity on the Tenderness, and Color of Emu Meat"

Brent James Racher, San Patricio, New Mexico — Range Science
(In absentia)
B.S., New Mexico State University, 1996
Thesis: "Herbaceous Production as Influenced by Juniper Canopy Cover in West Texas"

Anand B. V. Reddy, Bangalore, India — Computer Science
Bachelor of Engineering, Bangalore Institute of Technology, 1995
non-thesis

Honey Elizabeth Rentz, Plano, Texas — Family Financial Planning
B.S., Texas Tech University, 1996
non-thesis

Guadalupe Patricia Revilla, Mexico — Restaurant,Hotel,Inst Mgmt
(In absentia)
M.B.A., Instituto Tecn Y De Est Udios Sup De Monterrey, 1990
non-thesis

Ellen Holt Roots, Santa Fe, New Mexico — Biology
B.S., University of New Mexico, 1996
Thesis: "Distribution and Characterization of Microsatellites in the Emu Genome (Dromaius novachollandiae)"

Stacey Renee Rychener, Defiance, Ohio — Human Devlmnt. & Family Stds
B.S., Eastern New Mexico University, 1995
Thesis: "The Influence of Family Perceptions on Adolescent Social Competence"

Ranjit Sudhakar Salvi, Pune, India — Business Administration
(In absentia)
B.S., University of Pune, 1993
M.B.A., University of Pune, 1995
non-thesis

Gary David Skwira, Cold Spring, Minnesota — Atmospheric Science
(In absentia)
B.S., St. Cloud State University, 1996
Thesis: "Monte Carlo Simulations for the United States Gulf and Atlantic Coast"

Peter Lawrence Skylstad, Fort Stockton, Texas — Biology
(In absentia)
B.A., Texas Tech University, 1992
Thesis: "Productivity, Disturbance, and Community Structure in a Shinnery Oak Grassland"

Vijayakrishna Kumar Somanchi, Hyderabad, India — Computer Science
B.S. in Engr., Osmania University, 1996
non-thesis

Phoebe Alexis Samuels Tinney, Ferris, Texas — Mathematics
(In absentia)
B.A., Texas Tech University, 1996
Thesis: "An Algorithm for Hyperbolic Geometry"

Manisha Toor, New Delhi, India — Business Administration
B.S., Delhi University, 1993
M.S., Madurai Kamaraj University, 1995
non-thesis

Lawrence Joseph Vannozzi, Rochester, New York — Business Administration
B.S., Pennsylvania State University, 1986
non-thesis

Jing Wang, Shanghai, China — Biology
(In absentia)
B.S., East China Normal University, 1986
Thesis: "The Role of Ascorbate Peroxidase 3 in Oxidative Stress"

William John Warren, Mineral Wells, Texas — Microbiology
(In absentia)
B.S., Texas Tech University, 1995
Thesis: "Antibiotic Resistance of Pathogenic Bacteria in Playa Lakes"

Kirk Layton Watson, Austin, Texas — Computer Science
(In absentia)
B.S. in C.S., University of Texas At Austin, 1995
Thesis: "Developing Computer Generated Stereoscopic Haptic Images"

Dustyn Keith Webb, Lubbock, Texas — Biology
B.S., Texas Tech University, 1987
B.S., Texas Tech University, 1988
non-thesis

Linda Ann Webb, Belle Glade, Florida — Business Administration
(In absentia)
B.B.A., Columbus College, 1982
M.B.A., Columbus College, 1984
non-thesis

Brian Eugene Weber, Clovis, New Mexico — Applied Physics
B.S., Eastern New Mexico University, 1997
non-thesis

Michael James Williams, Dallas, Texas — Statistics
B.A., Texas Tech University, 1996
Thesis: "Estimating Equations for Two Sample Scale Estimation with Censored Data"

Huajian Yao, Hubei, China — Computer Science
(In absentia)
B.S., Huazhong Agricultural College, 1985
M.S., Huazhong Agricultural College, 1990
Ph.D., Beijing Agricultural University, 1993
non-thesis

Po-Ching Yeh, Taipei, Taiwan, R.O. China — Restaurant,Hotel,Inst Mgmt
B.S., National Tsing Hua University, 1993
non-thesis

Zhiyong Zhang, Beijing, China — Computer Science
(In absentia)
B.S., Beijing Medical University, 1992
M.S., Texas Tech University, 1998
non-thesis

Jian-Bai Zhu, Lubbock, Texas — Applied Physics
(In absentia)
B.S. in Engr., Shanghai Jiao Tong University, 1982
M.S., Texas Tech University, 1990
non-thesis

Master of Science in Accounting

Bryan Rodney Douglas, Plainview, Texas — Accounting
150 Hour Program, Texas Tech University, 1998
non-thesis

Zoe Elizabeth Funk, Dickinson, Texas — Accounting
150 Hour Program, Texas Tech University, 1998
non-thesis

Pamela Renee Herrington, Sulphur Springs, Texas — Accounting
150 Hour Program, Texas Tech University, 1998
non-thesis

Erika Lyn Hudgens, Katy, Texas — Accounting
150 Hour Program, Texas Tech University, 1998
non-thesis

Teresa Diann Taylor Jack, Friona, Texas — Accounting
150 Hour Program, Texas Tech University, 1998
non-thesis

Gregory Allen Kubes, Fort Worth, Texas — Accounting
150 Hour Program, Texas Tech University, 1998
non-thesis

Dana Elaine Reeves, Marietta, Oklahoma — Accounting
B.S., Southwestern Oklahoma St U-Weath, 1997
non-thesis

Andrea Cherie Seay, Clovis, New Mexico — Accounting
150 Hour Program, Texas Tech University, 1998
non-thesis

Stacey Lynn Shroyer, Midland, Texas — Accounting
150 Hour Program, Texas Tech University, 1998
non-thesis

Latisha Dawn Swartz, Clovis, New Mexico — Accounting
B.S., Lubbock Christian University, 1996
non-thesis

Master of Science in Civil Engineering

Michael Cole Anderson, Rockwall, Texas — Civil Engineering
(In absentia)
B.S. in C.E., Texas Tech University, 1996
Thesis: "Comparison of Horton's, Smith's, and Green-Ampt's Infiltration Equations using Flooding Infiltrometer Data in Engineering Applications"

Donald Demarest Baldwin, Lubbock, Texas — Civil Engineering
B.S. in Ag.E., Texas Tech University, 1994
non-thesis

Mari Elise Garza, Plano, Texas — Civil Engineering
B.S. in C.E., Texas Tech University, 1994
Thesis: "Effects of Infiltration Beneath a Waste Stabilization Pond"

Master of Science in Civil Engineering *(continued)*

Carlton Henry Hendrix, Victoria, Texas — Civil Engineering
B.S. in C.E., U. S. Air Force Academy, 1997
non-thesis

Margaret Rose Medellin, Spring, Texas — Civil Engineering
(In absentia)
B.S. in C.E., Texas Tech University, 1994
non-thesis

Walter Neal Medlock, Lubbock, Texas — Civil Engineering
(In absentia)
B.S., Texas A&M University, 1995
Thesis: "Laboratory Studies Indicating the Potential for Biocremediation of High Explosives in Soil at the Pantex Plant"

Sk Md Zulfiqur Rahman, Rajshahi, Bangladesh — Civil Engineering
B.S. in C.E., Bangladesh Institute of Technology, 1995
non-thesis

Md Sajjad Shaheed, Dhaka, Bangladesh — Civil Engineering
B.S. in Engr., Bangladesh University of Engineering & Technology, 1995
Thesis: "Use of Impedance Microbiology in Assessing Metabolic Responses of Microorganisms in High Explosive Contaminated Soil"

Emin Silay, Izmir, Turkey — Civil Engineering
B.S., Istanbul Technical University, 1996
non-thesis

Master of Science in Electrical Engineering

John Richard Howlett, Midland, Texas — Electrical Engineering
B.S. in E.E., Texas Tech University, 1996
Thesis: "Vaporous Propane Fuel Injection System Development for an Internal Combustion Engine"

Mazharul Islam, Dhaka, Bangladesh — Electrical Engineering
B.S. in E.E., Texas Tech University, 1996
Thesis: "Modular Arithmetic Logic Shift Unit"

Ye Jin, Shanghai, P.R. China — Electrical Engineering
(In absentia)
B.S., East China Normal University, 1991
Thesis: "Laboratory Simulation of Motor Vehicle Radio Interference"

Dmitry Markov, Minsk, Belarus — Electrical Engineering
B.S., Belarusian State Univ of Infomatics & Radioelectronic, 1995
Thesis: "Laser Based Instrumentation for Particle Size Measurements"

Jagadeesh Neeruganti, Visakhapatnam, India — Electrical Engineering
Bachelor of Engineering, Andhra University, 1996
Thesis: "Adaptive Clustering for Image Segmentation"

Jiayu Xu, Deyang, China — Electrical Engineering
B.S., Sichuan Normal University, 1986
Thesis: "Statistical Comparison of Electromagnetic Susceptibility of a Transmission Line in Reverberation and Semianechoic Chambers"

Master of Science in Environmental Technology Management

Tony Wayne Bryant, Jayton, Texas — Environmental Tech. Mgmt.
B.S., Abilene Christian University, 1993
non-thesis

Master of Science in Industrial Engineering

Liang Chen, Jiaozuo, P.R., China — Industrial Engineering
(In absentia)
B.S. in Engr., Xian Jiaotong University, 1995
M.Engr., Xian Jiaotong University, 1997
non-thesis

C. Nielwin Sam Devasir, Lubbock, Texas — Industrial Engineering
Bachelor of Engineering, P S G College of Technology, 1997
non-thesis

Vivek Rao Malka, Hyderabad, India — Industrial Engineering
B.S. in M.E., Osmania University, 1997
Thesis: "Optimization of the TEC AMTEC Cascade Cell"

Viput Ongsakul, Bangkok, Thailand — Industrial Engineering
Bachelor of Engineering, Chulalongkorn University, 1996
Thesis: "Joint Economic Lot Size Problem with Pipeline Inventory Cost"

Anchalee Prutsakul, Bangkok, Thailand — Industrial Engineering
Bachelor of Engineering, Chulalongkorn University, 1994
Thesis: "Integrated Inventory Problem and Vehicle Routing Problem in One Warehouse and Multi-Retailer Distribution System"

Ghasan H. Rammadan, Houston, Texas — Industrial Engineering
B.S., Texas Southern University, 1996
non-thesis

Wisut Supithak, Trang, Thailand — Industrial Engineering
Bachelor of Engineering, Chulalongkorn University, 1994
non-thesis

Master of Science in Mechanical Engineering

Steven Edward Eskridge, Mart, Texas — Mechanical Engineering
(In absentia)
B.S., U. S. Military Academy, 1988
Thesis: "Development of Consistent Nonlinear Models of Flexible Body Systems"

Andres Munoz-Najar, Lima, Peru — Mechanical Engineering
B.S. in M.E., Texas Tech University, 1996
non-thesis

SCHOOL OF LAW

Doctor of Jurisprudence

Jo Paul Archer, Seymour
Midwestern State University, B.S., 8/93

Benny Lee Azopardi, Jr., Corpus Christi
Southwestern Texas State University, B.B.A., 5/95

Eva Katarzyna Blazejewski, Amarillo
University of Texas, Austin, B.A., 5/95

Alberto Patricio Carldenas, Jr., Laredo
Texas A&M University, B.A., 12/94

Terence Laron Cook, Thorndale
Texas A&M University, B.A., 5/96

Zach Freemyer, Jayton
Angelo State University, B.S., 12/95

Lisa Ann Gutierrez, McAllen
University of Texas, San Antonio, B.A., 8/96

Jeffrey Scott Burgad Harr, Boise, ID
Boise State University, B.S., 5/96

Tammy L. Hawley, San Angelo
Angelo State University, B.S., 8/96

Sarah Emily Houston, Amarillo
Abilene Christian University, B.A., 12/95

Patrina Deare Pelton-Smith, Killeen
Prairie View A&M University, 1994

Brett H. Pritchard, Killeen
Brigham Young University, B.A., 6/96

Deborah Diane Reeves, Big Lake
Jacksonville University, B.A., 8/94
(Cum Laude)

Jason W. Richardson, Whitewright
Texas A&M University, Commerce, B.B.A., 8/92

Damon Dean Robertson, Jefferson
Texas A&M University, B.A., 12/95

Christopher Lee Robinson, Kingsville
Texas A&M University, B.B.A., 1995

Amy M. Shelhamer, Lubbock
Texas A&M University, B.S., '86;
University of New Mexico, MCRP, 12/90

Emily A. Somervill, Harlingen
The Monterey Institute of International Studies, B.A., 5/88

Stephen Scott Vollbrecht, Schertz
Texas Lutheran University, B.A., 5/93

Robert Alan Woodcock, Estherville, IA
University of Texas, Arlington, B.A., 5/96

James Edd Wooldridge, Commerce
Texas Tech University, B.A., 1986,
M.A., 1995

Marty Leon Young, Gilmer
Texas Tech University, B.A., 1996

Nathan Ziegler, Lubbock
Texas Tech University, B.A., 5/95

COLLEGE OF AGRICULTURAL SCIENCES AND NATURAL RESOURCES

Bachelor of Science

Gregory Kirk Harlan, Slaton — Agribusiness
Kevin Eugene Hunter, Roberts, MT — Agribusiness
Brian Michael Jones, Floydada — Agribusiness
Jonathan Robert Simpson, Dalhart — Agribusiness
Kirby John Adams, Lubbock — Agribusiness
Daniel Jarret Bowers, Dalhart — Agricultural and Applied Economics
Kelly Choyse Christie, Hereford — Agricultural and Applied Economics
(Magna Cum Laude)
Robert Gregory Collier, Lubbock — Agricultural and Applied Economics
Steven Cloyce Hays, Plainview — Agricultural and Applied Economics
Jane Lee Hill, Hedley — Agricultural and Applied Economics
Tommy Narvel Howry, III — Agricultural and Applied Economics
Leigha Shea Jennings, Electra — Agricultural and Applied Economics
Andrew F. Maloney, Roswell, NM — Agricultural and Applied Economics
Ryan Neal Mathews, Gruver — Agricultural and Applied Economics
Rebecca Ann McDougal, Comanche — Agricultural and Applied Economics
Julie A. Porter, Wheeler — Agricultural and Applied Economics
John Clay Pullen, Greenville — Agricultural and Applied Economics
Kalith Aaron Smith, Portales, NM — Agricultural and Applied Economics

