



**TEXAS TECH UNIVERSITY SYSTEM**

**BOARD OF REGENTS**

**AGENDA BOOK**

**October 4, 2018**

BOARD OF REGENTS  
TEXAS TECH UNIVERSITY SYSTEM

AGENDA

October 4, 2018

BOARD OF REGENTS

Mr. L. Frederick “Rick” Francis, Chairman

Mr. Tim Lancaster, Vice Chairman

Mr. John D. Esparza

Mr. Ron Hammonds

Mr. Christopher M. Huckabee

Mr. J. Michael Lewis

Mr. Mickey L. Long

Mr. John D. Steinmetz

Mr. John B. Walker

Ms. Jane Gilmore, Student-Regent

Standing Committees:

Academic, Clinical and Student Affairs:

John Esparza; Jane Gilmore, John Steinmetz; John Walker (Chair)

Audit:

Chris Huckabee; Ron Hammonds; Mickey Long (Chair)

Facilities:

John Esparza (Chair); Mickey Long; John Walker

Finance and Administration:

Chris Huckabee; Michael Lewis; John Steinmetz (Chair)

# **AGENDA**

**Board of Regents Meeting**

**Lubbock, Texas**

**October 4, 2018**

Abbreviated Agenda with Approximate Times\*

**Thursday, October 4, 2018**

Joint Meeting of the TTUS Board of Regents,  
the Executive Committee of the Texas Tech Foundation Board,  
the Investment Advisory Committee,  
and the ASU Foundation Board

8:30 am	Call to Order; convene Meeting of the Board Meeting of the Committee of the Whole for a joint meeting with the Executive Committee of the Texas Tech Foundation Board, the Investment Advisory Committee, and the ASU Foundation Board Location: Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas
9:30 am	Recess

*CONTINUED ON NEXT PAGE*

\*For general information. All open session meetings of the Board of Regents will take place in the Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas. Any executive session meetings that should occur throughout the day will take place in the Regents Committee Room (106), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas. The times listed are estimates, with periodic recesses. On Thursday, October 4, 2018, the Meeting of the Board will convene and participate in a "Joint Meeting" with the Executive Committee of the Texas Tech Foundation Board, the Investment Advisory Committee, and the ASU Foundation Board, no earlier than 8:30 am. The Joint Meeting is expected to end at approximately 9:30 am. After a short break, the Meeting of the Board will reconvene at approximately 9:50 am for introduction and recognition presentations. The Meeting of the Board will recess after introductions/recognition presentations at which time committee meetings will commence. The Board will reconvene as a Meeting of the Board/Committee of the Whole after the last committee meeting adjourns at approximately 11:25 am to complete the remainder of its normal business. A lunch break will be taken whenever deemed appropriate. The Meeting of the Board is expected to adjourn on or before 5:00 pm; however, if needed, the meeting may continue beyond 5:00 pm until completed. The full board agenda is detailed on pages vi through xii. The agenda for each session of the board meeting or a meeting of a committee of the board is detailed behind the appropriate divider tab.

**Board of Regents Meeting**

**Lubbock, Texas**

**October 4, 2018**

Abbreviated Agenda with Approximate Times\*

**Thursday, October 4, 2018**

Meeting of the Board

*CONTINUED FROM PREVIOUS PAGE*

9:50 am (or after a short break upon adjournment of the Joint Mtg/recess of the Mtg of the Board)	Call to Order; reconvene Meeting of the Board Introductions and Recognitions Location: Regents Committee Room (106), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas
10:10 am	Recess <i>CONTINUED ON NEXT PAGE</i>

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## Board of Regents Meeting

Lubbock, Texas

October 4, 2018

Abbreviated Agenda with Approximate Times\*

**Thursday, October 4, 2018**

Meeting of Standing Committees  
(Conducted sequentially)

*CONTINUED FROM PREVIOUS PAGE*

<p>10:10 am (or after recess of the Mtg of the Board)</p>	<p>Facilities Committee Location: Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas</p>
<p>11:00 am (or upon adjournment of the Facilities Cmte. meeting)</p>	<p>Academic, Clinical and Student Affairs Committee Location: Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas</p>
<p>11:05 am (or upon adjournment of the ACS Cmte. meeting)</p>	<p>Audit Committee Location: Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas</p>

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## Board of Regents Meeting

Lubbock, Texas

October 4, 2018

Abbreviated Agenda with Approximate Times\*

**Thursday, October 4, 2018**

### Meeting of the Board

*CONTINUED FROM PREVIOUS PAGE*

11:25 am  
(or after last committee  
meeting adjourns)

Call to Order; reconvene as Meeting of the Board and  
Committee of the Whole Board

- Meeting of the Committee of the Whole and the  
Board

Location: Regents Conference Room (104A), First Floor,  
System Building, 1508 Knoxville Avenue, Lubbock,  
Texas

*LUNCH BREAK AT APPROXIMATELY 12:10 TO 1:00 PM*

1:00 pm

Executive Session

Location: Regents Conference Room (104A), First Floor,  
System Building, 1508 Knoxville Avenue, Lubbock,  
Texas

4:50 pm

Following Executive Session, reconvene into Open Session  
as Committee of the Whole

Location: Regents Committee Room (106), First Floor,  
System Building, 1508 Knoxville Avenue, Lubbock,  
Texas

5:00 pm

Recess

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**Board of Regents Meeting**

**October 4, 2018**

**Agenda**

**Thursday, October 4, 2018**

**Regents Conference Room (104A), First Floor,  
System Building, 1508 Knoxville Avenue,  
Lubbock, Texas**

**I. Joint Meeting of the TTUS Board of Regents, the Executive Committee of the Texas Tech Foundation Board, the Investment Advisory Committee, and the ASU Foundation Board/Meeting of the Board—  
Call to Order; convene into Open Session of the Board**

Refer to agenda provided by Office of Investments/Office of the Chief Financial Officer.

Location: Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas

- A. Introductions ..... Chairman Francis
- B. 2018 Economy/Market Review.....Tim Bruce (NEPC)
- C. Investment Performance Review .....Tim Barrett
- D. Questions/Answers

**II. Adjournment of Joint Meeting/Recess**

**Meeting of the Board ..... Chairman Francis**

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**NOTE: A short break will be taken after the adjournment of the Joint Meeting/recess of the Meeting of the Board to reset the Board Room.**

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**III. Meeting of the Board—Call to Order; reconvene into Open Session of the Board**

- A. Introductions and Recognitions ..... Interim Chancellor & President Mitchell, President May, President Schovanec, and President Lange

**IV. Recess**



**V. Meeting of Standing Committees**

Location: Regents Conference Room (104A), First Floor, System Building,  
1508 Knoxville Avenue, Lubbock, Texas

A. Facilities Committee

		<u>Page</u>
		F
1.	ASU: Approve budget for the Food Service Center Renovation project .....	3
2.	TTU: Approve total project budget for a new Athletic Dining Facility .....	5
3.	TTU: Approve budget adjustment for the Football Training Facility Renovation and Expansion project.....	6
4.	TTU: Approve budget adjustment for the Jones AT&T Stadium East Building finish-out project .....	8
5.	TTU: Approve budget adjustment for the new School of Veterinary Medicine project .....	10
6.	TTU: Approve preliminary budget for the National Ranching Heritage Center’s Ranch Life Learning Center project.....	12
7.	TTU: Approve budget for the abatement and demolition of the Lubbock Municipal Auditorium and Coliseum project.....	14
8.	TTUHSC: Approve budget adjustment for the Lubbock Expansion project .....	16
9.	TTUS: Report on Facilities Planning and Construction projects.....	18
10.	Adjournment	

B. Academic, Clinical and Student Affairs Committee

		<u>Page</u>
		ACS
1.	ASU: Approve revisions to the admissions requirements at Angelo State University .....	2
2.	TTU: Approve appointments with tenure .....	3
3.	TTUHSC El Paso: Approve appointment with tenure .....	4

- 4. Adjournment
- C. Audit Committee

Page  
A

- 1. TTUS: Report on audits.....3
- 2. Executive Session: The Audit Committee will convene into Executive Session in the Regents Committee Room (106), First Floor, System Building, 1508 Knoxville Avenue, to consider matters permissible under Chapter 551 of the Texas Government Code, including:
  - a. Consultation with Attorney — Section 551.071.
  - b. Discussion of personnel matters – Section 551.074.
- 3. Open Session: At the conclusion of Executive Session, the committee will convene into Open Session in the Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, to consider appropriate action, if any, on items discussed in Executive Session.
- 4. Adjournment

**VI. Meeting of the Board—Call to Order; reconvene into Open Session of the Board ..... Chairman Francis**

**VII. Open Session:** The Board will continue in Open Session and meet as a Committee of the Whole and Meeting of the Board to consider and act on:

- A. Approve minutes of board meetings held on August 9-10, 2018 and August 20, 2018..... Chairman Francis
- B. Committee of the Whole..... Vice Chairman Lancaster

Page  
CW

- 1. ASU, TTU, TTUHSC, TTUHSC El Paso, TTUSA and TTUS: Approve Consent Agenda; acknowledge review of Information Agenda ..... 7

**Consent Agenda**

- a1. TTU: Approve employee appointment to non-elective position (ACS)
  - a. TTUHSC: Approve faculty development leave of absence (ACS)
  - b. TTUHSC: Approve expansion of the existing Doctor of Science in Rehabilitation Sciences Program in Lubbock (ACS)
  - c. TTUS: Approve appointment of new members to the Board of Directors of Texas Tech Foundation, Inc (CW)
  - d. TTU: Approve modification of naming of Basketball Practice Facility (F)
  - e. TTU: Approve project for KTTZ Tower Repack (F)
  - f. ASU: Approve commissioning of police officers (FA)
  - g. TTU: Approve commissioning of police officers (FA)
  - h. TTU: Approve modification of College of Mass Communication endowment (FA)
  - i. TTU: Approve modification of Pertain-Pasewark Scholarship Endowment (FA)
  - j. TTU: Approve modification of Bobby Baker Memorial Scholarship Endowment (FA)
  - k. TTU: Approve modification of Bryan Pearce Bagley Regents Chair in the College of Engineering Endowment (FA)
  - l. TTU: Approve Collections Management Policy of the Museum (FA)
  - m. TTU: Approve purchasing contracts in excess of \$1,000,000 (FA)
  - n. TTUHSC: Approve submission of request to exceed the Full Time Equivalent ("FTE") limitation established by the General Appropriations Act (FA)
  - o. TTUHSC El Paso: Approve modification of quasi endowments (FA)

**Information Agenda**

Information is provided as required by Section 01.02.7.d(4)(c), *Regents' Rules*

- (1) TTUHSC and TTUHSC El Paso: Contracts for ongoing and continuing health-related service relationships as per Section 07.12.4.c, *Regents'*

Rules – “Notwithstanding Section 07.12.3.a or Section 07.12.3.b, *Regents’ Rules*, the board delegates to the presidents of health-related institutions the authority to approve the proposals and execute and sign contracts for health related services, as specified herein. This delegation is limited to contracts with entities for which the institution has an ongoing and continuing contractual relationship, to include: revenue contracts from which the institution receives payment for health related services; participation in health provider networks; resident or faculty support; and expense contracts with healthcare providers or suppliers necessary to fulfill the obligation to provide health related services as part of a revenue contract. Before such a contract may be executed, the president shall obtain the prior review of the TTUS Office of General Counsel and the TTUS vice chancellor and chief financial officer, or their designees. A list of health related services contracts that have been executed under this delegation of authority since the previous regular board meeting shall be provided to the board as an information item at the next regular board meeting.”