Bachelor of Science *(continued)*

Baylor LeRoy Walker, Rankin	Agricultural and Applied Economics
Brian Paul Watt, Lubbock	Agricultural and Applied Economics
Thomas Eric Dobbs, DeSoto	Agricultural and Applied Economics.General Business
Jennifer Diane Anderson, Lockney	Agricultural Communications
Elisabet Ann Berg, Folson, NM	Agricultural Communications
(Magna Cum Laude)	
L Matthew Etheredge, Abilene	Agricultural Communications
Ryan Harry Harrison, San Antonio	Agricultural Communications
Kami Shavonne Kesey, Anton	Agricultural Communications
SuJo Ali McKee, Coleman	Agricultural Communications
David Allen McMullen, Tyler	Agricultural Communications
Kimberlea Jatonne Melton, Plainview	Agricultural Communications
Tara LaNae Shaw, Clovis, NM	Agricultural Communications
(Magna Cum Laude)	
Sam Wesley Underwood, Idalou	Agricultural Communications
Tami Sue Wells, Estancia, NM	Agricultural Communications
Vernon Paul Baggerman, Pampa	Interdisciplinary Agriculture
Lance Paul Bradford, Silverton	Interdisciplinary Agriculture
Landon Heath Brewer, Tahoka	Interdisciplinary Agriculture
Bodie Lynn Butler, Glen Rose	Interdisciplinary Agriculture
Michael Kirk Fisher, Cotton Center	Interdisciplinary Agriculture
Allen Blayn Hahn, Westhoff	Interdisciplinary Agriculture
Matt Allen Heikes, Fort Sumner, NM	Interdisciplinary Agriculture
(Magna Cum Laude)	
Benjamin Roy Henderson, Slaton	Interdisciplinary Agriculture
Tricia Ann Humphrey, Lubbock	Interdisciplinary Agriculture
Brian Jay Sellers, Ralls	Interdisciplinary Agriculture
Brian Cody Smith, Aspermont	Interdisciplinary Agriculture
(Cum Laude)	
Michelle Denise Stewart, Spade	Interdisciplinary Agriculture
Cameron Elizabeth Carothers Mull, Ballinger	Animal Production
Carole Lea Bowling, Conroe	Animal Science
James Roy Bowling, Drexel, KS	Animal Science
Clayt Pat Bridge, Afton	Animal Science
Will Clayton Cradduck, Aspermont	Animal Science
(Magna Cum Laude)	
Cole Wade Crenwelge, Sonora	Animal Science
Chad Alan Howard, Cedar Park	Animal Science
Rebecca Kathleen Irish, Lubbock	Animal Science
Farah Dawn James, Lubbock	Animal Science
Justin Baylor Koontz, Fort Sumner, NM	Animal Science
Meredith Nicole Link, Missouri City	Animal Science
Connie Jo Miller, Clovis, NM	Animal Science
Eric Wayne Norton, Texarkana	Animal Science
Bryan Edward Perkins, Temple	Animal Science
Eric James Rothe, Hondo	Animal Science
James Lee Shepard, Muleshoe	Animal Science
Brenden Lance Stubblefield, Midland	Animal Science
Erica Diana Vasquez, Lubbock	Animal Science
John Terrell Fowler, Pecos	Food Technology
Kymberly Kay Killion, Weatherford	Food Technology
(Magna Cum Laude)	
Gregory Joseph Batenhorst, Hartley	Agronomy
Alan Lynn Helm, Childress	Agronomy
Bradeley Dee Howell, Lubbock	Agronomy
John Matthew Kelley, Abernathy	Agronomy
David Brady Nelson, Dimmitt	Agronomy
Kevin Duane Pshigoda, Perryton	Agronomy
Barron Jay Roye, Ralls	Agronomy
Matthew Bleu Schniederjan, Dalhart	Agronomy
(Magna Cum Laude)	
Brian Kris Simpson, Dimmitt	Agronomy
Monica Ann Bellow, Ville Platte, LA	Entomology
Teresa Marie Avery, Jersey Village	Horticulture
Eric Poul Johnson, Flower Mound	Horticulture
Jenny Lee Johnson, Lubbock	Horticulture
Eric Matthew Nyman, Texarkana	Horticulture
Juan Ernesto Zalapa, Guadalajara, MX	Horticulture
Don Wade Loafman, Plainview	Integrated Pest Management
Gye Charles Kraemer, Pottsboro	Environmental Conservation of Natural Resources
Michael Jack Turner, Idalou	Environmental Conservation of Natural Resources
Wade Scott Anderson, Midland	Range Management
(Cum Laude)	
Russell Dean Crenwelge, Sonora	Range Management
Christine Bearden, Midland	Wildlife and Fisheries Management
(Cum Laude)	
Dale Dueward Caffey, Eden	Wildlife and Fisheries Management
Connie Lynn Christian, Fritch	Wildlife and Fisheries Management
Jarrod J. Depew, Blanco	Wildlife and Fisheries Management
David Jerrell Echels, Fort Worth	Wildlife and Fisheries Management
Jed Cox Evans, Kingsville	Wildlife and Fisheries Management
Nathan Andrew Gross, Borger	Wildlife and Fisheries Management
Kaleb V. Kemp, Weatherford	Wildlife and Fisheries Management
Jeffrey Blake Pierce, Lubbock	Wildlife and Fisheries Management
Gregory Dean Pleasant, Garland	Wildlife and Fisheries Management
(Magna Cum Laude)	
John Edwin Todd, IV, Lubbock	Wildlife and Fisheries Management
Tammy Lynn White, Cibolo	Wildlife and Fisheries Management
(Magna Cum Laude)	
William Brent Whitus, George West	Wildlife and Fisheries Management

COLLEGE OF ARCHITECTURE

Bachelor of Landscape Architecture

Jame David Doughtry, Lubbock	Landscape Architecture

Bachelor of Architecture

Jerry Mark Doty, Abilene	Design Specialization
Karen Marie Enyart, Columbus, OH	Design Specialization
Todd Ashley Greer, Dallas	Design Specialization
John Brian Hennington, Abilene	Design Specialization
Courtney Suzanne Iannazzo-Van Ingen, Fort Worth	Structures Specialization
Ryan Michael Iltis, San Antonio	Design Specialization
Tracy Lee Kimbal, Conroe	Design Specialization
Trey Lay, Garland	Design Specialization
Darren Martinez, Welch	Design Specialization
Samuel Martinez, El Paso	Design Specialization
Charles Brian McArdle, Houston	Design Specialization
Shane Louis Mommers, Kingwood	Design Specialization
Richard Wayne Montgomery Jr., Dallas	Design Specialization
Ian David Oeser, Plymouth, MA	Design Specialization
Shane Allen Patterson, Amarillo	Design Specialization
Trent Condes Reese, Austin	Design Specialization
Neil Rosado, Yukon, OK	Design Specialization
Kyle Garner Russell, Plano	Design Specialization
Claudia Isela Terrazas, Juarez, MEXICO	Design Specialization
A. Denise Toungate, Round Rock	Design Specialization
Christopher Dave Villanueva, San Marcos	Design Specialization

COLLEGE OF ARTS AND SCIENCES

Bachelor of Arts

Sean Michael Barbeau, San Antonio	Advertising
Amy Catherine Clanton, Winter Haven, FL	Advertising
Brian Randall Davisson, Grapevine	Advertising
Jennifer Diane Dickson, Midland	Advertising
Robert Henry Gardner, Plano	Advertising
Chad Blake Garlington, Muleshoe	Advertising
Pamela Joyce Burchell Harris, Lubbock	Advertising
Cynthia Lyn Lipscomb Hart, Houston	Advertising
Nathan John Hieronymus, San Antonio	Advertising
Allen Bryant Hooser, Austin	Advertising
James Robert Jodal, Plano	Advertising
Elizabeth Sue Knetig, Harlingen	Advertising
Andrea Bartolomeo Kontus, Bedford	Advertising
Joanie Lynn Mathis, Lubbock	Advertising
Carrie Leigh McDonald, Coppell	Advertising
Jeffrey Aaron Mizeur, Sugarland	Advertising
Sam Britton Pyland, III, Colleyville	Advertising
Angela Dawn Rash, Grapevine	Advertising
Rodrigo Montes, Fort Worth	Advertising
Audra Richter, Fort Worth	Advertising
Sarah Read Rose, Dallas	Advertising
Abel Garcia Salazar, Uvalde	Advertising
Theus Christopher Sheil, San Antonio	Advertising
Toby Laverl Stephens, Sweetwater	Advertising
Michael Wilmer Stowe, Richardson	Advertising
Brandon William Thompson, Commerce	Advertising
Laura Valencia, Lubbock	Advertising
John Justin Vantil, Bedford	Advertising
Melissa Renee Walbridge, Grapevine	Advertising
Jennifer Ann Watts, Beaumont	Advertising
Traci Lynn Wilson, Houston	Advertising
James Aller Yule, Jr., Lubbock	Advertising
William Todd Crosswhite, Sugarland	Advertising/Spanish
Jennifer Betrece Hon, Lubbock	Anthropology
Leonard Michael Hovey, Lubbock	Anthropology
Marilyn Eva Walker, Boulder, CO	Anthropology
Matthew Wayne Williams, Texico, NM	Anthropology
Russell Todd Winn, New Deal	Anthropology
(Cum Laude)	
Michelle Dawn Wurtz, Dallas	Anthropology/Geography
Jeanie Jones Airington, Childress	Art History
Stacy L. McKenzie, Lubbock	Art History
Seung mo Kim, Lubbock	Biochemistry
Stephen Hadlely Simpton, Lubbock	Biology
Homan Farzad, Lubbock	Chemistry
John Douglas Goodgion, Lubbock	Chemistry
Andrew Alan Perego, New Orleans, LA	Chemistry
Misty Dawn Arrington, Horseshoe Bay	Communication Studies
Amy Dawn Blackburn, Ada, Oklahoma	Communication Studies
Heather Ann Blankenship, Dallas	Communication Studies
Todd Christopher Coffey, Moore, OK	Communication Studies
Barton Colin Crawford, Garland	Communication Studies

Bachelor of Arts *(continued)*

Nathan Lee Daves, Midlothian	Communication Studies
Kellis Stuart Dibrell, San Antonio	Communication Studies
Jamie Annette Elder, Fort Worth	Communication Studies
(Summa Cum Laude)	
Brian Robert Galke, Bedford	Communication Studies
Michael Dean Gianas, Plano	Communication Studies
Terrence Lamar Johnson, Lubbock	Communication Studies
Keshia Latrell Jones, Seminole	Communication Studies
Catrina Dee McDaniel, Seagraves	Communication Studies
(Cum Laude)	
Kristi Armstrong Melvin, Mexia	Communication Studies
(Cum Laude)	
Blakely Reed Myers, Lubbock	Communication Studies Spanish
Michael David Roberts, Dallas	Communication Studies
Julie Ann Stansell, Plano	Communication Studies
Shanna Marie Stegall, Levelland	Communication Studies
Matthew Ryan Tittle, Flower Mound	Communication Studies
Sharon Renee Craft, Abilene	Communication Studies
Tisha Dawn Reid, Houston	Communication Studies
Ursula Renae Gibbs, Lubbock	Dance
John Thomas Charlton, Houston	Economics
Neville Goodwin Haynes, Alpine	Economics
Craig Jackson Marr, Richardson	Economics
David White McLendon, Crockett	Economics
John David Barnard, Houston	English
Jennifer Joy Demmitt Brannon, Abilene	English
Adrian H. Cano, Odessa	English
Lori Lei Clark-Sechrist, Snyder	English
Chad Christopher Coker, Lubbock	English
Kristen Michelle Collins, Strafford, NH	English
Matthew Albert Concert, Lubbock	English
(Magna Cum Laude)	
Douglas Edward Feil, Perryton	English
Miles Taylor Fuquay, Amarillo	English
Mary Katherine Groth, Fort Stockton	English
Leslie Michelle Nichols Harmon, Idalou	English
Heather LeeAnn Hicks, Tuscola	English
(Cum Laude)	
Michael Scott Hill, Lubbock	English
Sharon Marie Jolly, Fritch	English
April Kelly, Goliad	English
Shawna Amber Martin Kinslow, Lubbock	English
(Summa Cum Laude)	
Jeremy Ethan Landry, Lubbock	English
Marisa Kay Lilly, Allen	English/Political Science
Erin Rae Lyde, Copperas Cove	English
Jimmy Charles Miller, Lubbock	English
Dieter James Mullen, Snyder	English
Ty Barrett Myrick, Dumas	English
Heather Yvonne Ogier, Grand Prairie	English
Heather Lynn Parham, Irving	English
David Jeremiah Patrick, Snyder	English
Craig Wesley Peltoma, San Angelo	English
Rachel Kathleen Pool, Hamilton	English
Amanda Renee Purdom, Rockwall	English
(In Honor Studies)	
Gina Colleen Reese, Lubbock	English
(Cum Laude)	
Romelia Villesca Rico, Fort Stockton	English
Jess Frank Roberts, Lubbock	English
Linda Ruth Russell, Smyer	English
(Summa Cum Laude)	
David C. Scott, Coahoma	English
Vicki Cates Sellers, Floydada	English
(Cum Laude)	
Julie Michelle Stafford, Garland	English
Amy Berry Taylor, Austin	English
Lisa Marie Taylor, Lubbock	English
Amy Kyrstin Wilder, Addison	English
Elizabeth Ann Williams, Plainview	English
Robin Lynn Cole Wolfington, Amarillo	English
(Magna Cum Laude)	
Kristin Ann Elmen, Temple	English/German
(Summa Cum Laude in Honor Studies)	
Beth Ann Blemker, League City	English/Theatre Arts
Laine Elizabeth Price, Arlington	French
(Summa Cum Laude in Honor Studies)	
Nancy Jo Templer, Lubbock	French
(Magna Cum Laude)	
Cory Lynn Blackwell, Lubbock	Geography
Rosanne Gomez Segovia, Lubbock	Geography
Matthew Thomas Spiegel, San Diego, CA	Geography
Edward Thomas Maloch, Amarillo	Geoscience/Geology
Matina Vomvoris Smith, Duncanville	Geoscience/Geology
Kathryn Michelle Dietz, Houston	German
David Duane Hepler, Bedford	German
Lilly Jennifer Kilcrease, Pecos	German
Cally Marie Revell, Amarillo	German
Rebecca Ann Addington, Lubbock	History
Norman Ross Anderton, Lubbock	History
Brendon Daniel Burke, Amarillo	History
James Raymond Cone, III, Lubbock	History
John Phillip Daigle, The Woodlands	History
Rebecca Ann David, Odessa	History
Robyne Renee Garcia, Wolfforth	History
(Summa Cum Laude)	
John Milton Gillespie, Lubbock	History
Brandi Belt Hefley, Lubbock	History
Christina Herrera, Lubbock	History
Jennifer Lee Ann Ingle, Greenville	History
Robert Paul Kayga, Houston	History
Emily Gail Kohnert, Spring	History
(Cum Laude)	
Grant Laine Martin, Burkburnett	History
Danny Ray Mattox, Lubbock	History
Nathaniel John McWaters, Copperas Cove	History
James Richard Meyers, Colleyville	History
Matthew Grant Murry, Houston	History
Helen Shea Patterson, Fort Worth	History
Michelle Marie Paulsen, San Angelo	History
Miguel Angel Pinones, El Paso	History
Michael Robert Joseph Pipkin, Houston	History
Crystal Ann Ponce, Abernathy	History
Rebecca Ann Ramer, Celina	History
Esmeralda Valdez Rodriguez, Lubbock	History
Justin Allan Saffell, Lubbock	History
(Summa Cum Laude)	
Tonya Lynn Stevens, Laguna Hills, CA	History
Brenna Rhea Stewart, Slaton	History
Mathew Neil Wainscott, El Paso	History
Michelle Kathleen Walton, Richardson	History
Michael Laurence Pratt, Austin	History/Spanish
(Magna Cum Laude In Honors Studies)	
Daniela Deanna Allen, Austin	Journalism
Tracy Glen Barden, Earth	Journalism
Stefani Brown, Tyler	Journalism
(Cum Laude)	
Andrea Rae Broyles, Loveland, CO	Journalism
(Summa Cum Laude In Honor Studies)	
Caren Nicole Carnefix, Fort Worth	Journalism
Frank Carnrike Craddock, Fort Worth	Journalism
Heidi Lynn Headley, Carrollton	Journalism
Bronson Louis Arthur Hill, Lubbock	Journalism
Charlotte Louise Holybee, Corpus Christi	Journalism
Brandy Nicole Howard, Marble Falls	Journalism
(Summa Cum Laude)	
Melanie Page Howle, Idalou	Journalism
Melissa Lynn Huffman, Austin	Journalism
Emily Catherine Jones, Plainview	Journalism
(Magna Cum Laude)	
Rolene Joy, Munster, IN	Journalism
(Magna Cum Laude)	
Melissa Lynn Joyce, Kingwood	Journalism
Kimberly Lane Livingston, Tucumcari, NM	Journalism
Leon Heath Robinson, Hurst	Journalism
Daniel James Watts, Plano	Journalism
Catherine Marie Ronayne, Plano	Latin
Terri Elaine Brakhage, Burnet	Mathematics
Charles Loyd Cortez, Lubbock	Mathematics
Daniel Courtney Dagon, Duncanville	Mathematics
James Douglas Donelson, Lubbock	Mathematics
Cecilia Ann Galvan, Burleson	Mathematics
Diana Cathryn Kroeker, Clifton	Mathematics
Jackelyn Charlton Malone, Littlefield	Mathematics
Fritzie Ellen Odom, Mason	Mathematics
Phillip Jay Rushing, Plains	Mathematics/History
Michael Dawson Buttram, Raton, NM	Music
(Cum Laude)	
Luid Townsend Hancock, II, San Antonio	Philosophy
Helen Shea Patterson, Fort Worth	Philosophy
Patricia Ruth Tyler, Sugar Land	Philosophy
Toussaint Emanuel Ward, Lubbock	Philosophy
Ruben Tercero Levario, Lubbock	Philosophy
Stacey Colleen Brooks, Colleyville	Photocommunications
Ronnie Alan Hill, Lubbock	Photocommunications
Earnest Dwayne Adams, Princeton	Political Science
Antonio Martin Angulo, Lubbock	Political Science
Jason Todd Carr, Vernon	Political Science
Chad Cary Christian, Lubbock	Political Science
Christin Dhu Cummings, Dallas	Political Science
Brandon Keith Dakroub, Gatesville	Political Science
(Cum Laude)	
Debra Lee Davis, Lewisville	Political Science
David Allan Fullerton, Burkburnett	Political Science