- (2) TTUHSC El Paso: Consulting contracts with an initial consideration of \$25,000 or less per Section 07.12.4.e.(2), *Regents’ Rules* – “(a) Board approval is not required, but the vice chancellor and chief financial officer, in consultation with the chancellor, presidents, and chief financial officers of the institutions, shall review consulting contracts of \$25,000 or less prior to execution of the contract by the chancellor or president, as appropriate. (b) A report of the contract shall be provided as an Information Agenda item at the next board meeting.”
- (3) TTUHSC: Contracts for sponsored programs projects in excess of \$1,000,000 per annum as provided by Section 07.12.4.b., *Regents’ Rules*: “Notwithstanding Section 07.12.3.a, *Regents’ Rules*, the board delegates to the presidents the authority to approve the proposals and execute and sign contracts for sponsored program projects in excess of \$1,000,000 per annum. Sponsored program projects are those grants, contracts, and cooperative agreements from either the public or private sectors that support research, instructional, and service projects. A list of such contracts for sponsored program projects in excess of \$1,000,000 per annum shall be provided to the board as an information item at the next regular board meeting.”
- (4) ASU: Exception to Nepotism per Sections 03.01.11.h and 03.01.11.f, *Regents’ Rules* -- 03.01.11.h: “All instances where an employee marries an administrative supervisor, is placed under the administrative supervision of a relative, or is made the

administrative supervisor of a relative within the prohibited degree shall be reported to the board as an information item.” 03.01.11.f: “If the appointment, reappointment, reclassification, or promotion of an employee makes the employee an administrative supervisor over an employee who is related within a prohibited degree, all subsequent personnel and compensation actions affecting the subordinate employee shall become the responsibility of the next higher administrative supervisor.”

**VIII. Reports of Standing Committees:** Standing Committee reports will be presented sequentially to the Committee of the Whole.

- A. Report of the Facilities Committee .....Regent Esparza
- B. Report of the Academic, Clinical and Student Affairs Committee.....Regent Walker
- C. Report of the Audit Committee .....Regent Long

**IX. The Board will continue in Open Session as the Committee of the Whole and Meeting of the Board of Regents.**

- A. Schedule for Board meetings:  
 December 13-14, 2018, Lubbock  
 February 21-22, 2019, Lubbock  
 May 16-17, 2019, Lubbock  
 August 8-9, 2019, Lubbock  
 December 12-13, 2019, Lubbock ..... Ben Lock
- B. Student Government Association Reports .....Shayna Mullen,  
 Sean Lewis,  
 Brooke Walterscheid,  
 and Sajid Leelani

**X. Executive Session:** The Board may convene into Executive Session, in the Regents Committee Room (106), First Floor, System Building, 1508 Knoxville Avenue to consider matters permissible under Chapter 551 of the *Texas Government Code*, including, for example:..... Chairman Francis

- A. Consultation with attorney regarding privileged communications, pending or contemplated litigation and settlement negotiations – Section 551.071
- B. Deliberations regarding real property: The purchase, lease, exchange, or value of real property – Section 551.072

- C. Deliberations regarding prospective gifts – Section 551.073
- D. Personnel matters: Discuss the appointment, employment, evaluation, reassignment, duties, discipline or dismissal of employees – Section 551.074
- E. Deliberations regarding security devices—deployment of security personnel or devices – Section 551.076

**XI. Open Session:** The Board will convene into Open Session in the Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue and meet as a Committee of the Whole and Meeting of the Board to consider and act on:

- A. Consideration of appropriate action, if any, on items discussed in Executive Session ..... Vice Chairman Lancaster
- B. Chairman’s Announcements ..... Chairman Francis

**XII. Adjournment** ..... Chairman Francis

# **FACILITIES**

**Facilities Committee**

Committee Meeting  
October 4, 2018

**Time:** 10:10 am (or upon recess of the Meeting of the Board)

**Place:** Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas

Regents: Esparza (Chair), Long, Walker

Agenda

- Approve minutes of committee meetings held on August 9, 2018
- V.A.** Consideration of items to be recommended by the Facilities Committee to the Board of Regents of the Texas Tech University System (“TTUS”) for and on behalf of Angelo State University (“ASU”), TTUS, the TTU System Administration (“TTUSA”), Texas Tech University (“TTU”), Texas Tech University Health Sciences Center (“TTUHSC”), and Texas Tech University Health Sciences Center at El Paso (“TTUHSC El Paso”)

Page  
F

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9.	TTUS: Report on Facilities Planning and Construction projects .....	18
10.	Adjournment	

NOTE: Following consideration of the above items by the committee, the Committee Chair will present the Committee Report to the full Board of Regents for its consideration on Thursday, October 4, 2018.

## 1. **ASU: Approve budget for the Food Service Center Renovation project.**

Presenter: Mr. Billy Breedlove

Presentation Time: 5 minutes

Board approval required by: Section 08.01.3, *Regents' Rules*

### **RECOMMENDATION**

The chancellor concurs with the recommendation of the president that the Board of Regents authorize the chancellor or the chancellor's designee to (i) establish a budget of \$6,000 for the renovation of the Food Service Center with an anticipated total project budget of \$7,517,975; (ii) waive the board directed fees for landscape enhancements and public art; and (iii) award the Construction Manager at Risk agreement for pre-construction services. The budget will be funded from the balance of the Chartwells Higher Education Dining Services' food service contract credit to Angelo State University.

### **BACKGROUND INFORMATION**

The construction budget will allow the Construction Manager at Risk to provide pre-construction services to prepare a Guaranteed Maximum Price ("GMP") for the entire project and prepare for the award of the asbestos abatement and demolition phase of the work.

In May 2018, the Board of Regents approved an amendment for third-party hiring of design professional for renovation of the Food Service Center with a budget of \$620,120. An amendment to the Chartwells Agreement quantified the scope of services and cost of those services for capital improvements funded by Chartwells and required any agreement with the Compass Group's associated design professionals to provide that the Institution (i) is a third party beneficiary as to such design services; and (ii) is granted the right to use any plans, drawings, and specifications developed by the Compass Group's associated design professionals for the Institution's Food Service Center renovation project.

The Institution's existing Food Service Center building with 27,904 GSF was originally constructed in 1968. The project will remodel approximately 19,000 SF which includes the Cafeteria, Food Service Center and Roscoe's Den. The kitchen area will be refinished with quarry tile, moisture resistant wall coverings, and new food service equipment. The cooking ventilation and fire protection system will be updated. The cafeteria management offices will have interior finishes refurbished. The cafeteria's dining area will be redesigned to meet current and future dining needs and include new interior finishes, furniture and fixtures. A new 2,500 amp electrical service will be included for the building, as well as electrical distribution and lighting.

For reference, this project is listed on the Texas Higher Education Coordinating Board's Capital Expenditure Plan ("MP1") Summary Report (Fiscal Years 2018-2022) proposed as renovation of an existing 27,904 GSF facility, estimated at \$9,000,000.

The vice president for finance and administration has verified the source of funds. The vice chancellor and chief financial officer of the TTU System also acknowledges the source of the funds for this project.

## **2. TTU: Approve total project budget for a new Athletic Dining Facility.**

Presenter: Mr. Billy Breedlove & Mr. Kirby Hocutt      Presentation Time: 5 minutes  
Board approval required by: Section 08.01.3, *Regents' Rules*

### **RECOMMENDATION**

The chancellor concurs with the recommendation of the president that the Board of Regents authorize the chancellor or the chancellor's designee to (i) accept the Guaranteed Maximum Price ("GMP") for construction of a new Athletic Dining Facility; (ii) increase the budget by \$4,901,642 for a total project budget of \$5,500,000; and (iii) amend the Construction Manager at Risk ("CMR") contract. The budget increase will be funded with Gifts (cash). The total project budget includes the previously board authorized budgets from Gifts (\$378,358 cash) and Athletics Revenue (\$220,000 cash).

The chancellor further recommends that the president be authorized to negotiate and execute any and all agreements with city, state, and county agencies, utility companies and other entities required to successfully complete the project.

### **BACKGROUND INFORMATION**

This approval grants authority to construct an 8,988 GSF Athletic Dining Facility with approximately 211 seats to serve approximately 400 athletes. The facility will include multiple dining environments; educational kitchen; a full service kitchen with storage area, scullery, and walk-in cooler and freezer; men's and women's restrooms; operations office; and a service area. The scope of this project also includes site utility infrastructure work, landscape enhancements and public art.

In August 2018, the Board of Regents approved a budget increase of \$373,388 for the Design Professional to move forward with the Design Development, Construction Documents, and Construction Administration Phases, and to provide a refined Statement of Probable Cost and project schedule.

In October 2017, the Board of Regents approved concept and Stage I design budget of \$220,000 for a new Athletic Dining Facility with a budget of \$5,500,000. Then in March 2018 the board authorized the award of the Construction Manager at Risk contract for pre-construction services only. The Stage I budget was increased by \$4,970 for a total of \$224,970.

The vice president for administration and finance and chief financial officer has verified the source of funds. The vice chancellor and chief financial officer of the TTU System also acknowledges the source of the funds for this project.

**3. TTU: Approve budget adjustment for the Football Training Facility Renovation and Expansion project.**

Presenter: Mr. Billy Breedlove & Mr. Kirby Hocutt      Presentation Time: 5 minutes  
Board approval required by: Section 08.01.3, *Regents' Rules*

**RECOMMENDATION**

The chancellor concurs with the recommendation of the president that the Board of Regents authorize the chancellor or the chancellor's designee to (i) increase the budget by \$339,104 for a total of \$589,104 for the Football Training Facility Renovation and Expansion ("FTF") project with an anticipated total project budget of \$20,000,000; and (ii) amend the Design Professional agreement for Stage I services. The budget adjustment will be funded with Gifts (cash) previously allocated to the Jones AT&T Stadium South End Zone project. The FTF project budget includes the previously board authorized budget from Gifts (\$250,000 cash).

The Jones AT&T Stadium South End Zone ("SEZ") project has been re-prioritized in order to move forward with renovation of the FTF. The SEZ project is to maintain its budget authority of \$650,000 but the unallocated funds will be transferred to the Football Training Facility Renovation and Expansion project. Athletics anticipates the SEZ project will resume in May 2019 at which time they will replenish the project budget up to \$650,000.

The chancellor further recommends that the president be authorized to negotiate and execute any and all agreements with city, state, and county agencies, utility companies and other entities required to successfully complete the project.