Bachelor of Arts *(continued)*

Lisa Gail Greenberg, El Paso — Political Science
René Lynn Hanebutt, Bowie — Political Science
Ikeita Monique Cantu Hinojosa, Grand Prairie — Political Science
(Summa Cum Laude)
Stephen Dane Johnson, Southlake — Political Science
Troy Rex Knight, II, DeSoto — Political Science
Bryan Wallace Langston, Mesquite — Political Science
David Russell McInnis, Carlsbad, NM — Political Science
Shannon Wayne Myres, Lubbock — Political Science
Olga Vladimirovna Popovkina, Astrakhan, RUSSIA — Political Science
(Summa Cum Laude In Honors Studies)
Robin T. Powers, Lubbock — Political Science
Luis Diego Mena Quiros, North Richland Hills — Political Science
Katholyn Anne Runnels, Valdez, ALASKA — Political Science
Edgar Allyn Sorsby, Jr., Tyler — Political Science
Brian Matthew Swenty, Canal Zone, PANAMA — Political Science
Jason Benjamin Wheeless, Crosbyton — Political Science
Jay Garetson White, Lubbock — Political Science
Raul Acosta, Odessa — Psychology
Susan Marisa Bailey, Lubbock — Psychology
Kevin Aaron Barr, The Woodlands — Psychology
Allen Ray Bassett, Lubbock — Psychology
(Magna Cum Laude)
Catherine Ann Benedict, Arlington — Psychology/Sociology
Ashley Betts, Plano — Psychology
Joshua Paul Bias, Midland — Psychology
Tomi Jo Biddick, Kerrville — Psychology
Scott Thomas Biehl, Houston — Psychology
Michael Craig Billinghurst, Dallas — Psychology
Michele Bradley, Rio Hondo — Psychology
Andrew Charles Brannon, Abilene — Psychology
Collin Christopher Brodnax, Dallas — Psychology
Jenni Rebecca Brumelle, Odessa — Psychology
Aimee Suzanne Bush, Lubbock — Psychology
Michel Cabello, Lovington, NM — Psychology
Carmen Campa, El Paso — Psychology
Monica Janice Clemmons, Muleshoe — Psychology
Robyn Michelle Coons, Houston — Psychology
Kelly Darlene Crabb, Mesquite — Psychology
(Cum Laude)
Delicia Marie Cuevas, Lubbock — Psychology
Bretton Paul Dhanes, Westlake Village, CA — Psychology
Angi Jo Dreessen, Amarillo — Psychology
Shanderia Jill Erhardt, Dallas — Psychology
Kimberly Pauline Ethridge, Lubbock — Psychology
(Cum Laude)
Julie Kathryn Euseppi, El Paso — Psychology
(Magna Cum Laude)
Mandee Kristina Fernandez, Big Spring — Psychology
Tasha Leann Finley, Midland — Psychology
Angela Rae Fisher, Amarillo — Psychology
(Summa Cum Laude)
Isabel Jasmine Frechel, San Antonio — Psychology
Angela Taylor Fulkerson, Graham — Psychology
(Cum Laude)
Shannon Elizabeth Gaines-McKenna, El Paso — Psychology
Leslie Michelle Gonzalez, San Antonio — Psychology
Allan Ray Haney, Lubbock — Psychology
Traci Harbin, Abilene — Psychology
Matthew Ian Henderson, Aubrey — Psychology
Cari Lee Ingram, Fort Worth — Psychology
Dora Alicia Jimenez, Lubbock — Psychology
Joseph William Johnson, Tyler — Psychology
Derek Paul Jones, Sterling City — Psychology
Kristen Mae Kenney, Plano — Psychology
Kimberly Ann Kocurek, Kansas City, KS — Psychology
Emily Ann Kuhl, Lubbock — Psychology
(Magna Cum Laude)
Shelly Diane Little, Lubbock — Psychology/English
Dena Dawn Manning, Eldorado — Psychology
Julie Kaye Maples, Colleyville — Psychology
Laurie Anne Mayne, Lubbock — Psychology
Jennifer Lynn McIntyre, Paris — Psychology
Lene Evonne McNabb, Lubbock — Psychology/Social Work
Kimberly Roxann Meeks, Slaton — Psychology
Dana Wayne Moore, Lubbock — Psychology
(Cum Laude)
Irma Delia Morales, Lubbock — Psychology
Kenda Ford Morgan, Lubbock — Psychology
Justin Hamilton Morris, Spring — Psychology
Jeremy Paul Mueller, The Colony — Psychology/Sociology
Rebecca Miriam Newhouse, Houston — Psychology
Stacy Lyn Newland, Lubbock — Psychology
Jennifer Marie Orr, El Paso — Psychology
Pamela Joy Osterfeld, Perham, MN — Psychology
Carey Jeanette Overman, Richardson — Psychology
(Summa Cum Laude)
Shannon Leanne Pipkins, Hobbs, NM — Psychology
Veronika Polisenska, Rudna, CZECH REPUBLIC — Psychology
(Magna Cum Laude in Honor Studies)
Phillip Brandon Poteet, Lubbock — Psychology
Patricia Kathleen Ramsey, Abilene — Psychology
(Summa Cum Laude)
Maria Linda Rangel, Lubbock — Psychology
Teresa Dee Rankin, Dallas — Psychology
Weldon Barton Rankin, Fort Worth — Psychology
Yvonne Rivera, Seminole — Psychology
Aimee Caron Rogers, Ore — Psychology
Christina Hope Scovil, Round Rock — Psychology
(Cum Laude)
Monica Marie Sell, Arlington — Psychology
Tamara Marr Smith, Detroit — Psychology
Latricia Fayee Thomas, Princeton — Psychology
Jaime Torres, Socorro — Psychology
Felicity Dawn Trammell, Duncanville — Psychology
Tara Lee Warren, Lubbock — Psychology
Julia Lynn Whatley, Arlington — Psychology
Jennifer Shawn Whisenhunt, Odessa — Psychology
Joseph Alan Whitmer, Carrollton — Psychology, English
Richard Victor Zapf, Torrance, CA — Psychology
Brandon Howard Andrews, Brownfield — Public Relations
Christy Kay Apple, Arlington — Public Relations
Diana Irene Arras, El Paso — Public Relations
Brandon Casey Bain, Granbury — Public Relations
Sarah Robinson Beck, Lubbock — Public Relations
Leslie Ann Blasingame, Houston — Public Relations
Lola Shirrel Cubit, Slaton — Public Relations
Tiffany Elaine Dixon, Plano — Public Relations
Thomas McKendree Dodd, Plano — Public Relations
Meghan Eileen Downey, Fort Worth — Public Relations
Elyse Marie Duncan, Lubbock — Public Relations
Rebecca Ann Emrick, Houston — Public Relations
Matthew Dale Flesher, Dallas — Public Relations
Heather Elaine Free, Sherman — Public Relations
Julie Christine George, Plano — Public Relations
(Cum Laude)
Jennifer Anne Henley, El Paso — Public Relations
Amy Lyn Higginbotham, Houston — Public Relations
Jennie Elizabeth Hughes, Tahoka — Public Relations
Chrisie Elizabeth Jackson, Dallas — Public Relations
Amber Nicole Johnson, Austin — Public Relations
Jennifer Leah Josephson, El Paso — Public Relations
Margaret Ann Lee, Arlington — Public Relations
Angela Allison Lockhart, Amarillo — Public Relations
Michala Ordeneux, Pearland — Public Relations
Christopher Alan Pancheri, Houston — Public Relations
Jill Marie Reilly, Keller — Public Relations
Kari Lynne Shepherd, Kingwood — Public Relations
Bradley Leon Smith, Houston — Public Relations
Jill Richmond Stiles, Dallas — Public Relations
Ginger Marie Westbrook, Mesquite — Public Relations
Melisa Whitfield, Houston — Public Relations
Robert Arthur Whitney, III, Irving — Public Relations
Donya Renae Williams, Amarillo — Public Relations
Paige Hayes Wright, Dallas — Public Relations
Tamara Marie Brown, Kerrville — Public Relations/Spanish
(Magna Cum Laude)
Jennifer Marie Nodorft, Richardson — Russian Language and Area Studies
(Magna Cum Laude)
Gerald Wallace Pippin, III, Lubbock — Russian Language and Area Studies/German
Laura Leigh McNeece Boling, Lubbock — Social Work
Chris Calvin Casey, Abernathy — Social Work
Arcelia Magallanes Cervantez, Olton — Social Work
Amy Elizabeth Coates, Lubbock — Social Work
Shawna Jo Kays Coleman, Big Spring — Social Work
Oscar Ojeda Flores, Lubbock — Social Work
Christopher Matthew Gallarneau, Amarillo — Social Work
Mary Joyce Gray, Ralls — Social Work
Holly Ann Moore Hester, Lubbock — Social Work
Tiffany Huckabay, Dallas — Social Work
Elizabeth Anne James, Dallas — Social Work
Anthony Gerard Jones, Lubbock — Social Work
Lori Paige Jones, Lubbock — Social Work
Lena Evonne McNabb — Social Work
Gregory Anthony Noyola, Lubbock — Social Work
Juli Ann Lay Springer, San Angelo — Social Work
Andrea Elweta Starch, Lubbock — Social Work
Carolyn Elizabeth Stewart, Euless — Social Work
Shirley Jean Terrell, Lubbock — Social Work
Thelma Jewell Nowlin Vaughn, Lubbock — Social Work
Christi DeAnn Austin, Lubbock — Sociology
Jennifer Faye Chamness, Flower Mound — Sociology
Monica Janice Clemmons, Muleshoe — Sociology
Jacob Allen Gonzales, Lubbock — Sociology
Holly Heather Huck, Austin — Sociology

Bachelor of Arts *(continued)*

Denise Linet Jackson, Sacramento, CA	Sociology
Jason Thomas Johnson, Lubbock	Sociology
Amy Kay Jones, Odessa	Sociology
Raquel Padilla, El Paso	Sociology
Kerri Lynn Smith, Munday	Sociology
Edna Anel Avila, Slaton	Spanish
Christoval Barrera, Lubbock	Spanish
Paul Edward Cluff, Lubbock	Spanish
Gina Ann Ferrari, Lubbock	Spanish
Sean Edward Kapp, Dallas	Spanish
Michael Martinez, Lockney	Spanish
Elizabeth Ramirez, Lubbock	Spanish
Isaias Ramon Rivera, El Paso	Spanish
Georgina Arce Robles, Lubbock	Spanish
(Magna Cum Laude)	
Jesus Carlos Reyes, El Paso	Spanish/Anthropology
Blake Reading Brown, Houston	Telecommunications
Anthony Wayne Dipiero, San Antonio	Telecommunications
Rowdy Granado, Odessa	Telecommunications
Norma Hernandez-Huerta, Booker	Telecommunications
Kelli Ann House, Rowlett	Telecommunications
David Russell Hoy, Lubbock	Telecommunications
Charles Todd Hutson, Rockwall	Telecommunications
Mark Phillip McAtee, Dumas	Telecommunications
Christopher Walaka Piskun, Houston	Telecommunications
Keith Alan Porterfield, Lamesa	Telecommunications
John Anthony Robledo, Carrollton	Telecommunications
Michael Aaron Tavitas, San Antonio	Telecommunications
Walter William Thompson, Arlington	Telecommunications
(Summa Cum Laude)	
Michael Robert Vana, Dallas	Telecommunications
Americo Phillip Worsnup, Houston	Telecommunications
Amber Latrice Washington, Canyon Lake, CA	Theatre Arts

Bachelor of Fine Arts

Mindy Michelle Hawkins, Lubbock	Art
(Magna Cum Laude)	
Calli Ginger Lewis, Lubbock	Art
Elisa Ann Williams Oglesby, Morrison, CO	Art
Lissa Winn Aicklen, Austin	Design Communication
Brent Paul Baker, Clyde	Design Communication
Melissa Kaylene Bartz, Lubbock	Design Communication
Cory Michael Davis, Plano	Design Communication
Chloe Leigh Feris, Kingwood	Design Communication
Amy Marie Fowler, Irving	Design Communication
David Garcia, Hondo	Design Communication
Adam Robert Lewis, Lubbock	Design Communication
Ricardo Alejandro Miranda, Houston	Design Communication
Amanda Kell Murchison, Lubbock	Design Communication
Gary Donald Phelps, Hewitt	Design Communication
David Allen Stegman, Lubbock	Design Communication
Mick O'Neal Watson, Sugar Land	Design Communication
Jennifer Joy Furman, Katy	Studio Art
Wesley Andrew Humphus, Fort Worth	Studio Art
Teresa Beth Owen, Midland	Studio Art
(Cum Laude)	
Eber Hernandez Suarez, Snyder	Studio Art
Sara Peso White, Lubbock	Studio Art
Stephen Glynn Carpenter, Greenville	Theatre Arts
Gilbert Castillo, Lubbock	Theatre Arts
Evin Nicole Eubanks, San Antonio	Theatre Arts

Bachelor of General Studies

Cary Craig Banks, Big Spring	General Studies
(Cum Laude)	
Woodson Renick Bell, Abilene	General Studies
Joan Elizabeth Bellah, Canyon	General Studies
Anthony Kent Blount, Odessa	General Studies
Courtney Allen Branam, Tomball	General Studies
Kenneth David Brown, Napa, CA	General Studies
Kristy Sara Caldo, Lancaster	General Studies
Laura Elaine Carleton, Dallas	General Studies
Michael Scott Carlisle, Lubbock	General Studies
Christopher Reynolds Carson, Fort Worth	General Studies
Michelle Paige Casey, Lubbock	General Studies
Anissa Marion Craven, Lubbock	General Studies
James Patrick Crowley, Lubbock	General Studies
Toby Joe Cushing, Carthage	General Studies
Onnesha Dawn Demerson, Lubbock	General Studies
Christopher Scott Dobson, Levelland	General Studies
Laura Ann Elliott, Pampa	General Studies
Jessica Annissa Gonzales, Irving	General Studies
Michael Casey Gough, Arlington	General Studies
William Travis Hale, New Deal	General Studies
Leo Glen Hawkins, Dallas	General Studies
Kenneth Michael Jastrow, III, Austin	General Studies
Mackenzie Susan Johnson, Plano	General Studies
Stephen Wayne Jones, Katy	General Studies
Scot Grady Laughlin, Baytown	General Studies
Clark Rogers Mandigo, III, San Antonio	General Studies
Lisa Michelle Moore, Katy	General Studies
Kellie Aaron Ojeda, San Antonio	General Studies
Shawn Paul Ordonez, Lubbock	General Studies
Dennis Trevelyan Owens, Lubbock	General Studies
David Lee Parsons, Bangs	General Studies
James Alan Pierce, Ravenna	General Studies
Glen Pokikuha, Palacios	General Studies
Jason Gregory Punchard, Lubbock	General Studies
Donald Gene Riggan, Jr., Amarillo	General Studies
Maria Dolores Rosas, Eagle Pass	General Studies
Alyson Gayle Schott, Boerne	General Studies
David Anthony Singer, Jacksonville	General Studies
John Surjan Sohel, Fort Worth	General Studies
Amy Lynette Stovall, Tyler	General Studies
(Magna Cum Laude)	
Phillip Wayne Timmons, Lakeview	General Studies
Samuel Claude Washington, Fort Worth	General Studies
Stephen Bradley Westdyke, McKinney	General Studies
Thomas Gerard Wherry, Lubbock	General Studies
Richard Scott Williams, Odessa	General Studies
George Holmes Williams, San Antonio	General Studies
Brian Gail Wolf, Dallas	General Studies
Alan Thomas Wood, Waco	General Studies
Sarah Allison Wright, Tyler	General Studies
Amy Elizabeth Baggerman, Corpus Christi	Music
Stefan Alexander Cadra, Odessa	Music
Doyle Lee Corder, Lubbock	Music
Scott Clifton Crane, Lubbock	Music
Susan Dawn Dennis, Lubbock	Music
Joseph Anthony Garcia, Lubbock	Music
Shannon Taree Koonce, Stanton	Music
Jason Matthew Levin, Katy	Music
Deanna Burns McLendon, Crockett	Music
(Cum Laude)	
Casey Elaine Moore, Tyler	Music
Michael Alan Quinn, Killeen	Music
Brent Weldon Reno, Panhandle	Music
Michelle Angela Richardson, Bentley, LA	Music
(Magna Cum Laude)	
Marcy Guerrero Rodriguez, Lovington, NM	Music
Shane Kennedy Shepherd, Dallas	Music
Katherine Jean Thrift, Bastrop	Music
Daniella Valdez, El Paso	Music
Stephen Thomas Vano, III, Harlingen	Music
(Magna Cum Laude)	
Adam Trent Yeargin, Colleyville	Music
John Michael Pekowski, Lubbock	Music Composition
Matthew David Saed, Inner Grove Hghts, MT	Music Composition
Elias Christan Griego, Lubbock	Performance
Dominique Salvador Leone, Dallas	Performance

Bachelor of Science

Lesley Renay Boles, Amarillo	Biochemistry
Thomas Kevin Cook, Little Rock, AR	Biochemistry
Barbara Snodgrass Airhart, Ransom Canyon	Biology
Kathryn Ann Bevers, Austin	Biology
Mereena Bhandari, Lubbock	Biology
Zachary Querino Botone, Devine	Biology
(Summa Cum Laude)	
Jay Cameron Bradley, Del Rio	Biology
James Todd Cage, Floydada	Biology
Racmony Chheav, Galveston	Biology
Louis Octave Dagenais, Lone Oak	Biology
Billy Kyle Easter, Jacksboro	Biology
(Magna Cum Laude)	
Chad Edward Ellis, Dallas	Biology
Denise Marie Enlund, Carmel, NY	Biology
Ross Joseph Flathouse, Lubbock	Biology
Diana Garcia, Levelland	Biology
Ryan Carter Harrison, Austin	Biology
Robert William Horn, Midlothian	Biology
Chad Alan Hutcherson, Lubbock	Biology
Steven Ross Hvezdos, Conroe	Biology
Emily Everheart Jenkins, Lamesa	Biology
Thomas Edward Keene, Lubbock	Biology
Taegon Kim, SEOUL KOREA	Biology
David Randolph Long, Shallowater	Biology
(Cum Laude)	
Winnde Leah Martin, Plainview	Biology
Roslyn Martinez, San Antonio	Biology
Cinnamon Elaine McCoy, Oakland, CA	Biology
Laura Shay Morris-Olson, El Paso	Biology
Susan Leigh Myers, Duncanville	Biology
(Magna Cum Laude)	

Bachelor of Science *(continued)*

Shanda Paige O'Briant, Colleyville	Biology
Jonathan Brodie Oldham, Plano	Biology
Joseph Martin Dum Olson, El Paso	Biology
Marcus Karlan Parker, Dallas	Biology
Kurt Gary Reineck, Hammond, WS	Biology
(Magna Cum Laude)	
Necole Helen Ruhl, Lake Dallas	Biology
Stephen Hadley Simpton, Lubbock	Biology
Kyle Matthew Smith, Greenville	Biology
Melissa Doreen Sullivan, Austin	Biology
Jeremy Miles Thomas, Paris	Biology
Zachary Allen Thomas, Midland	Biology
Ashley Drew Tipton, Lubbock	Biology
Reagan Lamar Vinson, Lubbock	Biology
John David Washington, Lubbock	Biology
Ryan Cole Williams, Big Spring	Biology
Julie Denise Wilson, Garland	Biology
(Magna Cum Laude)	
Keith Wayne Wisniewski, Kaufman	Biology
(Summa Cum Laude)	
John Bradley Applewhite, El Paso	Cell and Molecular Biology
Jennifer Marie Brown, Longview	Cell and Molecular Biology
Wesley Lewis Foster, Muleshoe	Cell and Molecular Biology
Sean Samuel Howell, Houston	Cell and Molecular Biology
(Magna Cum Laude)	
Stacy Brac McDaniel, Dimmitt	Cell and Molecular Biology
(Cum Laude)	
Bertha M. Cedillo, Houston	Chemistry
Robert Champlin, Jr., Abilene	Chemistry
Ginger Kay Nelson, Wheeler	Chemistry
Veronica D'Ann Thomason, Austin	Chemistry
Blakely Reed Myers, Temple	Communication Studies/Spanish
Jose De Jesus Alvarez, Artesia, CA	Exercise and Sport Sciences
(Cum Laude)	
Michi Beshay Atkins, Loraine	Exercise and Sport Sciences
Vanessa Dawn Balderrama, Garland	Exercise and Sport Sciences
Shae LaRee Bearden, Lubbock	Exercise and Sport Sciences
Shawn Weaver Beeles, Fort Stockton	Exercise and Sport Sciences
Jennifer Kay Benat, Dallas	Exercise and Sport Sciences
(Magna Cum Laude)	
Rebecca Leigh Bohrer, Houston	Exercise and Sport Sciences
Kito Demetrius Bonner, Fort Worth	Exercise and Sport Sciences
Shawn Jeremy Brewton, Winnsboro	Exercise and Sport Sciences
Brande Michelle Brown, Hartwell, GA	Exercise and Sport Sciences
Trina Roschell Brown, Slaton	Exercise and Sport Sciences
Richard Todd Campbell, Abilene	Exercise and Sport Sciences
Scott Casey Carpenter, Haddenfield, NJ	Exercise and Sport Sciences
Brandon K. Carter, Lubbock	Exercise and Sport Sciences
Robert Blair Cartwright, Boyd	Exercise and Sport Sciences
Timothy Paul Cochran, Idalou	Exercise and Sport Sciences
Nichole Elizabeth Cruson, Plano	Exercise and Sport Sciences
(Cum Laude)	
Michael Ray Dawdy, San Antonio	Exercise and Sport Sciences
Katherine Marie Dominguez, Lubbock	Exercise and Sport Sciences
Jonathan Lee Downey, Big Spring	Exercise and Sport Sciences
Leric Ludwig Eaton, Lubbock	Exercise and Sport Sciences
Scott Edward Feezel, Greenville	Exercise and Sport Sciences
Valerie LaTrece Freeman, Lubbock	Exercise and Sport Sciences
Seth Roper Gammill, Brownwood	Exercise and Sport Sciences
Tilleri Fara Garland, Amarillo	Exercise and Sport Sciences
Adelita Gonzales, Knippa	Exercise and Sport Sciences
Kelli Rae Gordon, Roswell, NM	Exercise and Sport Sciences
Ryan Jeffrey Greaves, Abilene	Exercise and Sport Sciences
Matthew Stephen Guerrant, Abernathy	Exercise and Sport Sciences
George Robert Haddon, Euless	Exercise and Sport Sciences
Jayson Christopher Hansen, Kelowna, B.C.	Exercise and Sport Sciences
Kenneth Leroy Haywood, Jr., Lubbock	Exercise and Sport Sciences
Jason Paul Johnson, Pampa	Exercise and Sport Sciences
Ben Christopher Kaufman, Edinburg	Exercise and Sport Sciences
Sasha Lee Keeton, El Paso	Exercise and Sport Sciences
(Magna Cum Laude)	
Dirk Bernard Kemperman, Mineral Wells	Exercise and Sport Sciences
Erick Justin Kurth, San Antonio	Exercise and Sport Sciences
Victoria Dawn Laursen, Dallas	Exercise and Sport Sciences
Stacy Renee Livingston, DeSoto	Exercise and Sport Sciences
John Russell Lowe, Graford	Exercise and Sport Sciences
(Summa Cum Laude)	
Melissa Lea Maines, Lubbock	Exercise and Sport Sciences
Grant Laine Martin, Burkburnett	Exercise and Sport Sciences
Scott Allen Mathis, Junction	Exercise and Sport Sciences
Matthew Mitchell McGuire, Lubbock	Exercise and Sport Sciences
Jared Oliver Miller, Wichita Falls	Exercise and Sport Sciences
Stephanie Lynn Miller, Lubbock	Exercise and Sport Sciences
Juan Jose Navarro, Jr., Brownfield	Exercise and Sport Sciences
Amelia Lee Peters, Seymour	Exercise and Sport Sciences
Willie Montae Reagor, Waxahachie	Exercise and Sport Sciences
Myra Sol Rios, Eagle Pass	Exercise and Sport Sciences
Marti Lyn Simmons, The Woodlands	Exercise and Sport Sciences
Stephanie Dianne Smith, Amarillo	Exercise and Sport Sciences
(Magna Cum Laude)	
Casey Wayne Stackhouse, Houston	Exercise and Sport Sciences
Gregory Scott Steger, Iowa Park	Exercise and Sport Sciences
Tory Lane Stephens, Sweetwater	Exercise and Sport Sciences
Heather Kay Streetman, Lubbock	Exercise and Sport Sciences
Jamie Glass Walker, Garden City	Exercise and Sport Sciences
Stephanie Ann Wells, Dallas	Exercise and Sport Sciences
Tracy Lee Wright, Palestine	Exercise and Sport Sciences
Charles Edward Bevill, Ransom Canyon	Geoscience/Geology
David Richard Boes, Midland	Geoscience/Geology
Jason Wellington Currie, Austin	Geoscience/Geology
Rogelio Lizcano, Pharr	Geoscience/Geology
Kelli Pike Buechel, Duncanville	Health
(Cum Laude)	
Monica Ann Garcia, Snyder	Health
Frank Cody Farmer, Gunter	Mathematics
Paul Regrett Parks, Lubbock	Mathematics
Stephen Grant Perry, Lubbock	Mathematics
(Magna Cum Laude)	
Thomas Anthony Russell, Lubbock	Mathematics
Melinda Kay Forehand, Stephenville	Microbiology
Maria Fernanda Gonzalez Gibler, El Paso	Microbiology
Joni Maurann Lozano, Denver City	Microbiology
Shannon Wayne Myres, Lubbock	Political Science
Amy Trish Bradley, Springlake	Recreation and Leisure Services
Kelsey Diane Gregory, Clinton, MS	Recreation and Leisure Services
(Magna Cum Laude)	
Chadwick Rodney Hyde, Miliani, HI	Recreation and Leisure Services
Jennifer Carol Kuypers, Plano	Recreation and Leisure Services
(Magna Cum Laude)	
Shadd Ryan Risinger, Houston	Recreation and Leisure Services
Yolanda Rena Tharrington, Lubbock	Recreation and Leisure Services
Amy McCrary Thompson, Andrews	Recreation and Leisure Services
Kristopher Jay Tomlinson, Midland	Recreation and Leisure Services
Andrew Dale Copple, Lubbock	Zoology
Ira Shane Davis, San Antonio	Zoology
Heidi Erika Kuehnel, El Paso	Zoology
Mark Bryan O'Neill, Lubbock	Zoology
Eric Saxon Rieger, Gainesville	Zoology