**BACKGROUND INFORMATION**

The budget adjustment will allow for execution of a Design Professional Amendment for Stage I services to provide facility functional use programming; schematic design; site analysis; utility infrastructure analysis; concept budget development; and project schedule. Other professional agreements will be issued for surveying and geo-technical services.

In October 2017, the Board of Regents approved a Stage I design budget "not to exceed" \$250,000 to amend the Design Professional Contract (Phase II of the Sports Performance Complex & Jones Stadium South End Zone Facility) to provide Stage I services for the Football Training Facility Renovation and Expansion project with an anticipated project budget of \$6,000,000.

The existing Football Training Facility ("FTF") is an integral component in the overall programming of the South End Zone Facility and the relocation of internal groups and services. Full requirements for the renovation and expansion of the

FTF will be determined through the programming process. The scope of the project would also include site utility infrastructure work, landscape enhancements, and public art.

The proposed project would provide a complete renovation, upgrade and addition to the 52,492 GSF facility increasing the building to over 70,000 GSF. The existing office suite will be reconfigured to provide several more meeting rooms along with the required number of offices. The Head Coach's office will be relocated to the southeast corner of the building. The coach's locker room will be expanded. A more defined public lobby will be created along with the enclosure of the two loggias for creation of an office suite and a lounge area.

For reference, the project is listed on the Texas Higher Education Coordinating Board's Capital Expenditure Plan ("MP1") Summary Report (Fiscal Years 2019-2023), proposed as repurpose of a 50,398 GSF existing facility; estimated at \$20,000,000.

The vice president for administration and finance and chief financial officer has verified the source of funds. The vice chancellor and chief financial officer of the TTU System also acknowledges the source of the funds for this project.

**4. TTU: Approve budget adjustment for the Jones AT&T Stadium East Building finish-out project.**

Presenter: Mr. Billy Breedlove & Mr. Kirby Hocutt      Presentation Time: 5 minutes  
Board approval required by: Section 08.01.3, *Regents' Rules*

**RECOMMENDATION**

The chancellor concurs with the recommendation of the president that the Board of Regents authorize the chancellor or the chancellor's designee to (i) increase the budget by \$350,197 for a total of \$715,089 for the Jones AT&T Stadium East Building Finish-Out project with an anticipated total project budget of \$8,500,000; (ii) waive the board directed fees for landscape enhancements and public art; (iii) amend the Design Professional Agreement for Stage II services; and (iv) award a Construction Manager at Risk Agreement for pre-construction services. The budget adjustment will be funded with Gifts (cash) and Athletic Revenues (cash). The project budget includes the previously board authorized budget from Athletic Revenues (\$364,892 cash) of which \$100,000 was allocated for pre-construction services.

The chancellor further recommends that the president be authorized to negotiate and execute any and all agreements with city, state, and county agencies, utility companies and other entities required to successfully complete the project.

**BACKGROUND INFORMATION**

The budget adjustment will allow for execution of a Design Professional Amendment for Stage II services consisting of the Design Development, Construction Documents, Construction Administration Phases, and to provide a Statement of Probable Cost and project schedule. Execution of a Construction Manager at Risk Agreement will allow the contractor to provide pre-construction activities associated with the planning and design process, i.e., project evaluation; site analysis; constructability review; value engineering; scheduling; cost control; and concept budget development.

On June 27, 2018, the Board of Regents by Exigent Circumstances approved a budget of \$364,892 to execute a Design Professional Agreement with Gensler for Stage I services for the finish-out of the Jones AT&T Stadium East Side Building and allocate \$100,000 within the budget for pre-construction services. FP&C initiated an RFP process to select a contractor to assist Gensler with cost control during the pre-construction design stage.

The proposed project will finish-out the 2nd and 3rd floors totaling approximately 26,000 square feet of shell space within the Jones AT&T Stadium East Side Building. The finish-out will provide office suites and conference space for the relocation of the athletic coaches and staff from the Jones AT&T Stadium South

End Zone Building. Finish-out includes all mechanical, electrical, and plumbing infrastructure as those shelled spaces are unconditioned spaces.

For reference, the project is listed on the Texas Higher Education Coordinating Board's Capital Expenditure Plan ("MP1") Summary Report (Fiscal Years 2018-2022), proposed as finish-out of 32,816 SF of shell space; estimated at \$8,000,000.

The vice president for administration and finance and chief financial officer has verified the source of funds. The vice chancellor and chief financial officer of the TTU System also acknowledges the source of the funds for this project.



## 5. **TTU: Approve budget adjustment for the new School of Veterinary Medicine project.**

Presenter: Mr. Billy Breedlove

Presentation Time: 5 minutes

Board approval required by: Section 08.01.3, *Regents' Rules*

### **RECOMMENDATION**

The chancellor concurs with the recommendation of the president that the Board of Regents authorize the chancellor or the chancellor's designee to (i) increase the budget by \$84,480 for a total of \$1,456,583 for the new School of Veterinary Medicine project with an anticipated total project budget of \$89,820,000; and (ii) award a Construction Manager at Risk agreement for pre-construction services. The budget adjustment will be funded with appropriated funds. The project budget includes the previously board authorized budget from appropriated funds (\$1,372,103).

The chancellor further recommends that the president be authorized to negotiate and execute any and all agreements with city, state, and county agencies, utility companies and other entities required to successfully complete the project.

### **BACKGROUND INFORMATION**

The budget adjustment will allow for execution of a Construction Manager at Risk Agreement in order to provide pre-construction activities associated with the planning and design process, i.e., project evaluation; site analysis; constructability review; value engineering; scheduling; cost control; and concept budget development.

In August 2018, the Board of Regents approved a budget of \$1,129,803 to allow the Design Professional to move forward on the project's vision through the programming and schematic design phases, and provide a Statement of Probable Cost and project schedule.

In December 2017, the Board of Regents approved a Preliminary Stage I Facilities Feasibility Study budget of \$242,300 for a proposed new School of Veterinary Medicine with an anticipated project budget of \$89,820,000.

Texas Tech University ("TTU") in collaboration with Texas Tech University Health Sciences Center ("TTUHSC") anticipates establishment of a new School of Veterinary Medicine on the TTUHSC Amarillo Campus that will allow teaching of veterinary medicine, as well as clinical research. A fully operational four-year Veterinary School is expected to serve approximately 240 students, with an additional 150 to 200 non-DVM graduate students and an estimated FTE academic staff of 90 persons.

There are two facilities in separate locations contemplated to facilitate the various components of the program. Each facility would be designed to accommodate the opportunity for growth. The feasibility/programming study has estimated the two facilities will total approximately 261,720 gross square feet.

The anticipated project would create a top-tier facility for students, teachers and clinicians and – just as importantly – ensure the project benefits the regional food industry and veterinary community by providing lifelong learning facilities, research and commercial opportunities to work with the University.

For reference, this project is listed on the Texas Higher Education Coordinating Board's ("THECB") Capital Expenditure Plan ("MP1") Summary Report (Fiscal Years 2019-2023) proposed as a new 210,000 GSF facility, estimated at \$89,820,000.

The vice president for administration and finance and chief financial officer has verified the source of funds. The vice chancellor and chief financial officer of the TTU System also acknowledges the source of the funds for this project.

**6. TTU: Approve preliminary budget for the National Ranching Heritage Center's Ranch Life Learning Center project.**

Presenter: Mr. Billy Breedlove

Presentation Time: 5 minutes

Board approval required by: Section 08.01.3, *Regents' Rules*

**RECOMMENDATION**

The chancellor concurs with the recommendation of the president that the Board of Regents approve the concept for the project and authorize the chancellor or the chancellor's designee to (i) establish a preliminary budget of \$153,150 for a total of \$193,150 to provide planning and design services for the National Ranching Heritage Center's Ranch Life Learning Center project with an anticipated budget of \$4,000,000; (ii) waive the board directed fees for landscape enhancements; and (iii) award the Design Professional agreement for Stage I services. The preliminary budget will be funded with a Gift (cash). The preliminary budget includes a previously authorized budget from a Gift (\$40,000 cash).

The chancellor further recommends that the president be authorized to negotiate and execute any and all agreements with city, state, and county agencies, utility companies and other entities required to successfully complete the project.

**BACKGROUND INFORMATION**

The preliminary budget will allow for execution of a Design Professional Agreement in order to move forward on the project's vision through the Programming and Schematic Design phases, provide a Statement of Probable Cost and project schedule.

The National Ranching Heritage Center ("NRHC") proposes to build a Ranch Life Learning Center dedicated to educate the public about the fundamentals of ranching. Told from the perspective of Hank the Cow Dog in partnership with famed author John Erickson, the Ranch Life Learning Center will educate both children and adults about the business and science of ranching, ranch life and natural resource management. While all ages will benefit, the focus will be on fourth-eighth grade students. In 2016, the NRHC received a grant that funded a space analysis and conceptual designs for the indoor and outdoor space and exhibits. At this time, we have approval from the Ranching Heritage Association board to move forward with the project.

The project will include renovation of approximately 2,200 square feet within the Mallet Ranch museum building and an 800 square foot addition comprising the following spaces: Exhibits, Instruction Space, Expanded and Reconfiguration of the Cogdell's General Store, addition of public spaces and a covered porch.

Exterior spaces will include: Water Resources Exhibit, Wildlife Exhibit, Livestock Nutrition Exhibit, Tool shed and Horse Barn, Ranch House, Amphitheater, Stockade, Footbridge, Cowboy Work Station, Windmill Feature, hardscaping and enhanced landscaping.

For reference, this project is listed on the Texas Higher Education Coordinating Board's Capital Expenditure Plan ("MP1") Summary Report (Fiscal Years 2019-2023) proposed a renovation and addition project for a combined 3,000 SF; estimated at \$4,000,000.

The vice president for administration and finance and chief financial officer has verified the source of funds. The vice chancellor and chief financial officer of the TTU System also acknowledges the source of the funds for this project.

## **7. TTU: Approve budget for the abatement and demolition of the Lubbock Municipal Auditorium and Coliseum project.**

Presenter: Mr. Billy Breedlove

Presentation Time: 5 minutes

Board approval required by: Section 08.01.3, *Regents' Rules*

### **RECOMMENDATION**

The chancellor concurs with the recommendation of the president that the Board of Regents authorize the chancellor or the chancellor's designee to (i) establish a budget of \$200,000 to provide design and construction services for the Abatement and Demolition of the Lubbock Municipal Auditorium and Coliseum buildings with an anticipated total project budget of \$3,500,000; and (ii) award a Design Professional agreement for Stage I and Stage II services. The budget will be funded in cash with Higher Education Assistance Funds ("HEAF") for half of the project budget and Institutional Funds for the other half of the project budget.

The chancellor further recommends that the president be authorized to negotiate and execute any and all agreements with city, state, and county agencies, utility companies and other entities required to successfully complete the project.

### **BACKGROUND INFORMATION**

The budget will allow for the execution of a Design Professional Agreement in order to provide Stage I and Stage II services, i.e.; Planning, Schematic Design; Design Development, Construction Documents, and the Construction Administration Phases, provide a Statement of Probable Cost and project schedule. The design professional was selected from the university's approved design professional pre-qualification list. Parkhill, Smith and Cooper, Inc. was chosen based upon their specific expertise in the area of abatement and their extensive knowledge of the university's infrastructure.

The project scope involves asbestos abatement and demolition of the two existing facilities; demolition of plaza areas, sidewalks and pavement; removal of abandoned site utilities; relocation of site utilities to be maintained; site backfill/compaction; and restoration of the overall site to a safe and usable condition. This project will provide a blank canvas for any future development by the university.

In January 2018, the Lubbock City Council voted to place the proposed abandonment of the Lubbock Municipal Auditorium and Coliseum issue on the May 2018 ballot after reviewing finances and maintenance costs. The city estimated that it currently costs about \$700,000 to keep up the facility and it would cost around \$15 million to renovate the facility for future use.

TTU in a statement commented that there were numerous opportunities for the institution to use the reverted land to the benefit of the school and students. In late May, TTU said they will shoulder the cost of demolition of the facility and work with the city to find alternate venues for any events that would have been hosted there.

On April 27, 1943 under the authority of H.B. 647, Chapter 185, 48<sup>th</sup> Legislative, Regular Session (page 290, Chapter 185, Sections 1-3), the Texas Legislature authorized the Board of Directors of Texas Technological College to convey a tract of land to the City of Lubbock, not to exceed 5 acres for the purpose of a Municipal Auditorium.

On November 20, 1945 the City of Lubbock Commission Meeting, passed Ordinance #733, that a bond election be held on December 11, 1945 and that the City be authorized to issue bonds in the amount of \$1,750,000 for the construction of the Lubbock Auditorium-Coliseum. On March 19, 1946 the City authorized the issuance of \$300,000 of the bond for the construction.

On May 1, 1953, under the authority of H.B. 478, Acts 1953, 53<sup>rd</sup> Legislature, Regular Session amended the 1943 legislation to authorize the Board of Directors of Texas Technological College to convey a tract of land not to exceed 7.5 acres to the City for the joint use of the auditorium-coliseum by the City and TTU. State law required that the conveyance of the land for the auditorium-coliseum must contain a reversion clause to the effect that if the City of Lubbock permanently abandoned use of the structure and tract of land for the auditorium-coliseum purposes, title to the property would revert to the College. The required reversion provision was inserted into the Deed from the College to the City, and recorded in the Deed Records of Lubbock County at Vol.510, page 64.

Then on November 7, 1961, the City Charter was amended:

Chapter 1, Article II, Section 25. Abandonment of Lubbock Municipal Auditorium-Coliseum

The City of Lubbock shall not permanently abandon the land, or buildings used and known as the Lubbock Municipal Auditorium-Coliseum, unless such abandonment is authorized by a majority vote of the qualified tax-paying voters at a general or special election held in accordance with law, provided, however, that no election shall be required prior to the sale or other disposition of fixtures, equipment, furnishings or appurtenant structure which have become obsolete or which are no longer necessary or desirable to the continued operation of such Lubbock Municipal Auditorium-Coliseum.

The vice president for administration and finance and chief financial officer has verified the source of funds. The vice chancellor and chief financial officer of the TTU System also acknowledges the source of the funds for this project.

## 8. **TTUHSC: Approve budget adjustment for the Lubbock Expansion project.**

Presenter: Mr. Billy Breedlove and Dr. Tedd L. Mitchell      Presentation Time: 5 minutes  
Board approval required by: Section 08.01.3, *Regents' Rules*

### **RECOMMENDATION**

The chancellor concurs with the recommendation of the president that the Board of Regents authorize the chancellor or the chancellor's designee to (i) increase the project budget by \$8,000,000 for the Lubbock Education, Research & Technology + West Expansion project with a total project budget of \$99,375,000; and (ii) transfer authority from Texas Tech University Health Sciences Center ("TTUHSC") to FP&C to purchase equipment for the facility under management of the project. The budget adjustment will be funded with Higher Education Assistance Funds ("HEAF") cash. The project budget of \$99,375,000 is comprised of RFS funding of the 84<sup>th</sup> Texas Legislature's Regular Session authorization of TRB (\$60,264,000), Unexpended Plant Funds cash (\$25,636,000), and HEAF (\$13,475,000) cash.

The chancellor further recommends that the president be authorized to negotiate and execute any and all agreements with city, state, and county agencies, utility companies and other entities required to successfully complete the project.

### **BACKGROUND INFORMATION**

The budget adjustment will allow Texas Tech University Health Sciences Center ("TTUHSC") to transfer the authority to purchase the Furniture, Fixtures, & Equipment ("FF&E") for the facility to the office of Facilities Planning and Construction under their management of the project. Specifically, the budget adjustment will be allocated to support the following areas of the project:

<b><u>Medical Equipment</u></b>	
University Center	\$ 773,613
West Expansion	2,491,664
<b>sub-total</b>	<b><u>\$ 3,265,277</u></b>

<b><u>AV Equipment</u></b>	
University Center	\$ 535,593
West Expansion	3,203,930
<b>sub-total</b>	<b><u>\$ 3,739,523</u></b>

<b><u>IT Equipment</u></b>	
University Center	\$ 398,080
West Expansion	597,120
<b>sub-total</b>	<b><u>\$ 995,200</u></b>

**Grand Total:** 8,000,000

In October 2017, the Board of Regents approved a budget adjustment of \$5,475,000 to allow the following originally programmed components to be constructed: (1) a 2,300 GSF expansion to the Fifth Floor for student collaboration, engagement and study area, (2) the 12,500 GSF Classroom/Academic Event Center facility; and (3) the reinstatement of other value engineering items. The total project budget was established at \$91,375,000.

In August 2015, the Board of Regents approved Stage I design services to provide for the solicitation and contracting of Design Professional, Construction Manager Agent, and construction partners; facility functional use programming; schematic design; survey; geo-tech testing; site analysis; utility infrastructure analysis; and final package development for a full funding request.

In October 2016, the Board of Regents approved to move forward with the plan, design, and construction of the Education, Research & Technology building, the Conference Center building, TTUHSC's West Expansion, and new front entry to the Lubbock TTUHSC campus with a total project budget of \$85,900,000.

The vice president and chief financial officer has verified the source of funds. The vice chancellor and chief financial officer of the TTU System also acknowledges the source of the funds for this project.



**9. TTUS: Report on Facilities Planning and Construction projects.**

Presenter: Mr. Billy Breedlove  
Report requested by: Board of Regents

Presentation Time: 5 minutes

Mr. Billy Breedlove, Vice Chancellor for Facilities Planning and Construction, TTUS, will present a report on Facilities Planning and Construction managed projects.

**ACADEMIC,  
CLINICAL AND  
STUDENT AFFAIRS**

**Academic, Clinical and Student Affairs Committee**

Committee Meeting  
October 4, 2018

**Time:** 11:00 am (or upon adjournment of the Finance and Administration Committee meeting)

**Place:** Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas

Regents: Walker (Chair), Esparza, Steinmetz, Gilmore

Agenda

- Approve minutes of committee meeting held on August 9, 2018

**V.B.** Consideration of items to be recommended by the Academic, Clinical and Student Affairs Committee to the Board of Regents of the Texas Tech University System (“TTUS”) for and on behalf of Angelo State University (“ASU”), TTUS, the TTU System Administration (“TTUSA”), Texas Tech University (“TTU”), Texas Tech University Health Sciences Center (“TTUHSC”), and Texas Tech University Health Sciences Center at El Paso (“TTUHSC El Paso”)

Page  
ACS

1.	ASU: Approve revisions to the admissions requirements at Angelo State University.....	2
2.	TTU: Approve appointments with tenure.....	3
3.	TTUHSC El Paso: Approve appointment with tenure.....	4
4.	Adjournment	

NOTE: Following consideration of the above items by the committee, the Committee Chair will present the Committee Report to the full Board of Regents for its consideration on Thursday, October 4, 2018.

1. **ASU: Approve revisions to the admissions requirements at Angelo State University.**

Presenter: Dr. Javier Flores

Presentation Time: 3 minutes

Board approval required by: Section 05.01.2 and 05.02, *Regents' Rules*; and ASU OP 10.01

**RECOMMENDATION**

The chancellor concurs with the recommendation of the president that the Board of Regents approve revisions to the Admissions Requirements at Angelo State University ("ASU"), effective immediately.

Angelo State University is requesting authorization to modify existing admission standards for first time freshman applicants. Specifically, ASU is requesting automatic admission for first time freshman applicants in the top 25% of their graduating class.

Secondly, Angelo State University is including editorial changes in notifying students that additional factors may be considered in determining the applicant's admission.

**EXECUTIVE SUMMARY**

The recommended changes indicate a revision to the admission standards. The proposed changes will align with ASU's strategic goal of increasing enrollment of first time freshman in a more efficient manner.

[The ASU OP 10.01, Undergraduate Student Admissions with proposed revisions is included as a supplemental attachment to the agenda book.]

**BACKGROUND INFORMATION**

Sections 05.01.2 and 05.02, *Regents' Rules*, require Board approval of the university's admissions policies and inclusion in the institution's operating manuals.

## **2. TTU: Approve appointments with tenure.**

Presenter: Dr. Michael Galyean

Presentation Time: 2 minutes

Board approval required by: Section 04.02, Regents' Rules; TTU Operating Policy 32.17

### **RECOMMENDATION**

The chancellor concurs with the recommendation of the president that the Board of Regents approve the granting of tenure for the following faculty of Texas Tech University concurrently with their respective appointments effective the 2018 fall semester:

Dr. Luis Rafael Herrera-Estrella, Ph.D., President's Distinguished Professor of Plant Genomics, Department of Plant and Soil Sciences, College of Agricultural Sciences and Natural Resources, and director of the Center for Functional Genomics of Abiotic Stress. Dr. Herrera-Estrella comes to Texas Tech from the National Laboratory of Genomics for Biodiversity (LANGEBIO), Guanajuato, Mexico where he served as director and was a tenured professor. His appointment at Texas Tech is sponsored by the Governor's University Research Initiative.

Kim Walker, professor and director, School of Music, Talkington College of Visual and Performing Arts. Director Walker served as a professor of music at the University of Sydney, Australia and as dean and principal of the Sydney Conservatorium of Music. She had previously been a tenured professor of music and director of Arts and Cultural Outreach for the Office of the President at Indiana University.

### **BACKGROUND INFORMATION**

The faculty members whose names appear above have been judged by the respective department faculty, appropriate committees and administrative personnel as worthy of academic promotion and tenure. University procedures (OP 32.01) for recommending promotion and tenure of qualified members of the faculty have been carefully followed.

Approval of these individuals will bring the number of full-time tenured faculty at Texas Tech University to 781. There are 1,080 full-time tenured and tenure-track faculty. After these appointments, the percentage of tenure-track faculty who have been awarded tenure will be 72 percent, and tenured faculty represent 51 percent of all faculty (including part-time). Together, tenured and tenure-track faculty represent 70 percent of all faculty, and 75 percent of all full-time faculty.