Bachelor of Science in International Economics

Erik Campbell Goodlett, Lubbock	International Economics
James Michael Holland, Houston	International Economics
Jennifer Marie Nodorft, Richardson	International Economics
(Magna Cum Laude)	

COLLEGE OF BUSINESS ADMINISTRATION

Bachelor of Business Administration

Christopher Fitzgerald Abell, Spring	Finance/Economics
(Summa Cum Laude)	
Scott Sherwood Barrow, II, Rowlett	Finance/Management
Danny A. Bazan, Donna	Accounting/Finance
Matthew Shad Bratcher, Lubbock	Management/Marketing
Jason L. Brooks, Huntsville, AL	Finance/Economics
Angela Kay Bryan, Winters	Finance/Economics
Isabel Jasmine Frechel, San Antonio	Management Information Systems/General Business
Michael Eric Garza, San Antonio	Management Information Systems/General Business
Stacy Michelle Gibson, Seminole	Finance/Economics
William Carter Going, Houston	Finance/Marketing
David Paul Gonin, Spring	Management Information Systems/Management
Christopher Alan Hagans, Denison	Management Information Systems/Management/General Business
Joseph Jeffrey Hanttula, Carlsbad, NM	Management Information Systems/General Business
Charles Parker Hanzel, San Antonio	Marketing/Management
Holly Marie Harris, Irving	Management Information Systems/Finance
Linda Annette Sanders Jenkin, Lubbock	Petroleum Land Management/Management
Coby Allen Jones, Lubbock	Management Information Systems/Marketing
Jennifer Anne Kelly, El Paso	Finance/General Business
Richie W. Kelly, Waxahachie	Finance/Real Estate/General Business
Angela Marie McBride, Archer City	Marketing/Management
Matthew Greer McCleskey, Flower Mound	Management/Information Systems/General Business
Tara Sue Mengel, Weatherford	Marketing/Management
Matthew Edward Paul, Denton	Marketing/Management
(Magna Cum Laude)	
James A. Pinkney, Plano	Management/Marketing
Douglas Ray Ragsdale, Kyle	Management/General Business
Amber Ariana Raney, Sherman	Marketing/General Business
Mindy Renee Ritz Ryan, Lubbock	Management/General Business
Staci Rebecca Sailer, Midland	Management Information Systems/Marketing
Mohammed Akil Shihab, Yemen, Sanaa	Management Information Systems/Marketing

Bachelor of Business Administration *(continued)*

Jason David Steffan, Katy — Finance/Accounting
Timothy Eugene Tidwell, Lubbock — Management/General Business-International
Tanya Alice Viertel, Carmine — Accounting/Finance
Marc Travis Welch, Lubbock — Management Information Systems/General Business
Karlton Johannes Wendt, Spring — Accounting/Marketing
Melissa Brooke Wofford, El Paso — Accounting/Marketing
Jason Howard Yowell, Richmond — Finance/Economics
Colin Earl Zwickey, Amarillo — Management Information Systems/Finance
Amy Legan Ables, Seagraves — Accounting
Julie Michelle Berger, Lubbock — Accounting
Shelly Nicole Bertrand, Vernon — Accounting
(Magna Cum Laude)
Chad Franklin Davis, Amarillo — Accounting
Bryan Rodney Douglas, Plainview — Accounting/150
Joe G. Franco, Lubbock — Accounting
Zoe Elizabeth Funk, Dickinson — Accounting/150
(Summa Cum Laude In Honors Studies)
James Michael Grace, Plano — Accounting
(Cum Laude)
Bryan Marshall Hall, Pampa — Accounting
Pamela Renee Herrington, Sulphur Springs — Accounting/150
(Magna Cum Laude)
Tory Stunkard Hill, Loop — Accounting
Heidi Renee Hingst, Plainview — Accounting
Heather Suzanne Holmes, Dallas — Accounting
Erika Lyn Hudgens, Katy — Accounting/150
Teresa Diann Jack, Friona — Accounting/150
(Magna Cum Laude)
William Lance Jenkins, Kingwood — Accounting
Natalie Brooke Jordan, Arlington — Accounting
Gregory Allen Kubes, Fort Worth — Accounting/150
Christopher Lee Martinez, North Richland Hills — Accounting
Rebecca Jane Muras, Houston — Accounting
(Magna Cum Laude)
Zachariah Abraham Potter, Marble Falls — Accounting
(Cum Laude)
Kimberly Dyan Ralston, Lubbock — Accounting
(Cum Laude)
Emilio Siprian Ramirez, Slaton — Accounting
Andrea Cherie Seay, Clovis, NM — Accounting/150
(Magna Cum Laude)
Stacey Lynn Shroyer, Midland — Accounting/150
(Magna Cum Laude)
Coke Ward Solomon, Marshall — Accounting
Kimberly DiAnn Tillett, Springfield, IL — Accounting
Dalton Cade Walton, Snyder — Accounting
Stoney Lee Williams, Georgetown — Accounting
Christy Dawn Williamson, Broken Arrow, OK — Accounting
(Cum Laude)
Trent Michael Abbott, Mt. Pleasant — Finance-Real Estate
Robert Samuel Acton, Canyon — Finance
James Lyon Ahern, Jr., San Antonio — Finance
Robert Paul Berg, Jr., Abilene — Finance
Jason Scott Blount, Paducah — Finance
(Cum Laude)
Jayson Scott Boydstun, Tahoka — Finance/150
(Magna Cum Laude)
James Bradley Buchanan, Mt. Pleasant — Finance-Real Estate
Sandra Castillo, Mission — Finance
Lisa Dawn Chester, Borger — Finance
John Phillip Childress, Canadian — Finance
Jesse Frank Conard, Sweetwater — Finance
Joseph Michael D'Amico, II, Southlake — Finance
Anna Maria Dunson, Amarillo — Finance
(Summa Cum Laude)
Sean Eschberger, Midland — Finance
Brandon L. Glasscock, Gainesville — Finance
Kyle David Harris, McKinney — Finance-Real Estate
Cynthia Lynne Hayes, Santa Fe — Finance
Meredith Anne Henderson, El Paso — Finance
Wing Fai (Christopher) Ip, Hong Kong Japan — Finance
Chad Wade Johnson, Hobbs, NM — Finance
Elizabeth Kelley Kent, Dallas — Finance
Frank Frederick Koller, Jr., Willis — Finance
(Summa Cum Laude)
Lee Jarratt Lawler, Cleburne — Finance-Real Estate
Michael Wyatt Lingenfelder, San Antonio — Finance
Shawn Allyn Martin, Texarkana — Finance
Michael Joseph Mays, San Antonio — Finance-Real Estate
Clayton Allan McBee, Dallas — Finance
Gerald Maurice Monson, III, Childress — Finance
Samuel Thomas Oldham, Katy — Finance
Kimberly Ann Oleyar, Houston — Finance/150
Stacy Rhea Padgett, Waco — Finance-Real Estate
Kevin Todd Parker, Rowlett — Finance
Cory Wells Phariss, Littlefield — Finance
Ginger Elise Prater, Comanche — Finance
(Cum Laude)
Jeffrey Bryan Prescott, Hurst — Finance
Alea Dawn Rowland, Sachse — Finance/150
Matthew R. Schaefer, Cisco — Finance-Real Estate
Christopher Damon Schipper, Amarillo — Finance/150
(Magna Cum Laude)
Joseph Paul Schniederjan, Amarillo — Finance
(Cum Laude)
Stephanie Ann Scott, Lubbock — Finance
Cherill Kathryn Smith, Lubbock — Finance
Jason Arthur Stokes, The Woodlands — Finance
Dedrick Alex Streit, Vernon — Finance
Michael Mulligan Teeter, Corpus Christi — Finance
David Villagomez, Jr., Amarillo — Finance
Edward Francis Vinson, II, Snyder — Finance
Rochelle Denise Warrior, Odessa — Finance
William Travis Watkins, Ralls — Finance
(Cum Laude)
David Allan Welton, Jr., Lubbock — Finance
Jeffrey Shane Whitaker, Hobbs, NM — Finance
Michael Patrick Williams, League City — Finance-Real Estate
Steven Andrew Willmann, Andrews — Finance/150
(Magna Cum Laude)
Brandon Eugene Wing, Amarillo — Finance-Real Estate
(Cum Laude)
Eric Douglas Wojinski, Austin — Finance
Heather Denise Adcock, Spur — General Business
Darryn Deen Andrews, Cameron — General Business-International
Grant Oran Appleton, Brady — General Business-International
Jeremy Scott Bailey, DeSoto — General Business
Eric Philip Bedient, Sugarland — General Business-International
Kelli Joy Brandt, Bedford — General Business-International
Tyler Wayne Craft, Lubbock — General Business-International
Thomas Eric Dobbs, DeSoto — General Business AGBS
William Cody Elliott, San Angelo — General Business-International
Joe Scott Ferguson, Lubbock — General Business
Robert Alan Gooch, Lubbock — General Business
Stuart Paul Jenke, Dallas — General Business-International
Jennifer Len Johnson, Lubbock — General Business
Jessica Colleen Keller, Lancaster — General Business
Konrad Gayle Kuykendall, Italy — General Business
Christan Ashli McDonald, Tyler — General Business-International
Sarah Christine Nickell, Dallas — General Business/150
(Cum Laude)
Nikki Maureen Nordell, Jacksboro — General Business
(Cum Laude)
Benjamin Paul Orser, Corpus Christi — General Business
Miranda Leigh Owens, Santa Fe — General Business-International
(Cum Laude)
Scott W. Philp, Pittsburgh, PN — General Business
Courtney Jeanne Pleasant, Houston — General Business-International
Frankie Scott Renda, Keller — General Business
Jessica Joy Rupp, The Woodlands — General Business-International
Megan Alicia Smith, Austin — General Business-International
Anna Lynn Stratton, Lubbock — General Business
(Cum Laude)
Jennifer Noel Swaringin, San Angelo — General Business
Andrea Denise Toungate, Round Rock — General Business ARCH
Louis Anthony Varkadoz, Richmond — General Business
Jay Stone Warnick, Lubbock — General Business-International
Stacy Denise White, Lubbock — General Business
Sherrie L. Birkenfeld, Hereford — Management
(Cum Laude)
Kryl Lane Boedeker, Plainview — Management
Kristina Lea Campbell, Marble Falls — Management
Stephanie Andrea Chavez, Lubbock — Management
Robert Michael Crane, Plano — Management
Daniel Edmund Crookshanks, Tyler — Management
Amanda Kay Dent, Las Cruces, NM — Management
Jeffrey Michael Fisher, Ford du Lac, WS — Management
William David Fisher, Lubbock — Management
Nathan Craig Gann, Gardendale — Management
Sheré Lynn Graham, Roswell, NM — Management
Gerardo Hernandez, Lubbock — Management
Juan Herrera, Jr., Ennis — Management
Michael C. Hogan, Dallas — Management
Melisa Kaye Upchurch Hutchison, Lubbock — Management
Ken Recil Kacal, Waxahachie — Management
Michael Chadwick Kerr, Flower Mound — Management
Jennie Delight Kirksey, Hurst — Management
Joshua Abel Landry, Cleburne — Management
Todd Robertson Lange, San Antonio — Management-High Performance Management
Michael Ryan McKenzie, Sulphur Springs — Management
Richard David Melamed, Livingston, NJ — Management
Randall Jason Mull, Lubbock — Management
Randall C. Myatt, Lubbock — Management
Bonnie Patrick Newman, Austin — Management