### **3. TTUHSC El Paso: Approve appointment with tenure.**

Presenter: Richard A. Lange, M.D., M.B.A. Presentation Time: 1 minute  
Board approval required by Section 04.02, Regents' Rules and HSC Operating Policy  
60.01

#### **RECOMMENDATION**

The chancellor concurs with recommendation of the president that the Board of Regents approve the granting of tenure to Attilio Orazi, M.D. concurrent with his appointment as the professor in the Department of Pathology at the Paul L. Foster School of Medicine, effective as of August 15, 2018.

Dr. Orazi joins the Texas Tech University Health Sciences Center at El Paso ("TTUHSC El Paso") from the Weill Cornell Medical College of Cornell University where he has served as a Tenured Professor of Pathology and Laboratory Medicine and has held the role of Vice Chair for Hematopathology and Director of the Division of Hematopathology. He also served as the ACGME Hematopathology Fellowship Director. He previously served as Director of Hematopathology at Columbia University Medical Center in New York and at the Indiana University School of Medicine in Indianapolis, Indiana. He earned his medical degree from the University of Milan School of Medicine in Italy. He completed residencies in clinical hematology and pathology in the United Kingdom and in Italy, respectively. He is a Fellow of the Royal College of Pathology (England). He is board certified in clinical hematology by the University of Milano; in anatomic pathology by the University of Pavia; and is also board certified in anatomic pathology and hematopathology by the American Board of Pathology.

Dr. Orazi has published in 250 peer-reviewed medical journal articles and 72 book chapters/sections, primarily on hematopathology, including 14 chapters/sections of the *WHO 2008 Classification of Tumours of Hematopoietic and Lymphoid Tissues*, and 20 in the recently published 2016 update (IARC Press July 2017). He is the lead editor of a major pathology textbook, "Knowles Neoplastic Hematopathology, 3rd Edition." He is a lead author and co-author of three other textbooks: "Illustrated Pathology of the Bone Marrow," "Benign and Reactive Conditions of Lymph Node and Spleen," and "Disorders of the Spleen." He is also a contributor for the eighth edition of the AJCC's Cancer Staging System Manual.

#### **BACKGROUND INFORMATION**

Pursuant to 04.02, *Regents' Rules*, the Board of Regents approves the awarding of academic tenure with initial appointment. Approval of this individual for tenure brings the number of tenured faculty to 39. There are a total of 59 faculty either in the tenure-track or tenured. After these appointments, the percentage of

tenure track faculty who have been awarded tenure at TTUHSC El Paso will be 66 percent and faculty that are on the non-tenure track is 249.

**AUDIT**



**Audit Committee**

Committee Meeting  
October 4, 2018

**Time:** 11:05 am (or upon adjournment of the Academic, Clinical and Student Affairs Committee meeting)

**Place:** Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas

Regents: Long (Chair), Hammonds, Huckabee

Agenda

- Approve minutes of committee meeting held on August 9, 2018

**V.C.** Consideration of items to be recommended by the Audit Committee to the Board of Regents of the Texas Tech University System (“TTUS”) for and on behalf of Angelo State University (“ASU”), TTUS, the TTU System Administration (“TTUSA”), Texas Tech University (“TTU”), Texas Tech University Health Sciences Center (“TTUHSC”), and Texas Tech University Health Sciences Center at El Paso (“TTUHSC El Paso”)

Page  
A

1. TTUS: Report on audits ..... 3
2. Executive Session: The Audit Committee will convene into Executive Session in the Regents Committee Room (106), First Floor, System Building, 1508 Knoxville Avenue, to consider matters permissible under Chapter 551 of the *Texas Government Code*, including:
  - a. Consultation with Attorney — Section 551.071.
  - b. Discussion of personnel matters – Section 551.074.
3. Open Session: At the conclusion of Executive Session, the committee will convene into Open Session in the Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, to consider appropriate action, if any, on items discussed in Executive Session.
4. Adjournment

NOTE: Following consideration of the above items by the committee, the Committee Chair will present the Committee Report to the full Board of Regents for its consideration on Thursday, October 4, 2018.

**1. TTUS: Report on audits.**

Presenter: Mrs. Kim Turner

Presentation Time: 10 minutes

Report to Board required by: Section 07.02.7, *Regents' Rules*; and Audit Committee Charter

Mrs. Kim Turner, Chief Audit Executive, will present a report on the System's audit projects.



**MEETING OF THE  
BOARD**

**Meeting of the Board**  
Thursday, October 4, 2018

**Time:** 8:30 am

**Place:** Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas

Agenda

**I. Joint Meeting of the TTUS Board of Regents, the Executive Committee of the Texas Tech Foundation Board, the Investment Advisory Committee, and the ASU Foundation Board/Meeting of the Board—Call to Order; convene into Open Session of the Board**  
Refer to agenda provided by Office of Investments/Office of the Chief Financial Officer.

- A. Introductions ..... Chairman Francis
- B. 2018 Economy/Market Review..... Tim Bruce (NEPC)
- C. Investment Performance Review ..... Tim Barrett
- D. Questions/Answers

**II. Adjournment of Joint Meeting/Recess Meeting of the Board** ..... Chairman Francis

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**NOTE: A short break will be taken after the adjournment of the Joint Meeting/recess of the Meeting of the Board to reset the Board Room.**

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**Time:** 9:50 am

**Place:** Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas

Agenda

**III. Meeting of the Board—Call to Order; reconvene into Open Session of the Board**

- A. Introductions and Recognitions ..... Interim Chancellor & President Mitchell, President May, President Schovanec, and President Lange

**IV. Recess**

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**V. Meeting of Standing Committees:** Conducted sequentially and separately from the Meeting of the Board. Committee meetings will take place upon recess of the Meeting of the Board—refer to agenda for each respective committee meeting.

Location: Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas

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**Time:** 11:25 am

**Place:** Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue, Lubbock, Texas

Agenda

**VI. Meeting of the Board—Call to Order; reconvene into Open Session of the Board** ..... Chairman Francis

**VII. Open Session:** The Board will continue in Open Session and meet as a Committee of the Whole and Meeting of the Board to consider and act on:

- A. Approve minutes of Board meetings held on August 9-10, 2018 and August 20, 2018..... Chairman Francis
- B. Committee of the Whole..... Vice Chairman Lancaster

Page  
CW

- 1. ASU, TTU, TTUHSC, TTUHSC El Paso, TTUSA, and TTUS: Approve Consent Agenda; acknowledge review of Information Agenda..... 7

**Consent Agenda**

- a1. TTU: Approve employee appointment to non-elective position (ACS)
  - a. TTUHSC: Approve faculty development leave of absence (ACS)
  - b. TTUHSC: Approve expansion of the existing Doctor of Science in Rehabilitation Sciences Program in Lubbock (ACS)
  - c. TTUS: Approve appointment of new members to the Board of Directors of Texas Tech Foundation, Inc (CW)

- d. TTU: Approve modification of naming of Basketball Practice Facility (F)
- e. TTU: Approve project for KTTZ Tower Repack (F)
- f. ASU: Approve commissioning of police officers (FA)
- g. TTU: Approve commissioning of police officers (FA)
- h. TTU: Approve modification of College of Mass Communication endowment (FA)
- i. TTU: Approve modification of Pertain-Pasewark Scholarship Endowment (FA)
- j. TTU: Approve modification of Bobby Baker Memorial Scholarship Endowment (FA)
- k. TTU: Approve modification of Bryan Pearce Bagley Regents Chair in the College of Engineering Endowment (FA)
- l. TTU: Approve Collections Management Policy of the Museum (FA)
- m. TTU: Approve purchasing contracts in excess of \$1,000,000 (FA)
- n. TTUHSC: Approve submission of request to exceed the Full Time Equivalent ("FTE") limitation established by the General Appropriations Act (FA)
- o. TTUHSC El Paso: Approve modification of quasi endowments (FA)

### **Information Agenda**

Information is provided as required by Section 01.02.7.d(4)(c), *Regents' Rules*

- (1) TTUHSC and TTUHSC El Paso: Contracts for ongoing and continuing health-related service relationships as per Section 07.12.4.c, *Regents' Rules* – “Notwithstanding Section 07.12.3.a or Section 07.12.3.b, *Regents' Rules*, the board delegates to the presidents of health-related institutions the authority to approve the proposals and execute and sign contracts for health related services, as specified herein. This delegation is limited to contracts with entities for which the institution has an ongoing and continuing contractual relationship, to include: revenue contracts from which the institution receives payment for health related services; participation in health provider networks; resident or faculty support; and expense contracts with healthcare providers or suppliers

necessary to fulfill the obligation to provide health related services as part of a revenue contract. Before such a contract may be executed, the president shall obtain the prior review of the TTUS Office of General Counsel and the TTUS vice chancellor and chief financial officer, or their designees. A list of health related services contracts that have been executed under this delegation of authority since the previous regular board meeting shall be provided to the board as an information item at the next regular board meeting.”

- (2) TTUHSC El Paso: Consulting contracts with an initial consideration of \$25,000 or less per Section 07.12.4.e.(2), *Regents’ Rules* – “(a) Board approval is not required, but the vice chancellor and chief financial officer, in consultation with the chancellor, presidents, and chief financial officers of the institutions, shall review consulting contracts of \$25,000 or less prior to execution of the contract by the chancellor or president, as appropriate. (b) A report of the contract shall be provided as an Information Agenda item at the next board meeting.”
- (3) TTUHSC: Contracts for sponsored programs projects in excess of \$1,000,000 per annum as provided by Section 07.12.4.b., *Regents’ Rules*: “Notwithstanding Section 07.12.3.a, *Regents’ Rules*, the board delegates to the presidents the authority to approve the proposals and execute and sign contracts for sponsored program projects in excess of \$1,000,000 per annum. Sponsored program projects are those grants, contracts, and cooperative agreements from either the public or private sectors that support research, instructional, and service projects. A list of such contracts for sponsored program projects in excess of \$1,000,000 per annum shall be provided to the board as an information item at the next regular board meeting.”
- (4) ASU: Exception to Nepotism per Sections 03.01.11.h and 03.01.11.f, *Regents’ Rules* --  
 03.01.11.h: “All instances where an employee marries an administrative supervisor, is placed under the administrative supervision of a relative, or is made the administrative supervisor of a relative within the prohibited degree shall be reported to the board as an information item.” 03.01.11.f: “If the appointment, reappointment, reclassification, or promotion of an employee makes the employee an administrative supervisor over an employee who is related within a prohibited degree, all subsequent personnel and compensation actions affecting the subordinate employee shall become the responsibility of the next higher administrative supervisor.”