Bachelor of Business Administration *(continued)*

Dustin John Ostermann, Azle — Management
Carie Marie Overby, Waupaca, WS — Management
Dorothy Ann Reyes, Midland — Management
Charles Ovell Roberts, Fort Worth — Management
Valerie Ann Scott, Houston — Management
Paul Meredith Seagraves, II, Bridgeport — Management
Wade Morgan Spain, Sonora — Management
Jessica Pratt Stanley, Fort Worth — Management
Kenneth W. Sullens, Beaverton, OR — Management
Daniel Lee Torrence, Victoria — Management
Tharon W. Tubb, Big Spring — Management
Kurt Larry Abbas — Management Information Systems
(Magna Cum Laude)
Jeffrey Brian Allison, Arlington — Management Information Systems/150
(Magna Cum Laude)
Christine Michelle Alt, Plano — Management Information Systems
Catherine Michelle Armstrong, Garland — Management Information Systems
Chad Michael Brown, Levelland — Management Information Systems
David Christopher Carrell, Pottsboro — Management Information Systems
Thomas J. Chapman, New Caney — Management Information Systems
Brian Edwin Clark, Lubbock — Management Information Systems
James Matthew Davis, Odessa — Management Information Systems
Malcolm Jay Davis, Lubbock — Management Information Systems
Carlos DeLaCruz, Lubbock — Management Information Systems
Kyle Reinhardt Dixon, Austin — Management Information Systems
Samuel Wayne Edwards, Jr., Graham — Management Information Systems
Don Clayton Ellis, Iowa Park — Management Information Systems
Rita Carol Ewings, Jacksboro — Management Information Systems
(Magna Cum Laude)
Theresa Annette Fallin, Lubbock — Management Information Systems
(Summa Cum Laude)
Jason Alan Faught, Midland — Management Information Systems
Kyle Edward Fitzgerald, League City — Management Information Systems
Melinda Joy Flaugher, Spring — Management Information Systems
Jodi M. Fulfer, Midland — Management Information Systems
Sidney Thomas Gammel, Allen — Management Information Systems
Cary Don Gillit, Levelland — Management Information Systems
Steven Paul Giuliano, Coppell — Management Information Systems
Sarah Jean Graham, Lubbock — Management Information Systems
Johnny Lucus Guzman, Crosbyton — Management Information Systems
Angelia Marie Hahn, Lubbock — Management Information Systems
Justin Walker Hollis, Amarillo — Management Information Systems
William Glen Holloway, Mount Pleasant — Management Information Systems
Alan Ross Hutchison, Spearman — Management Information Systems
Matthew Allen Johnson, Fort Worth — Management Information Systems
Brady Thomas Jones, Dallas — Management Information Systems
Christopher Aaron Jones, Garland — Management Information Systems
Dustin Loyd Jordan, Meadow — Management Information Systems
Kristina Lynne Kallemeyn, Richardson — Management Information Systems
Matthew Ryan Kennedy, Waco — Management Information Systems
William Byron Kerneckel, Clear Lake — Management Information Systems
Kevin Patrick Kippie, Abilene — Management Information Systems
Jeffrey Thomas Kurth, Dallas — Management Information Systems
Matthew Brian Lasater, Odessa — Management Information Systems
Eric Michael Lindberg, Allen — Management Information Systems
Kimberly Kay Long, Lubbock — Management Information Systems
Henry Gustave Malmgren, III, Houston — Management Information Systems
James Gregory Milford, Lubbock — Management Information Systems
Katrina Nicole Miller, Houston — Management Information Systems
Jason Dan Moore, New Braunfels — Management Information Systems
Leonel Moreno, Dallas — Management Information Systems
Jason Wayne Nelson, Denison — Management Information Systems
John E. Osborn, Lubbock — Management Information Systems
Ryan Michael Perry, Southlake — Management Information Systems
Jennifer Diane Ragland, Andrews — Management Information Systems
Brian Matthew Randall, Floresville — Management Information Systems
Todd Andrew Reed, Dallas — Management Information Systems
Lori Anne Reines, Sunnyvale — Management Information Systems
Pamela Christine Roberts, Fort Worth — Management Information Systems
(Cum Laude)
Bonnie Michelle Rose, Littlefield — Management Information Systems/150
(Summa Cum Laude)
Benjamin Raymond Russell, III, Big Spring — Management Information Systems
Jose Manuel Ruvalcaba, Baytown — Management Information Systems
Jose Lazaro Salinas, Lubbock — Management Information Systems
Claire Olivia Schmoker, Plano — Management Information Systems
(Cum Laude)
James Bradley Self, Lubbock — Management Information Systems
Datron A. Shaw, Lubbock — Management Information Systems
Benjamin Scott Sokolovic, Dallas — Management Information Systems
John Charles Sullivan, Lubbock — Management Information Systems
Clayton Aristide Tauzin, Dallas — Management Information Systems
John Christopher Todd, Tulia — Management Information Systems
John Charles Turman, Austin — Management Information Systems
Cory L. Upton, Lubbock — Management Information Systems
Joel Tadashi Urano, Houston — Management Information Systems
Tiffany Katherine Vargas, Ozona — Management Information Systems
Sandy Joan Viertel, Carmine — Management Information Systems
Matthew Austin Walker, Allis — Management Information Systems
Jennifer Michele Warren, Stinnett — Management Information Systems/150
(Summa Cum Laude)
Michael Dean Wemhaner, Katy — Management Information Systems
Lisa Louise Wheelis, Garland — Management Information Systems
Christopher Lee Wright, Austin — Management Information Systems
Janice Marie Navaretta, Kingwood — Management Information Systems
Luis Francisco Anduaga Alzamora, Lima, Peru — Marketing
Michael R. Ayala, DeSoto — Marketing
Thomas Boyd Baldwin, Russell, KS — Marketing
(Cum Laude)
Jennifer Barker, Dallas — Marketing
Brae Shane Barton, Fort Worth — Marketing
Jaime Leigh Bauers, Plano — Marketing
Melissa Marie Berend, Hereford — Marketing
James Ryan Boldrick, Dallas — Marketing
Marcelo Borrelli, Miami, FL — Marketing
Courtney Christine Brown, Dallas — Marketing
Richard Dale Carroll, Lubbock — Marketing
Keely Dawn Coker-Hyde, Lubbock — Marketing
Mario A. Coscia, Houston — Marketing
Ryan Timothy Dill, Arlington — Marketing
Jack E. Dossett, Conroe — Marketing
Michael P. Dunlap, Richardson — Marketing
Ryan Elliott Files, Abilene — Marketing
Nicole Marie Foote, Toledo, OH — Marketing
Navneet Gautam, San Francisco, CA — Marketing
Jared Bradley Graham, Corinth — Marketing
Christin Suzanne Grider, Lubbock — Marketing
Luis Tomas Guerra, Laredo — Marketing
Kristin Anne Guthrie, Kingwood — Marketing
Courtney Lyn Hall, Abilene — Marketing
Tina Lorén Hernandez, Fort Worth — Marketing
(Cum Laude)
Erin Marie Hervey, Del Ray Beach, FL — Marketing
Molly Jo Higgs, Plano — Marketing
Christopher Lee Hill, Houston — Marketing
Kasey C. Howell, New Deal — Marketing
Lynna Suzanne Hyatt, Amarillo — Marketing
Michael Harold Inman, Houston — Marketing
John Kenneth Isham, Houston — Marketing
Trudy Lynell Kellogg, Englewood, CO — Marketing/150
(Summa Cum Laude)
Sara Lynn Kollmar, Amarillo — Marketing/150
Jillynda R. Kime, El Paso — Marketing
Billy Richard Laque, San Antonio — Marketing
Christopher John Lovelace, San Antonio — Marketing
Denesha LaNette Luke, Lubbock — Marketing
Michael Milan Macakanja, Kingwood — Marketing
James Gaines Matthews, Plano — Marketing
(Cum Laude)
Patricia Marie McDonald, Houston — Marketing
(Magna Cum Laude)
Jeffery Paul McDonnold, Humble — Marketing
Ryan W. McNamara, El Paso — Marketing
Amanda Marie Meiers, Lubbock — Marketing
Marcos Minor, Ralls — Marketing
Jorge Anthony Oneto, Spring — Marketing
Chance Kiefer Payton, Lamesa — Marketing
Catherine Marie Pirck, Spring — Marketing
(Magna Cum Laude)
Jonathan Mikel Reynolds, Dallas — Marketing
Jared Lee Roberts, Denton — Marketing
William Jay Robinson, Granbury — Marketing
(Magna Cum Laude)
David Sanger Sassano, Austin — Marketing
(Magna Cum Laude In Honor Studies)
Amy Katherine Smith, Fredericksburg — Marketing/150
(Cum Laude)
Amy Belle Stiehl, Big Spring — Marketing
Jay Paul Swindle, Greenville — Marketing
Shelly Louise Treppa, Newcastle — Marketing
Helena Elizabeth Wade, Midland — Marketing
Grant Alan Ward, Lubbock — Marketing
Julie Diana Warren, Austin — Marketing
David J. Weidberg, Plano — Marketing
Kelley Shea Winsor, Dallas — Marketing
Amy Dawn Wright, Denton — Marketing
Hollee Joy Wright, Eastland — Marketing
Steven Anthony Wygal, Plano — Marketing
Nathan Allen Young, Lubbock — Marketing
Gregory Jay Hanna, Amarillo — Petroleum Land Management
David Robert Smith, Midland — Petroleum Land Management

COLLEGE OF EDUCATION

Bachelor of Science

Amanda Dawn Altenreid, Conroe — Multidisciplinary Studies
(Magna Cum Laude)
Christopher Michael Barnhill, Amarillo — Multidisciplinary Studies
LeAnn Michele Popejoy Bielss, Sundown — Multidisciplinary Studies
(Magna Cum Laude)
Chrondra Lyn Bills, Iowa Park — Multidisciplinary Studies
(Cum Laude)
Autumn Janeen Burks Blesi, Arlington — Multidisciplinary Studies
(Summa Cum Laude)
Donna Marie Bunetto, Lubbock — Multidisciplinary Studies
(Cum Laude)
Martha Christina Lashaway Butler, Lubbock — Multidisciplinary Studies
(Cum Laude)
Elizabeth Ann Stone Calk, Uvalde — Multidisciplinary Studies
(Cum Laude)
Samantha Lynne Jones Cox, Combes — Multidisciplinary Studies
(Magna Cum Laude)
Jessica D. Creswell, Wilson — Multidisciplinary Studies
Janna Lee Davis, Kerrville — Multidisciplinary Studies
(Magna Cum Laude)
Guadalupe Garcia Delcambre, Lorenzo — Multidisciplinary Studies
Christie Renea Eaker, O'Donnell — Multidisciplinary Studies
(Summa Cum Laude)
Stephanie Leigh Faulk, Midland — Multidisciplinary Studies
Sheri Denise Gibson, Burkburnett — Multidisciplinary Studies
Betty Ruth Record Hall, Lubbock — Multidisciplinary Studies
(Cum Laude)
Shelly Denise Haney, Post — Multidisciplinary Studies
Lacee Jo Hecht, Aspermont — Multidisciplinary Studies
Anna Marie Helton, Sugarland — Multidisciplinary Studies
(Cum Laude)
Jodi Annette Fowler Hiser, Frisco — Multidisciplinary Studies
(Summa Cum Laude)
Courtney Leigh Jeakins, Plano — Multidisciplinary Studies
Carrie Lynne Martin Johnson, Littlefield — Multidisciplinary Studies
(Cum Laude)
Dana Katherine Johnson, Houston — Multidisciplinary Studies
Kari Melissa Johnson, Hale Center — Multidisciplinary Studies
Patricia Celeste Roberts Johnson, O'Brien — Multidisciplinary Studies
Tema Leah Khieu, Midland — Multidisciplinary Studies
Alicia Dawn Kubena, Hermleigh — Multidisciplinary Studies
Terry Lanell Kubena, Snyder — Multidisciplinary Studies
(Cum Laude)
Valerie LaNae Lewis, Dumas — Multidisciplinary Studies
Brandy Lea Lindema, Hondo — Multidisciplinary Studies
Tammy Jane Logston, Snyder — Multidisciplinary Studies
(Cum Laude)
Felicia Victoria Martinez, Lubbock — Multidisciplinary Studies
Monica Iris Martinez, Lubbock — Multidisciplinary Studies
Candice Leigh Maynard, Midland — Multidisciplinary Studies
Melonie Ann McCutchin, Lubbock — Multidisciplinary Studies
Kelly Lynn McWilliams, Colleyville — Multidisciplinary Studies
(Magna Cum Laude)
Shana Lyne Moreland-Rich, San Antonio — Multidisciplinary Studies
Paige Morgan, Katy — Multidisciplinary Studies
Donica Michelle Nice, Richardson — Multidisciplinary Studies
Lindsay Dawn Nicholas, Abilene — Multidisciplinary Studies
(Magna Cum Laude)
Josie Mai Phan, Hobbs, NM — Multidisciplinary Studies
(Cum Laude)
Janae Linn Pierce, Andrews — Multidisciplinary Studies
(Magna Cum Laude)
Rebecca Louise Brown Price, College Station — Multidisciplinary Studies
Paula M. Collins Randolph, Shallowater — Multidisciplinary Studies
Courtney ChristianneDettle Reynecke, Stratford — Multidisciplinary Studies
Bradley Noel Riemer, Austin — Multidisciplinary Studies
Amber R. Riley, Borger — Multidisciplinary Studies
(Magna Cum Laude)
Karen Michelle Schneider-Lusk, Lubbock — Multidisciplinary Studies
Wendy Nicole Wilson Scott, Ira — Multidisciplinary Studies
(Magna Cum Laude)
Jennifer Terrell Colwell Shepard, Nixon — Multidisciplinary Studies
Rachel Joanne Sitterly, Clovis, NM — Multidisciplinary Studies
Shelley Jean Alber Statler, Lubbock — Multidisciplinary Studies
(Magna Cum Laude)
Heather Lynn Stinebaugh, Lubbock — Multidisciplinary Studies
Lydia Suzanne Wortman Stroman, Arlington — Multidisciplinary Studies
(Magna Cum Laude)
Wilburn Carroll Talafuse, Jr., Shallowater — Multidisciplinary Studies
Carrie Michelle Price Teague, Houston — Multidisciplinary Studies
Randa Joan Theis, Sugarland — Multidisciplinary Studies
Kelley Jo Thomas, Lubbock — Multidisciplinary Studies
Annetta Marginia Weaver Womack, Katy — Multidisciplinary Studies
Brad Kenneth Burkholder, Jourdanton — Multidisciplinary Science
Kyndra Leigh Campbell, Ransom Canyon — Multidisciplinary Science

Bachelor of Science *(continued)*

Richard Wade McDowell, Lubbock — Multidisciplinary Science
Dana Renee Tkacs, Flower Mound — Multidisciplinary Science
Julie Elizabeth Wassberg, Bellevue, WA — Multidisciplinary Science

COLLEGE OF ENGINEERING

Bachelor of Arts in Engineering

Kimetra Lashaun Darden, Garland
Jennifer Ann Loftis, Midland
(Summa Cum Laude)
Ian David Oeser, Plymouth, MA
Todd Michael Zombar, El Paso

Bachelor of Science in Chemical Engineering

Antonio Gerardo Gonzalez, Lubbock
(Magna Cum Laude)
Yvonne Gutiérrez, El Paso
Richard Anthony Hernández, El Paso
Christopher Edward Johnson, El Paso
(Summa Cum Laude)
Fidel Kelly Martinez, PANAMA
Bryan David Pike, Mesquite

Bachelor of Science in Civil Engineering

Christopher Brian Aylor, Round Rock
Edyra Cheriece Bennett, Marion, IN
Nathan Christopher Billiot, Houston
Quincy Lee Curtis, Hereford
Michael Edwin Garcia, Odessa
William Karl George, Stephenville
Vanna Kay Groves, Richardson
Benito Hernandez, Jr.
Courtney Suzanne Iannazzo-Van Ingen, Fort Worth
Urmilla Neeta Jokhu, Wakenaam Island, GUYANA
Jennifer Lynn Lasater, Amarillo
(Magna Cum Laude)
Richard C. Lowe, Lubbock
Leonard Wayne Nail, Lubbock
David Barnett Owen, Kingwood
Robert Michael Preiss, Canyon Lake
Bryan Andrew Robertson, Plano
Leslie Joseph Selensky, Brownwood
William Grayland Smith, Fort Worth
Brian Matthew Stephens, Lubbock
Adam Lee Stewart, Lubbock
Heather Dawn Thompson, Amarillo
(Magna Cum Laude)
Ronald Shane Wade, Snyder
Sammy Neil Welch, Levelland
Michael Eric Wittle, Monahans
Tommy James Yanez, Abernathy

Bachelor of Science in Computer Science

James Andrew Beggs, Lubbock
Bryan Donald Bledsoe, Georgetown
Derek Michael Bradshaw, Baytown
William Arthur Brandt, Austin
Michael Louis Ciskowski, Artesia, NM
Reagan Timothy Johnson, Lubbock
Christopher James Palmer, Garland
Wendy Renee Pellegrini, Fondulac, WI
Noel Le-Garcia Rodolfo, Lubbock
Eric Matthew Schuele, Richardson
Christopher Blake Smith, Big Spring
Garry Oliver Smith, Lubbock
Stephen Randal Sorrell, Canadian
Adrian Urista, El Paso
Corey Aaron Wright, Carrollton

Bachelor of Science in Electrical Engineering

Cliff Howard Campbell
Hsien-Chih Chao, Houston
Rohit Benedict D'Souza, Bombay, INDIA
Philip Brant Edwards
Jeffery James Morton, Roby
Christopher Blake Smith, Big Spring
David Michael Taylor, Sanger
(Magna Cum Laude)
Thomas Wade Zemlock, Odessa

Bachelor of Science in Engineering Physics

David Aaron Bradley, Winters
Julian Andrew Hooker, Midland
Abraham Michael Vereide, Proctor, MT
(Cum Laude)

Bachelor of Science in Engineering Technology-Construction Option

David Sean Dailey, Trenton, NJ
Gregory Kenneth Farris, Plano
Brandon Lane Gage, Lubbock
Eric Cardon Hunzeker, Redmond, WA
Claudia Angelica Martinez, Del Rio
Casey Dane Matthews, Arlington
Eric Dolan McFarland, Sinton
Christopher Cade Nelms, Houston
Robert Geddings Rickenbacker, Houston
Jason Allen Rogers, Longview
Jimmy Daniel Russell, Midland
Jason Wade Smith, Turkey

Bachelor of Science in Engineering Technology-Electrical/Electronics Option

Kevin Andrew Egan, Plano
Brian Dale Gallimore, Lubbock
Kris Daron Kelley, Lubbock
Johnny Frankie Moreno, Sinton
Joe Richard Moreno, Abilene
Lawrence David Wilson, Jr., Lake Jackson

Bachelor of Science in Engineering Technology-Mechanical Option

Andrew Christian Agyemang, Arlington
John Richard Walker, Basking Ridge, NJ
Christopher Wade Williams, Lovington, NM

Bachelor of Science in Environmental Engineering

Michelle Leanne Horne, Lubbock
Ryan Scott Loveless
(Magna Cum Laude)

Bachelor of Science in Industrial Engineering

Mehmet Dilsiz, Istanbul, TURKEY
André E. Gibson, BARBADOS
John David Henson, Lubbock
Omar Martinez
Ramon Antonio Rock, Tegucigalpa, HONDURAS
John Richard Shockley, III, El Paso

Bachelor of Science in Mechanical Engineering

Nathan Ray Agnew, Lubbock
Abid Ali Khan, Bangalore, INDIA
Timothy H. Archer, Grand Prairie
Daniel Avitua
Timothy Ladd Beard, Midland
Jennifer Martina Bell, Houston
J Warne Carter, III, Burkburnett
Cody Don Casey
(Magna Cum Laude)
Edgar Kyle Chapman, Sabinal
Judson Robert Clark, Abilene
Jeremy Scott Dickson, Lubbock
(Magna Cum Laude)
Ahmed Mohamed Ebeid, Cairo, EGYPT
Jared Trey Edwards, Odessa
James Richard Erickson, Allen
Bugra Han Ertas
William August Evans, Gruver
Scott Ernest Genthner
Mitchell Alan Gumpl, Round Rock
Russell Allen Harding, Tool
Charles Randall Hensley
Dustin Houchin, Plainview
Bethanyanne Hunt
(Magna Cum Laude)
Michael David Lee, Buffalo, NY
Bradley Wade Lynskey, Lubbock
(Magna Cum Laude)
D. Scott MacLaughlin, Plano
Victor R. Martinez, Jr., Odessa
Jeremiah David McCalmont, Oswego, IL
(Summa Cum Laude)
Cody Weldon Pace, Granbury
James Dudley Reynolds, McLean
(Cum Laude)
Christine Ann Talkington, Austin
Jason Alan White, San Antonio

Bachelor of Science in Petroleum Engineering

Andrew S. Hanscom, Farmington, NM
Joshua Meyer Nichols, Breckenridge
Scott Douglas Stedman
(Cum Laude)

COLLEGE OF HUMAN SCIENCES

Bachelor of Interior Design

Pattarapong Burusnukul, Amarillo
(Cum Laude)
Tania Diane Etheredge, Llano
Jennifer Lynn Ingram, Allen
Michelle Suzanne Kelly, Spring
Jennifer Suzanne McFarland, Greenville

Bachelor of Science

Angela Christine North Boering, Fort Worth — Clothing, Textiles and Merchandising
Kristina Andrea Deleon, New York, NY — Clothing, Textiles and Merchandising
Jill Lynne Mitchell, Midland — Clothing, Textiles and Merchandising
(Magna Cum Laude)
Kendra Leigh Wells, Seguin — Clothing, Textiles and Merchandising
Brandon S. Cox, Austin — Family Financial Planning
Cheryll Rae Ross, Lubbock — Family Financial Planning
Tracy Duane Crawford, Tahoka — Food and Nutrition
Rachel Lynn Harland, Big Spring — Food and Nutrition
Ladia Maxine Hernandez, Victoria — Food and Nutrition
Mimi Sondra Hernandez, Victoria — Food and Nutrition
Traci Anne Hird, The Woodlands — Food and Nutrition
(Cum Laude)
Lesley Suzanne Laursen, San Antonio — Food and Nutrition
Jennifer Mame Mitchell, Lubbock — Food and Nutrition
Kevin Ward, Lubbock — Food and Nutrition
Jeri Ann Adkins, Lubbock — Human Development and Familly Studies
Karmen Kay Adkins, Rochester — Human Development and Familly Studies
Olivia Catherine Anselmi, Spring — Human Development and Familly Studies
Mary Elizabeth Archer, Paducah — Human Development and Familly Studies
Jenny Rebecca Baker, Bedford — Human Development and Familly Studies
Ida Adele Balderrama, Monahans — Human Development and Familly Studies
Tonya Kay Ballard, Lubbock — Human Development and Familly Studies
Michelle Renee Ballew, Raton, NM — Human Development and Familly Studies
Christie Gerrie Bankston, Lubbock — Human Development and Familly Studies
Lori Deaun Mahagan Benson, Hale Center — Human Development and Familly Studies
Jennifer Megan Black, Pasadena — Human Development and Familly Studies
Jana Susan Briles, Odessa — Human Development and Familly Studies
Nathanael Lewis Brown, Midland — Human Development and Familly Studies
(Summa Cum Laude)
Steven Kelly Burdick, Lubbock — Human Development and Familly Studies
Julia Christine Carruth, Lubbock — Human Development and Familly Studies
Hilary Queen Caruth, San Antonio — Human Development and Family Studies
Justin Casler, Lubbock — Human Development and Family Studies
Lisa Diane Kirby Cason, Lubbock — Human Development and Family Studies
Devon Deann Clark, Lubbock — Human Development and Family Studies
(Cum Laude)
Angela Elaine Cooper, Crane — Human Development and Family Studies
Christi Anne Corn, Farwell — Human Development and Family Studies
Angela Nicole Mansker Dear, Lubbock — Human Development and Family Studies
Carrie Rae Deeter, Katy — Human Development and Family Studies
(Cum Laude)
Amy Beth Dodge, Allen — Human Development and Family Studies
Barbara Kay Dolberry, Lubbock — Human Development and Family Studies
Erica Simmons Dopson, Lubbock — Human Development and Family Studies
Kristyn Nicole Eicher, Odessa — Human Development and Family Studies
(Cum Laude)
Kristine Rene Elmore, Lubbock — Human Development and Family Studies
Heather Danette Stewart Epley, Rochester — Human Development and Familly Studies
Heather Jo Ethridge, Lubbock — Human Development and Family Studies
Cynthia Ann Farris, Longview — Human Development and Family Studies
Heather Lynn Fife, Phoenix, AZ — Human Development and Family Studies
Angela Kay Finley, Beaumont — Human Development and Family Studies
Kristin Lea Gerhard, Midland — Human Development and Family Studies
(Cum Laude)
Clifton Kyle Gilbert, Lubbock — Human Development and Family Studies
(Magna Cum Laude)
Wendi Charisse Groves, Hale Center — Human Development and Family Studies
Julie Beth Hamilton, Weatherford — Human Development and Family Studies
Kelly Anne Hamilton, Houston — Human Development and Family Studies
Abbey Lee Hanson, Amarillo — Human Development and Family Studies
April Nicole Hastings, Maypearl — Human Development and Family Studies
Carrie Kathleen Helbing, Wichita Falls — Human Development and Family Studies
Jenny Renae Henderson, Lubbock — Human Development and Family Studies
Amy Cristan Hernandez, Lubbock — Human Development and Family Studies
Christie Ann Hewitt, Odessa — Human Development and Family Studies
Ronald Keith Hill, Lubbock — Human Development and Family Studies
Cynthia Lynn Holland, Lubbock — Human Development and Family Studies
Beth Anne Holt, Alachua, FL — Human Development and Family Studies
Sarah Lynn Jaeger, Dallas — Human Development and Family Studies
Brian Vernon Jefferies, Olton — Human Development and Family Studies
N. Elizabeth Johnson, Lubbock — Human Development and Family Studies
Lindsey Elizabeth Karcher, Vernon — Human Development and Family Studies
(Cum Laude)
Patrisha Lynn Kennedy, Plano — Human Development and Family Studies
Kristin J. Kight, Lubbock — Human Development and Family Studies

Bachelor of Science *(continued)*

Shawnda Yvette King, Sanford, FL — Human Development and Family Studies
Erin Lankford, Lubbock — Human Development and Family Studies
Sherman Lasker, III, Brookshire — Human Development and Family Studies
Terri D'Lyn Lennon, Lubbock — Human Development and Family Studies
David Paul Lowrie, Lubbock — Human Development and Family Studies
Amanda Leggett Madden, Plano — Human Development and Family Studies
Daphne Frausto Masson, Lubbock — Human Development and Family Studies
Christy Lynn McDonald, Abilene — Human Development and Family Studies
Lauren Marie McGee, Lubbock — Human Development and Family Studies
Kay Lyn Miller, Snyder — Human Development and Family Studies
(Magna Cum Laude)
Ginny Elizabeth Mitzelfelt, Farwell — Human Development and Family Studies
Jamie Lynn Morrison, Coppell — Human Development and Family Studies
(Cum Laude)
Ami Nicole Nalls, Lubbock — Human Development and Family Studies
Amber Leigh Newbill, Coppell — Human Development and Family Studies
Allison Kathleen Nichols, Dallas — Human Development and Family Studies
Lindsay Rhea Oliver, Lufkin — Human Development and Family Studies
Lori Marie Oujesky, North Richland Hills — Human Development and Family Studies
(Cum Laude)
Tricia Danette Owens, Munday — Human Development and Family Studies
Abby Michelle Parrish Gann, Odessa — Human Development and Family Studies
Leslie Lynn Gothard Prather, Lubbock — Human Development and Family Studies
Chelsea Autumn Renta, Lancaster — Human Development and Family Studies
Cristin René Renta, Lancaster — Human Development and Family Studies
Heather Michele Canup Rogers, Lubbock — Human Development and Family Studies
Heather Noel Rosengrants, Garland — Human Development and Family Studies
Christy Ann Rowton, San Antonio — Human Development and Family Studies
(Cum Laude)
Audrey Jean Saldivar, San Antonio — Human Development and Family Studies
(Magna Cum Laude)
Chanda Schmidt McNeme, Lubbock — Human Development and Family Studies
Susan Holly Scott, Sugarland — Human Development and Family Studies
Stefanie Anne Shannon, Fort Worth — Human Development and Family Studies
Misty Dawn Murphy-Smith, Lubbock — Human Development and Family Studies
Andrew Bryce Spencer, Plano — Human Development and Family Studies
Robin Joy Sullivan, Garland — Human Development and Family Studies
(Cum Laude)
Sabrina Mai Brown Swack, Conroe — Human Development and Family Studies
Leighann Benner Tamplen, Brownwood — Human Development and Family Studies
(Cum Laude)
Holly Melissa Taylor, Amarillo — Human Development and Family Studies
Melanie Camille Thacker, Abilene — Human Development and Family Studies
(Summa Cum Laude)
Jenny Walsh Trenary, Dallas — Human Development and Family Studies
Nicole Tennille Urban, Garland — Human Development and Family Studies
Christina Lea Vadala, The Woodlands — Human Development and Family Studies
Kara Lynn Vanderark, Plano — Human Development and Family Studies
Krista Michele Vogler, Lamesa — Human Development and Family Studies
Jill Louise Walser, Hereford — Human Development and Family Studies
Kimberly Michele Williams, Fort Worth — Human Development and Family Studies
Megan René Woodward, Dalhart — Human Development and Family Studies
Ann Marie Wright Williams, Cisco — Human Development and Family Studies
(Magna Cum Laude)
Sigrunn Michelle Yost, Granby, CO — Human Development and Family Studies
(Cum Laude)
Jessica Leona Buchen, Frisco — Family and Consumer Sciences

Bachelor of Science in Restaurant, Hotel and Institutional Management

Mary Christine Bennett, Houston
Michael William Betzold, Lubbock
Jennifer Lynn Blayer, Lubbock
Meredith Leigh Branson, Midland
Timothy Michael Cagney, Plano
Christopher Scott Carson, Plano
Stephen Thomas Christie, The Woodlands
Thomas Nolen Cope, Lubbock
Jacquelyn Ann Cullen, Hurley, NM
Samantha Elaine Davis, Lubbock
Staci Lea Dorotik, Lubbock
Wesley Don Everett, Snyder
Bethany Allison Farr, Hereford
(Magna Cum Laude)
Thomas Patrick Flowers, Albuquerque, NM
Matthew Robert Foster, Colorado Springs, CO
Sarah Louise Godfrey, Lubbock
Shane William Guinn, Richardson
(Cum Laude)
Brandy D'lyn Hays, Lubbock
Robert William Hogue, III, Carrollton
Deron Scott Houchins, Brownwood
Jacqueline Lee Hudgens, Midland
Horacio Moreno Jacobo, Big Lake
Andrew Joseph Martinez, Lubbock
Jeffrey Scott Meyer, Temple
Marcus Austin Nall, Austin
Brent Williams Neuman, Houston
Tricia Lynn Oleson, San Antonio
Kelly Eugene Pinkerton, Garland
Nicole Jane Rockwell-Cromey, Fair Oaks Ranch
Daniel Zackary Rogers, Arlington
Brian William Smith, Kingwood
Aaron Drew Stephenson, Arlington
Marcus Todd Stubblefield, Charlotte, NC
Craig Matthew Vanis, Omaha, NE
Angel Suan Wee, Singapore, CHINA
Kelly Rhea Wells, Lubbock
(Summa Cum Laude)

RESOLUTION

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

> One building, encompassing 44,814 sq. ft. at Reese Center (formerly Reese Air Force Base) in Lubbock, Texas. This will include building 535 (formerly the Commissary). The total area will include the grounds and parking lots.
>
> Five buildings, encompassing 95,218 sq.ft. at Reese Center (formerly Reese Air Foce Base) in Lubbock, Texas. This will include buildings 460, 461, 350, 250, 251 and 252. The total area will include the grounds and parking lots.
>
> Approximately 11.36 acres at Reese Air Force Base in Lubbock, Texas. This wil include buildings 551, 552, 553, 555 and 560. The total area will include the grounds, parking lots and a fenced yard area.