- VIII. Reports of Standing Committees:** Standing Committee reports will be presented sequentially to the Committee of the Whole.
  - A. Report of the Facilities Committee .....Regent Esparza
  - B. Report of the Academic, Clinical and Student Affairs Committee.....Regent Walker
  - C. Report of the Audit Committee .....Regent Long
  
- IX. The Board will continue in Open Session as the Committee of the Whole and Meeting of the Board of Regents.**
  - A. Schedule for Board meetings:
    - December 13-14, 2018, Lubbock
    - February 21-22, 2019, Lubbock
    - May 16-17, 2019, Lubbock
    - August 8-9, 2019, Lubbock
    - December 12-13, 2019, Lubbock ..... Ben Lock
  - B. Student Government Association Reports .....Shayna Mullen,  
Sean Lewis,  
Brooke Walterscheid,  
and Sajid Leelani
  
- X. Executive Session:** The Board may convene into Executive Session in the Regents Committee Room (106), First Floor, System Building, 1508 Knoxville Avenue to consider matters permissible under Chapter 551 of the *Texas Government Code*, including, for example: ..... Chairman Francis
  - A. Consultation with attorney regarding privileged communications, pending or contemplated litigation and settlement negotiations – Section 551.071
  - B. Deliberations regarding real property: The purchase, lease, exchange, or value of real property – Section 551.072
  - C. Deliberations regarding prospective gifts – Section 551.073
  - D. Personnel matters: Discuss the appointment, employment, evaluation, reassignment, duties, discipline or dismissal of employees – Section 551.074

- E. Deliberations regarding security devices—deployment of security personnel or devices – Section 551.076

**XI. Open Session:** The Board will reconvene in the Regents Conference Room (104A), First Floor, System Building, 1508 Knoxville Avenue and meet as a Committee of the Whole and Meeting of the Board to consider and act on:

- A. Consideration of appropriate action, if any, on items discussed in Executive Session..... Vice Chairman Lancaster

- B. Chairman’s Announcements..... Chairman Francis

**XII. Adjournment** ..... Chairman Francis

1. **ASU, TTU, TTUHSC, TTUHSC El Paso, TTUSA and TTUS:  
Approve Consent Agenda; acknowledge review of  
Information Agenda.**

#### **RECOMMENDATION**

The chancellor recommends that the Board of Regents (i) approves the Consent Agenda for the meeting of October 4, 2018; and (ii) acknowledge its review of the Information Agenda for the same meeting.

#### **BACKGROUND INFORMATION**

Pursuant to Section 01.02.6.b(2), *Regents' Rules*, the Board of Regents approves certain administrative actions.

This action is required to authorize the various officers and officials of Texas Tech to perform the tasks and duties delineated in the policies of the Board of Regents. This action also confirms the authority to prepare reports, execute contracts, documents, or instruments approved within the Consent Agenda and further confirms that such authority has been delegated to the officer or official preparing and/or executing the said item.

**CONSENT/  
INFORMATION  
AGENDA**

BOARD OF REGENTS  
TEXAS TECH UNIVERSITY SYSTEM

CONSENT AGENDA  
and  
INFORMATION AGENDA

October 4, 2018

BOARD OF REGENTS

Mr. L. Frederick “Rick” Francis, Chairman

Mr. Tim Lancaster, Vice Chairman

Mr. John D. Esparza

Mr. Ron Hammonds

Mr. Christopher M. Huckabee

Mr. J. Michael Lewis

Mr. Mickey L. Long

Mr. John D. Steinmetz

Mr. John B. Walker

Ms. Jane Gilmore, Student-Regent

Standing Committees:

Academic, Clinical and Student Affairs:

John Esparza; Jane Gilmore; John Steinmetz; John Walker (Chair)

Audit:

Chris Huckabee; Ron Hammonds; Mickey Long (Chair)

Facilities:

John Esparza (Chair); Mickey Long; John Walker

Finance and Administration:

Chris Huckabee; Michael Lewis; John Steinmetz (Chair)

**TEXAS TECH UNIVERSITY SYSTEM  
BOARD OF REGENTS**

**October 4, 2018**

**TABLE OF CONTENTS**

**CONSENT AGENDA**

	<u>Page</u>
a1. TTU: Approve employee appointment to non-elective position (ACS).....	1a
a. TTUHSC: Approve faculty development leave of absence (ACS).....	1
b. TTUHSC: Approve expansion of the existing Doctor of Science in Rehabilitation Sciences Program in Lubbock (ACS).....	2
c. TTUS: Approve appointment of new members to the Board of Directors of Texas Tech Foundation, Inc (CW).....	3
d. TTU: Approve modification of naming of Basketball Practice Facility (F).....	4
e. TTU: Approve project for KTTZ Tower Repack (F).....	5
f. ASU: Approve commissioning of police officers (FA).....	7
g. TTU: Approve commissioning of police officers (FA).....	8
h. TTU: Approve modification of College of Mass Communication endowment (FA).....	9
i. TTU: Approve modification of Pertain-Pasewark Scholarship Endowment (FA).....	11
j. TTU: Approve modification of Bobby Baker Memorial Scholarship Endowment (FA).....	12
k. TTU: Approve modification of Bryan Pearce Bagley Regents Chair in the College of Engineering Endowment (FA).....	13
l. TTU: Approve Collections Management Policy of the Museum (FA).....	14

m.	TTU: Approve purchasing contracts in excess of \$1,000,000 (FA).....	15
n.	TTUHSC: Approve submission of request to exceed the Full Time Equivalent (“FTE”) limitation established by the General Appropriations Act (FA).....	17
o.	TTUHSC El Paso: Approve modification of quasi endowments (FA) .....	18

## INFORMATION AGENDA

*(Titles only; full agenda is on page 19)*  
Information is provided as required by  
Section 01.02.7.d(4)(c), *Regents' Rules*

NOTE: The following are reports or other documents which, according to the *Regents' Rules* or state law, must be made available to the Board of Regents. As such, the reports below are on file in the Board Office, and their listing on the Information Agenda constitutes notice that they are available to Board members upon request.

- (1) **TTUHSC and TTUHSC EI Paso: Contracts for ongoing and continuing health-related service relationships as per Section 07.12.4.c, *Regents' Rules*** – “Notwithstanding Section 07.12.3.a or Section 07.12.3.b, *Regents' Rules*, the board delegates to the presidents of health-related institutions the authority to approve the proposals and execute and sign contracts for health related services, as specified herein. This delegation is limited to contracts with entities for which the institution has an ongoing and continuing contractual relationship, to include: revenue contracts from which the institution receives payment for health related services; participation in health provider networks; resident or faculty support; and expense contracts with healthcare providers or suppliers necessary to fulfill the obligation to provide health related services as part of a revenue contract. Before such a contract may be executed, the president shall obtain the prior review of the TTUS Office of General Counsel and the TTUS vice chancellor and chief financial officer, or their designees. A list of health related services contracts that have been executed under this delegation of authority since the previous regular board meeting shall be provided to the board as an information item at the next regular board meeting.”
- (2) **TTUHSC EI Paso: Consulting contracts with an initial consideration of \$25,000 or less per Section 07.12.4.e.(2), *Regents' Rules*** – “(a) Board approval is not required, but the vice chancellor and chief financial officer, in consultation with the chancellor, presidents, and chief financial officers of the institutions, shall review consulting contracts of \$25,000 or less prior to execution of the contract by the chancellor or president, as appropriate. (b) A report of the contract shall be provided as an Information Agenda item at the next board meeting.”
- (3) **TTUHSC: Contracts for sponsored programs projects in excess of \$1,000,000 per annum as provided by Section 07.12.4.b., *Regents' Rules***: “Notwithstanding Section 07.12.3.a, *Regents' Rules*, the board delegates to the presidents the authority to approve the proposals and execute and sign contracts for sponsored program projects in excess of \$1,000,000 per annum. Sponsored program projects are those grants, contracts, and cooperative agreements from either the public or private sectors that support research, instructional, and service projects. A list of such contracts



for sponsored program projects in excess of \$1,000,000 per annum shall be provided to the board as an information item at the next regular board meeting.”

- (4) **ASU: Exception to Nepotism per Sections 03.01.11.h and 03.01.11.f, *Regents’ Rules*** -- 03.01.11.h: “All instances where an employee marries an administrative supervisor, is placed under the administrative supervision of a relative, or is made the administrative supervisor of a relative within the prohibited degree shall be reported to the board as an information item.” 03.01.11.f: “If the appointment, reappointment, reclassification, or promotion of an employee makes the employee an administrative supervisor over an employee who is related within a prohibited degree, all subsequent personnel and compensation actions affecting the subordinate employee shall become the responsibility of the next higher administrative supervisor.”

**a1. TTU: Approve employee appointment to non-elective position.**

Board approval required by: Article 16, Section 33, Texas Constitution; Chapter 667.007, Texas Government Code and 70.15 TTU Operating Policy

The request is to approve an employee appointment to a non-elective position as listed below. It is further recommended that the Board of Regents find, with respect to the appointee, that his service is of benefit to the State of Texas and Texas Tech University and does not conflict with his position of employment at Texas Tech University. This request has been approved administratively by the president and the chancellor and is recommended for approval by the Board of Regents.

Monte L. Monroe, Ph.D., Archivist with Southwest Collection/Special Collections Library, Texas Tech University, has been requested to serve as Texas State Historian. The state historian is appointed by the governor and is recommended by both the Texas State Historical Association and the Texas Historical Commission. An individual designated as the state historian retains the designation for two years from the date of the ceremony. The ceremony is scheduled for September 26, 2018.

This appointment is not in conflict with Mr. Monroe's employment at Texas Tech University. He will serve as historian without compensation, but may be reimbursed for necessary travel and per diem in the performance of his duties as historian.

**BACKGROUND INFORMATION**

The Texas Constitution, *Texas Government Code*, and Texas Tech University Operating Policy require a finding of fact before a university employee may accept an appointment to serve in a non-elective office.

**a. TTUHSC: Approve faculty development leave of absence.**

Board approval required by: Section 4.05.1, *Regents' Rules* and HSC OP 60.02.2

The request is to approve a leave of absence with pay for Dr. Sue Ann Lee, associate professor, Department of Speech, Language and Hearing Sciences, for the period of January 15, 2019 to July 15, 2019. This request has been approved administratively by the president and the interim chancellor and is recommended for approval by the Board of Regents.

**BACKGROUND INFORMATION**

The School of Health Professions ("SHP") requests faculty development leave with full salary for Dr. Sue Ann Lee, associate professor, Department of Speech, Language and Hearing Sciences, for the period of January 15, 2019 to July 15, 2019. Dr. Sue Ann Lee has been awarded a Fulbright scholarship to Vietnam where she plans to teach and conduct research at Hue University of Medicine and Pharmacy. The Fulbright program, one of the most prestigious and competitive fellowship programs in the world, is a US cultural exchange program whose goal is to improve intercultural relationships between the US and foreign countries. As a Fulbright scholar, Dr. Lee will direct workshops for Vietnamese health professionals and conduct a research project. Dr. Lee's participation will enhance recognition of Texas Tech University Health Sciences Center and provide Dr. Lee with an excellent opportunity to enhance her knowledge of speech development in Vietnamese children.