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

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

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

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

Board of Regents
Texas Tech University
Lubbock, Texas 79409

I, hereby certify that I, Mr. James L. Crowson, am the Assistant Secretary to the Board and that the foregoing resolution is a true and correct copy of the resolution adopted by the vote of a majority of the members of said Board of Regents present at a meeting of said Board on the 13th day of November,1998, at which a quorum ~~was present~~

Signed: _____

Mr. James L. Crowson
Assistant Secretary to the Board
Texas Tech University

TEXAS TECH UNIVERSITY
FINANCIAL BENCHMARKS FOR ATHLETIC PROGRAM
ANALYSIS OF OPERATIONS
FISCAL YEAR 1998

	Benchmark FY 1998	Maximum Threshold FY 1998	Total Operations: Actual Operations	Total Operations: % of Actual Operations	Over(Under) Benchmark	% Over(-Under) Benchmark	Over(Under) Threshold	% Over(-Under) Threshold
REVENUES AND OTHER ADDITIONS:								
REVENUES:								
Revenues Generated Directly by Athletic Program	10,224,500	N/A	9,750,442	77.83%	(474,058)	-4.64%	N/A	N/A
Red Raider Club & Agency Contributions	1,425,000	N/A	1,527,358	12.19%	102,358	7.18%	N/A	N/A
Total Revenues	11,649,500	N/A	11,277,800	90.02%	(371,700)	-3.19%	N/A	N/A
OTHER ADDITIONS:								
Transfers from Student Service Fees	760,700	836,770	781,309	6.23%	20,609	2.71%	(55,461)	-6.63%
Transfers from Other Fund Groups	140,411	154,452	142,812	1.14%	2,401	1.71%	(11,640)	-7.54%
Transfers from Other Auxiliary Enterprises								
Bookstore	310,426	341,469	326,588	2.61%	16,162	5.21%	(14,881)	-4.36%
Other Additions	-	-	-		-		-	
Total Other Additions	1,211,537	1,332,691	1,250,709	9.98%	39,172	3.23%	(81,982)	-6.15%
Total Revenues and other Additions	12,861,037	14,147,141	12,528,509	100.00%	(332,528)	-2.59%	(1,618,632)	-11.44%
EXPENDITURES AND OTHER DEDUCTIONS:								
EXPENDITURES:								
Operating Expenditures	12,240,376	13,464,414	12,160,972	80.22%	(79,404)	-0.65%	(1,303,442)	-9.68%
Expenditures from Reserve Fund Balances	1,052,718	1,157,990	2,389,909	15.77%	1,337,191	127.02%	1,231,919	106.38%
Total Expenditures	13,293,094	14,622,403	14,550,881	95.99%	1,257,787	9.46%	(71,522)	-0.49%
OTHER DEDUCTIONS:								
Transfers to Retirement of Indebtedness	149,000	163,900	148,895	0.98%	(105)	-0.07%	(15,005)	-9.15%
Transfers to Other Fund Groups	463,161	509,477	454,978	3.00%	(8,183)	-1.77%	(54,499)	-10.70%
Transfers to other Auxiliary Enterprises	8,500	9,350	4,730	0.03%	(3,770)	-44.35%	(4,620)	-49.41%
Other Deductions (list)	-	-	-	0.00%	-		-	
Total Other Deductions	620,661	682,727	608,603	4.01%	(12,058)	-1.94%	(74,124)	-10.86%
Total Expenditures and Other Deductions	13,913,755	15,305,131	15,159,484	100.00%	1,245,729	8.95%	(145,647)	-0.95%
Excess/(Deficit) of Revenues Over Expenditures	(1,052,718)		(2,630,975)					

*Explanation of Deviations and a Plan of action is attached for deviations over $50,000 and 5%.

TEXAS TECH UNIVERSITY

FINANCIAL BENCHMARKS SUMMARY WORKPAPER - REVENUE - YEAREND 98

	1994	1995	1996	1997	1998
REVENUE					
Athletics Department				15,017,988	11,631,536
Red Raider Club Gift Account				1,678,819	1,585,580
Less Transfer to ICA				(400,000)	(813,282)
Red Raider Club Promotions Account				5,067	3,695
Restricted Accounts				100,195	100,650
Other Agency Accounts					20,330
TOTAL REVENUES	10,001,446	11,720,832	13,164,975	16,402,069	12,528,509
REVENUES					
REVENUES DIRECTLY GENERATED					
BY ATHLETICS PROGRAM	7,377,690	8,780,604	9,927,663	13,430,825	9,750,442
Gifts - Double T Shoppe				50,000	
Gifts - Academic Income					190
Gifts - Red Raider Club	1,359,573	1,700,635	1,935,006	1,522,310	1,468,218
Gifts - Restricted Accounts	113,940	69,881	54,338	90,186	41,530
Gifts - Other Agency Accounts					17,420
RED RAIDER CLUB, RESTRICTED &					
AGENCY ACCOUNT CONTRIBUTIONS	1,473,513	1,770,516	1,989,344	1,662,496	1,527,358
TOTAL REVENUES PER REPORT	8,851,203	10,551,120	11,917,007	15,093,321	11,277,800
OTHER ADDITIONS					
STUDENT SERVICE FEES	675,000	695,700	759,400	760,700	781,309
Support of Women's Athletics(Fm 0465-Gen Clrg)	213,130	142,087	142,087	165,623	82,812
Scholarships for W. Soccer (Fm0459-Logo Lic)	-	72,000	72,000	72,000	60,000
TRANSFERS FROM OTHER FUND GROUPS	213,130	214,087	214,087	237,623	142,812
Institutional Support Funds (Fm1127-Bookstore)	262,113	259,925	274,481	310,425	326,588
TRANSFERS FROM AUXILIARY FUNDS	262,113	259,925	274,481	310,425	326,588
OTHER ADDITIONS	-	-	-	-	-
TOTAL OTHER ADDITIONS PER REPORT	1,150,243	1,169,712	1,247,968	1,308,748	1,250,709
TOTAL REVENUES & OTHER ADDITIONS	10,001,446	11,720,832	13,164,975	16,402,069	12,528,509

TEXAS TECH UNIVERSITY

FINANCIAL BENCHMARKS SUMMARY WORKPAPER - EXPENSES - YEAREND FY98

	1994	1995	1996	1997	1998
EXPENSES:					
Athletics Department					14,021,444
Red Raider Club-Gift & Promotions Accts					978,487
Restricted Accounts					144,168
Other Agency Accounts					15,385
TOTAL EXPENSES	9,635,156	10,984,024	14,379,919	15,646,720	15,159,484
EXPENDITURES:					
Coaches salaries					
Other Salaries					
Fringe Benefits					
Travel					
Financial Aid					
Maintenance & General Administration					
Equipment Purchases					
Telephone					
Insurance					
Awards					
Other Expenditures					
TOTAL OPERATING EXPENDITURES	9,271,603	10,186,330	11,164,327	15,091,016	14,550,881
TOTAL EXPENDITURES:					
OTHER DEDUCTIONS:					
Bond	82,242	143,094	138,323	144,676	148,895
TRANSFERS TO RETRMNT/INDEBTEDNESS	82,242	143,094	138,323	144,676	148,895
Dan Law Field Elevator	-	-	120,000		
Athletics Office Renovation	-	-	20,000		
Reserve for Arena	-	-	1,000,000		
Athletics Services Building	-	350,000	-	-	
Fuller Track Renovation	-	-	538,000	-	
Administrative Charge	226,811	236,390	250,946	310,425	363,161
Trf Acct	-	-	1,032,180	18,548	91,817
TRANSFERS TO OTHER FUND GROUPS	226,811	586,390	2,961,126	328,973	454,978
Band	3,000	3,000	36,333	6,000	2,000
Cheerleaders	2,500	2,500	2,500	-	2,730
Band - Bowl	49,000	57,710	75,000	73,055	
Cheerleaders - Bowl	-	5,000	2,310	3,000	
TRANSFERS TO OTHER AUXILIARY GROUPS	54,500	68,210	116,143	82,055	4,730
TOTAL OTHER DEDUCTIONS PER REPORT	363,553	797,694	3,215,592	555,704	608,603
TOTAL EXPENDITURES & OTHER DEDUCTIONS	9,635,156	10,984,024	14,379,919	15,646,720	15,159,484

TEXAS TECH UNIVERSITY
FINANCIAL BENCHMARKS FOR ATHLETIC PROGRAMS
HISTORICAL DATA - FY 1994 - 1998

	Actual FY 1994	Actual FY 1995	Actual FY 1996	Actual FY 1997	Actual FY 1998	Benchmark FY 1999	Maximum Threshold FY 1999
REVENUES AND OTHER ADDITIONS:							
Revenues Generated Directly by Athletic Department	7,377,690	8,780,604	9,927,663	13,430,825	9,750,442	12,345,950	N/A
Red Raider Club & Agency Contributions	1,473,513	1,770,516	1,989,344	1,662,496	1,527,358	1,500,000	N/A
TOTAL REVENUES	8,851,203	10,551,120	11,917,007	15,093,321	11,277,800	13,845,950	N/A
OTHER ADDITIONS:							
Transfers from Student Service Fees	675,000	695,700	759,400	760,700	781,309	780,700	858,770
Transfers from Other Fund Groups	213,130	214,087	214,087	237,623	142,812	48,000	52,800
Transfers from Other Auxiliary Enterprises							
Bookstore	262,113	259,925	274,481	310,425	326,588	310,426	341,469
Other Additions	-	-	-	-	-	-	-
TOTAL ADDITIONS	1,150,243	1,169,712	1,247,968	1,308,748	1,250,709	1,139,126	1,253,039
TOTAL REVENUES & OTHER ADDITIONS	10,001,446	11,720,832	13,164,975	16,402,069	12,528,509	14,985,076	16,483,584
EXPENDITURES AND OTHER DEDUCTIONS:							
EXPENDITURES:							
Operating Expenditures	9,271,603	10,186,330	9,949,383	15,091,016	12,160,972	13,658,355	15,024,191
Expenditures from Reserve Fund Balances	-	-	1,214,944	-	2,389,909	-	-
TOTAL EXPENDITURES	9,271,603	10,186,330	11,164,327	15,091,016	14,550,881	13,658,355	15,024,191
OTHER DEDUCTIONS:							
Transfers to Retirement of Indebtedness	82,242	143,094	138,323	144,676	148,895	905,720	996,292
Transfers to Other Fund Groups	226,811	586,390	2,961,126	328,973	454,978	412,501	453,751
Transfers to Other Auxiliary Enterprises	54,500	68,210	116,143	82,055	4,730	8,500	9,350
Other Deductions (list)	-	-	-	-	-	-	-
TOTAL OTHER DEDUCTIONS	363,553	797,694	3,215,592	555,704	608,603	1,326,721	1,459,393
TOTAL EXPENDITURES & OTHER DEDUCTIONS	9,635,156	10,984,024	14,379,919	15,646,720	15,159,484	14,985,076	16,483,584

TEXAS TECH UNIVERSITY - BOARD RATIFICATION ITEMS (July 1, 1998 - September 30, 1998)

NO.	ACTIVITY	SOURCE OF FUNDS OTHER	INCOME	EXPENSE	REMARKS
SM03799	Development Annual Giving Fund		180,000	180,000	Establish budget authority for Development Annual Giving account
SM04547	University Center Food Services		100,000	100,000	Revenue and expenses are adjusted to reflect higher sales volume
SM04718	TTU Band and Orchestra Camp		111,472	111,472	Budget over-realized revenue
SM04878	Development Endowment Earnings and Set Aside Fee		100,000	100,000	Budget fee income
SM04851	Development Capital Campaign		100,000	100,000	Transfer funding from Development Endowment Earnings to Development Capital Campaign to provide funding for operating
AB03841	University Computing Services	100,000		100,000	Transfer funds from fund balance to upgrade software on the mainframe
AB03536	Building/Utilities Maintenance -		245,000	245,000	Increase the expenditure authority in this account to ensure that all projects will be completed by year end (8/31/99)
	Reimbursable Projects				
SM00360	Ranching and Heritage Center	192,000		192,000	Transfer funding from the fund balance of 3720 to provide for various expenditures
	Red Raider Plaza	225,000		225,000	Substitution of Funding Source from Ex-Students Association to Refinance Bond Reserve Fund (3270).

TEXAS TECH UNIVERSITY - BOARD APPROVAL ITEMS (July 1, 1998 - September 30, 1998)

NO.	ACTIVITY	SOURCE OF FUNDS OTHER	INCOME	EXPENSE	REMARKS
BOARD	APPROVAL:				
SM04631	Undergraduate Scholarships	300,000		300,000	Transfer funding from fund balance for scholarships
SM04870	Continuing Education - Computer Resources	660,000		660,000	Transfer funding from fund balance in order to purchase two new heavy-duty copiers

TEXAS TECH UNIVERSITY - BOARD RATIFICATION ITEMS (July 1, 1998 - September 30, 1998)

NO.	ACTIVITY	SOURCE OF FUNDS OTHER	INCOME	EXPENSE	REMARKS
Salary Increases of 10% or more:					
	Per Annum	CURRENT SALARY	NEW SALARY	% INCREASE	
	Jamie Lynn McCann	$41,756	$53,724	29%	Upgrade position from Asst. Director of Facilities Planning to Director of Interiors
	Rebecca Sofia Rodriquez	$24,004	$28,128	17%	Promotion to Regional Recruitment Coordinator
	Katherine Ann Stalcup	$34,116	$44,220	30%	Reclassification from a Network Support Specialist to a Manager of Technical Programs
	Josh C. Murray	$24,744	$28,344	15%	Salary Increase
	Jarret L. Mallon	$28,128	$31,728	13%	Salary Increase
	Karen Hamel	$28,128	$34,020	21%	Salary Increase
	Martha Grassel	$52,780	$65,000	23%	Salary Increase
	Rhonda Davis	$24,744	$28,044	13%	Salary Increase
	Dale E. Ganus	$28,128	$31,728	13%	Salary Increase
	Ronald Keith Damron	$58,056	$68,000	17%	Salary Increase
	Judith Henry	$58,916	$70,000	19%	Salary Increase
	Wesley J. Cochran	$99,085	$113,240	14%	Promotion to Associate Dean
	Bolanle Olaniran	$42,124	$50,124	19%	Salary Increase
	Ramesh Krishnan	$36,000	$42,300	18%	Salary Increase
	Kent B. Towns	$40,193	$53,500	33%	Salary Increase