**b. TTUHSC: Approve expansion of the existing Doctor of Science in Rehabilitation Sciences Program in Lubbock.**

Board approval required by: HSC Operating Policy 60.11 and Chapter 5, Subchapter C, THECB Laws and Rules

The request is to approve the expansion of the existing Doctor of Science in Rehabilitation Sciences Program (“ScDRS”) in the School of Health Professions (“SHP”) in Lubbock. It is further requested that the Board authorize the submission by the executive vice president for Academic Affairs to the Texas Higher Education Coordinating Board and the Southern Association of Colleges and Schools Commission on Colleges seeking approval for the expanded program. This request has been approved administratively by the president and the interim chancellor and is recommended for approval by the Board of Regents.

**BACKGROUND INFORMATION**

On October 20, 2017, the Board of Regents approved the name change of the Doctor of Science in Physical Therapy (“ScDPT”) to the Doctor of Science in Rehabilitation Sciences Program (“ScDRS”) to include three professions - physical therapists (“PT”), athletic trainers (AT) and occupational therapists (“OT”). This new proposal does not require a substantial curriculum change. Rather, the program’s curriculum has been revised to be flexible enough to address the advanced educational requirements common to all rehabilitation sciences practitioners. Students from all three professions may select courses from one flexible curriculum that best fits each individual student’s personalized professional and academic goals.

This change will also allow the program to educate experienced AT, OT, and PT practitioners and is in step with initiatives to foster and encourage interdisciplinary collaboration between healthcare professionals and to improve patient care and outcomes. In addition to enhancing advanced clinical practice, the program expansion will prepare clinicians to become leaders in clinical residencies and fellowships, as well as providing a terminal degree that makes them qualified for positions in entry-level and post-professional programs in AT, OT and PT.

**c. TTUS: Approve appointment of new members to the Board of Directors of Texas Tech Foundation, Inc.**

Board approval required by: MOU between Texas Tech University System and the Texas Tech Foundation, Inc.

The request is to approve the appointment of the individuals as listed below to the Board of Directors of Texas Tech Foundation, Inc. This request has been approved administratively by the chancellor and the president and is recommended for approval by the Board of Regents:

**First Term Appointments – Expiring August 31, 2022**

Steve Gray  
George McMahan  
David Segrest  
Leslie Ward

**Second Term Appointments – Expiring August 31, 2022**

Thomas Mathiasmeier  
Tom Stacy  
Dory Wiley

**BACKGROUND INFORMATION**

This is an annual procedure whereby members of the Board of Directors of the Texas Tech Foundation, Inc. (the “Foundation”) are appointed to serve four-year terms. On August 24, 2018, the Foundation’s Board Membership & Development Committee, recommended the appointment of the aforementioned individuals at the Foundation’s annual meeting of the Board of Directors.

The Foundation’s Board of Directors unanimously approved the appointment of the persons listed above to serve a four-year term, beginning September 1, 2018 and ending August 31, 2022.

The Memorandum of Understanding between the Texas Tech University System and the Texas Tech Foundation, Inc., the members of the Foundation Board shall be appointed by and serve at the will of the University System Board of Regents, upon recommendation from the Foundation.

d. **TTU: Approve modification of naming of Basketball Practice Facility.**

Board approval required by Section 08.05.01, *Regents' Rules*

The request is to approve the modification of the naming of The Dustin R. Womble Basketball Practice Facility, as previously approved by the Board of Regents in Executive Session on October 20, 2017. The revised name for the Texas Tech Athletics Basketball Practice Facility will be "The Dustin R. Womble Basketball Center." The donor concurs with the naming of this exterior space. Appropriate signage for the practice facility will specify the approved name. This request has been approved administratively by the president and the chancellor and is recommended for approval by the Board of Regents.

**BACKGROUND INFORMATION**

The Board of Regents approved the naming, as required under *Regents' Rule* 08.05.1.f, in Executive Session on October 20, 2017, with the naming to be formally announced at a later date. The donor and the Texas Tech University Athletics Department have determined the revised name—"The Dustin R. Womble Basketball Center"—more wholly encompasses the purpose and use of the facility.

Dustin Womble is a longtime supporter of Texas Tech University, Texas Tech Athletics and the Rawls College of Business Administration. Mr. Womble, Executive Vice President for Tyler Technologies, Inc., received a Bachelor of Business Administration in Management Information Systems from Texas Tech University in 1981 and continues to serve the college as a member of the Dean's Advisory Council.

Section 08.05.01.f, *Regents' Rules*, requires board approval of the naming of all buildings and other facilities within the TTU system.

**e. TTU: Approve project for KTTZ Tower Repack.**

Board approval required by: Section 08.01.3, *Regents' Rules*

The request is to authorize the TTU Operations Division, Department of Engineering Services to (i) proceed with a project to plan, design and construct the KTTZ tower repack with a project budget of approximately \$2,349,000; (ii) waive the board directed fees for public art and landscape enhancements; (iii) acknowledge award of a design professional contract; and (iv) acknowledge award of a construction contract. The project will initially be funded with institutional funds; however, up to 90% reimbursement will be received from the Federal Communications Commission upon completion. This request has been approved administratively by the president and the chancellor and is recommended for approval by the Board of Regents.

**BACKGROUND INFORMATION**

On March 29, 2016, the Federal Communications Commission (FCC) began the first ever “incentive auction” designed to repurpose the national broadcast spectrum. This initiative, authorized by Congress in 2012, realigns the use of broadcast airwaves with 21<sup>st</sup> century consumer demands for video and broadcast services.

On April 13, 2017 the FCC closed the auction and began the 39-month period during which some TV stations are required to transition to new channel assignments, requiring the modification or replacement of existing broadcast antennas and transmitters, often referred to as the “repacking” process. The channel assignment mandate was to be implemented in three (3) phases. Texas Tech’s KTTZ was one of over 900 stations across the country forced to repack and was assigned by the FCC to the first phase of the overall mandate. The regional signal test by the FCC will be conducted during the month of October 2018 with final implementation by November 19<sup>th</sup>, 2018.

The KTTZ project scope of work includes the following:

- Structural upgrades to the existing tower in order to accommodate new antenna
- Removal of the existing Channel 5 antenna
- Installation of new digital antenna
- Tower base foundation work
- Re-tensioning of the tower guy wires
- Reconfiguration of the tower lighting system
- Repainting of the tower (to be completed in Summer 2019)

The FCC has been authorized by congress to reimburse impacted stations up to 90% of the repack and associated costs. The original budget for this project was \$1,818,284; however, additional tower reinforcement and associated university

project support required per the finalized design of the new antenna system caused the project budget to surpass the \$2,000,000 threshold set forth in Section 08.01.03, *Regents' Rules*.



f. **ASU: Approve commissioning of police officers.**

Board approval required by: *Texas Education Code*, Section 51.203

This request is to commission the individuals as listed below as a police officer, effective with the date indicated below. This request has been approved administratively by the president and the chancellor and is recommended for approval by the Board of Regents.

Thomas Moriarty, effective September 4, 2018

Amy Thomas, effective September 4, 2018

**BACKGROUND INFORMATION**

The Board of Regents routinely takes action to commission certain employees as peace officers in accordance with *Texas Education Code*, Section 51.203.

**g. TTU: Approve commissioning of police officers.**

Board approval required by: *Texas Education Code*, Section 51.203

The request is to commission the individuals as listed below as a police officer, effective on the date indicated below. This request has been approved administratively by the chancellor and the president and is recommended for approval by the Board of Regents.

Amanda Rocha, effective July 26, 2018  
Stephen Amador, effective August 17, 2018  
Jeffrey Bain, effective August 17, 2018  
Katrina Jones, effective September 1, 2018

**BACKGROUND INFORMATION**

The Board of Regents routinely takes action to commission certain employees as peace officers in accordance with *Texas Education Code*, Section 51.203.

**h. TTU: Approve modification of College of Mass Communication endowment.**

Board approval required by: Section 06.02.2, *Regents' Rules*, and TTU OP 02.08.5

The request is to approve modification of the College of Mass Communication Endowment in the College of Media & Communication to terminate the existing endowment and subsequently transfer all monies of the corpus and spendable accounts to establish a new endowment—the William S. Morris III Professorship in Innovation in Journalism and Information. The modified criteria of the endowment is as follows:

Modified Criteria:

Career achievements eligible for tenure at Texas Tech. A history of applied study of news and information content, practices, industries, metrics & analytics, and audiences that focus on new technologies, ideas and innovations. The Morris Professor must have a demonstrable record of engaging constituencies beyond the classroom and s/he will be a public communicator as well as a master teacher. While well published and respected by peers, the Morris Professor will be a “students first” educator focused on helping students prepare for careers.

**BACKGROUND INFORMATION**

The College of Mass Communication Endowment was established in 2000 and funded with a gift of \$25,000 from Mr. William S. Morris III, a former student of Texas Tech University. The endowment was restricted to require interest earnings be re-invested into the endowment until the corpus reached \$250,000. When the corpus reached that amount, the College was allowed to use 25% of the annual interest earnings for operating expenses. The remaining 75% was required to be re-invested into the endowment until the corpus reached \$1 million.

As of 2018, the endowment and spendable have grown to over \$500,000. The College of Media & Communication contacted the donor to discuss the possibility of changing the endowment from a general operating endowment to a Professorship in order to attract and retain talented faculty to raise the national reputation of the College. The donor, through his attorney, has requested, in writing, the endowment and earnings be surrendered and used to create the William S. Morris III Professorship in Innovation in Journalism and Information.

The balance of the Endowment as of August 31, 2018, including the corpus and spendable, is \$576,472.17.

Texas Tech University Operating Policy 02.08.5 states that a modification of an endowment with a principal balance of greater than \$25,000.00 requires a written request of the donor and approval of the Board of Regents of the Texas Tech University System.

i. **TTU: Approve modification of Pertain-Pasewark Scholarship endowment.**

Board approval required by: Section 06.02.2, *Regents' Rules* and TTU OP 02.08.5

The request is to approve modification of the Pertain-Pasewark Scholarship Endowment in the Jerry S. Rawls College of Business Administration. The modification of the endowment is as follows:

Modified Criteria:

To provide scholarships to students enrolled in graduate programs in the Rawls College. Awards from the endowment should be distributed as follows: (1) 25% of the spendable balance be awarded to a Master of Science in Accounting student with preference to a first-generation college graduate, (2) 75% of the spendable balance to be awarded to entering Master of Business Administration (MBA) students in increments that facilitate effective recruiting to the program.

**BACKGROUND INFORMATION**

The Pertain-Pasewark Technology in Business Endowed Scholarship was established in 2003 by Dr. William R. Pasewark, Jr. The endowment was revised in 2015 to change the name to the Pertain-Pasewark Scholarship Endowment and to modify the criteria from awards for graduate students interested in the area of technology in business to awards for graduate students within the Master of Accounting and Master of Business Administration programs. The donor has now requested in writing that the criteria be modified to better reflect the specific desired distribution percentages of awards between the two programs.

The balance of the Endowment as of August 31, 2018, including the corpus and spendable, is \$93,988.51.

Texas Tech University Operating Policy 02.08.5 states that a modification of an endowment with a principal balance of greater than \$25,000.00 requires a written request of the donor and approval of the Board of Regents of the Texas Tech University System.

j. **TTU: Approve modification of Bobby Baker Memorial Scholarship Endowment.**

Board approval required by: Section 06.02.2. *Regents' Rules*

The request is to approve modification of the Bobby Baker Memorial Scholarship Endowment. This request has been approved administratively by the chancellor and the president and is recommended for approval by the Board of Regents. The modification of the endowment criteria is as follows:

CRITERIA: Scholarship will be awarded to full-time undergraduate, graduate or other Biology students who utilize the Genetic Resource Collection as part of their academic and research program studies. Student must have at least a 2.75 GPA to apply for and to maintain scholarship award.

**BACKGROUND INFORMATION**

The Bobby Baker Memorial Scholarship Endowment was established in December 2013, with a gift of \$100,000 from Drs. Robert and Laura Baker. The gift was matched with \$100,000 from the J.T. and Margaret Talkington Foundation Matching Fund Program, for a total of \$200,000. Dr. Laura Baker added \$79,000 to the endowment in 2017.

In May 2018, the donor requested through her attorney that the criteria for the scholarship be modified to include graduate students or other biology students. All other criteria remains the same.

As of July 31, 2018, the balance of the endowment and corresponding quasi-endowment, including the corpus and spendable, is \$317,517.21.

Texas Tech University Operating Policy 02.08.5 states that a modification of an endowment with a principal balance of greater than \$25,000.00 requires a written request of the donor and approval of the Board of Regents of the Texas Tech University System.

**k. TTU: Approve modification of Bryan Pearce Bagley Regents Chair in the College of Engineering Endowment.**

Board approval required by: Section 06.02.2, *Regents' Rules* and TTU OP 02.08.5

The request is to approve modification of the Bryan Pearce Bagley Regents Chair in the College of Engineering Endowment to expand the criteria for selection. This request has been approved administratively by the chancellor and the president and is recommended for approval by the Board of Regents. The modification of the endowment is as follows:

**CRITERIA:** The recipient of this Chair is expected to possess, minimally, the following qualifications: An outstanding research and teaching record and/or a successful record in entrepreneurship and business development in the academic or private sector with qualifications such that the holder meets the requirements for appointment as a tenured professor, or the requirements for appointment as a professor of practice. The holder must have the capacity to develop academic offerings to equip engineering students for business aspects of engineering practice.

**BACKGROUND INFORMATION**

The Bryan Pearce Bagley Regents Chair in the College of Engineering Endowment was established in November 2004, with a gift of \$500,000 from the J.W. Bagley Foundation. The gift was matched with \$500,000 from the Texas Tech Regents Professor Matching Funds Program, for a total of \$1 million.

In March 2018, the university requested the J.W. Bagley Foundation to consider expanding the criteria for selection of the Chair. The original criteria limited the qualifications to allow only those qualified for appointment as a tenured professor to hold the position. The expanded criteria allows those who meet the requirements as a professor of practice to hold the position. This will open up the pool of applicants and allow the college to recruit a successful entrepreneur who can provide valuable real-world knowledge to the program. The J.W. Bagley Foundation approved this modification by written notice dated May 10, 2018.

As of July 24, 2018, the balance of the endowment, including the corpus and spendable, is \$1,396,441.

Texas Tech University Operating Policy 02.08.5 states that a modification of an endowment with a principal balance of greater than \$25,000.00 requires a written request of the donor and approval of the Board of Regents of the Texas Tech University System.

**I. TTU: Approve Collections Management Policy of the Museum.**

Board approval required by: Core Standards on Collections Stewardship of the American Alliance of Museums.

The request is to approve the Collections Management Policy for the Museum of Texas Tech University as revised on July 9, 2018. (The TTU Museum Collections Management Policy is included as a supplemental attachment to the agenda book.) This request has been approved administratively by the chancellor and the president and is recommended for approval by the Board of Regents.

The Texas Tech University System Board of Regents and its designated line of authority is the governing body of the Museum of Texas Tech University. While the governing body has the responsibility of serving the Museum without serving individual interests, it must also ensure that all activities are in agreement with federal, state, and University regulations, Museum professional standards and practices, as well as the mission and policies established for the Museum. The governing body recognizes that the collections are the foundation of the Museum's programs and functions. The governing body recognizes that the possession of these collections incurs legal and ethical obligations to provide proper housing, management, and care for the collections and associated documentation. For these reasons, the governing body, acting through the Executive Director, is responsible for assuring that the scope of each collection agrees with the Museum's mission, that collection growth is balanced with available resources, and that appropriate allocation is made of personnel, facilities, equipment, services, and support to address the ongoing needs of each collection.

**BACKGROUND INFORMATION**

The Collections Management Policy was approved by the Texas Tech University Board of Regents in 1987. It is the basis of University OP 30.03 Museum of Texas Tech University. The Collections Management Policy is reviewed every five years or sooner and revised or updated as warranted. The 2005 revision of the Policy was approved by the Office of the Provost December 2005. The 2018 revision of the Policy was approved by the Collections Review Board on July 9, 2018.



m. **TTU: Approve purchasing contracts in excess of \$1,000,000.**

Board approval required by: Sections 07.12.3.a and 07.12.3.c, *Regents' Rules*

The request is to approve the purchasing contracts in excess of \$1,000,000 per annum in accordance with *Regents Rules* 07.12.3.a and those contracts with a value exceeding \$5,000,000 in accordance with *Regents' Rules* 07.12.3.c as listed on the following page. This request has been approved administratively by the president and the chancellor and is recommended for approval by the Board of Regents.

**BACKGROUND INFORMATION**

In accordance with the *Regents' Rules*, the Board is routinely requested to approve purchasing contracts under which the TTUS components spend more than \$1,000,000 per annum. Purchasing contracts are procured and executed in compliance with Texas Education Code §51.9335 as well as the *Regents' Rules* and TTUS component Operating Policies and Procedures.

Section 07.12.3.a, *Regents' Rules*, requires Board approval for contracts that total in excess of \$1,000,000 over the entire term of the contract, unless a different consideration is specified by this policy.

However, Section 07.12.3.c provides that, for all purchasing contracts that exceed a total value of \$5,000,000 over the life of the contract (even if the annual amount is less than \$1,000,000), the Board must be provided:

- (1) verification that the solicitation and purchasing method and contractor selection process comply with state law and TTU System policies; and
- (2) information on any potential issue(s) that may arise in the solicitation, purchasing, or contractor selection process.

The attached table shows: (1) purchasing contracts that exceed \$1,000,000 per year for which Board approval is required; and (2) purchasing contracts that exceed \$5,000,000 over the life of the contract for which the special reporting is required.

**TTU: Approval of Purchasing Contracts**

Regents' Rules 07.12.3.a

Component	Vendor	Services or Goods to be Provided	Estimated Per Annum Consideration	Estimated Term Consideration (includes renewals)	Start	End	Procurement Method
TTU	Taurus Technologies, Inc.	Audio visual equipment and services	\$ 1,500,000	\$ 4,500,000	2/23/2017	2/27/2020	Cooperative

Regents' Rules 07.12.3.c

Component	Vendor	Services or Goods to be Provided	Estimated Per Annum Expenditures	Estimated Term Expenditures (includes renewals)	Start	End	Procurement Method	Verification that the solicitation and purchasing method and contractor selection process comply with State law and TTU System policies	Information on potential issues that may arise in the solicitation, purchasing, or contractor selection process.
TTU	Grainger (Mavich HUB partner)	Maintenance, repair, and operations equipment and supplies	\$ 1,075,000	\$ 7,000,000	1/20/2017	10/31/2024	RFP	Confirmed	TTU has historically contracted with this vendor. No previous contract issues.

n. **TTUHSC: Approve submission of request to exceed the Full Time Equivalent (“FTE”) limitation established by the General Appropriations Act.**

Board Approval required by: Article IX, Section 6.10 of the General Appropriations

The request is to allow Texas Tech University Health Sciences Center (“TTUHSC”) to exceed the number of full-time equivalents (“FTE”) employees paid from appropriated funds for Fiscal Year 2019 that are authorized in Article III of the General Appropriations Act. It is also recommended for approval that the TTUS Board of Regents submit a request to the Governor and the Legislative Budget Board to grant approval for the institution to exceed the authorized number of FTE employees paid from appropriated funds and to submit subsequent reports as required in Article IX, Section 6.10 of the General Appropriations Act.

**Request to Exceed Limitation on State Employment Levels  
FY 2019**

<b>Institution</b>	<b>FY 2019 FTE Cap*</b>	<b>Requested Increase</b>	<b>Revised FTE Level</b>	<b>Source of Funds</b>
Texas Tech University Health Sciences Center (TTUHSC)	1,454.2	77.0	1,531.2	Appropriated
Justification: TTUHSC is the recipient of several appropriated funds Texas Higher Education Coordinating Board Graduate Medical Education Expansion grants. These grants create additional residency positions. TTUHSC is requesting additional FTE's to support the residency positions.				
*FY 2019 FTE Cap is within the limits of GAA, Article IX, Section 6.10(a)(2)(B) which allows 50 FTEs over the GAA Cap.				

**BACKGROUND INFORMATION**

The General Appropriations Act places a limit on the number of FTE employees paid from appropriated funds that an institution may employ without written approval of the Governor and the Legislative Budget Board. To exceed the limitation, a request must be submitted by the governing board and must include the date on which the board approved the request, a statement justifying the need to exceed the limitation, the source of funds to be used to pay the salaries, and an explanation as to why the functions of the proposed additional FTEs cannot be performed within current staffing levels. Detailed justification information is provided in the table above. In addition, the institution must also provide subsequent reporting to the Governor and Legislative Budget Board when the institution exceeds the FTE limitation in the General Appropriation Act.

**o. TTUHSC El Paso: Approve modification of quasi endowments.**

Board approval required by: Modification of an endowment under the Long-Term Investment Policy

The request is to approve the transfer of \$10.5 million in funds from certain quasi-endowments established at Texas Tech University Health Sciences Center at El Paso ("TTUHSC El Paso") to create new quasi-endowments that will better align with strategic initiatives in the form of Professorships and Chairs, as follows:

Current Quasi-Endowments to be eliminated after all funding is transferred out:

Anesthesiology Research  
 Anesthesiology Education  
 Professorship/Reproductive Physiology Fund  
 Lectureship and Conferences  
 Joseph Sakakini Ch/Maternal Fetal Medicine  
 Department of Ob/Gyn Fund

Current Quasi-Endowments that will remain active after proposed transfers:

ObGyn Population Health Professorship  
 Pathology Chair  
 Pathology Endowed Professorship  
 H Robert Misenhimer Endowed Chair

New Quasi-Endowments to be created:

Anesthesiology Endowed Chair  
 Emergency Medicine Endowed Chair  
 Internal Medicine Endowed Chair  
 Internal Medicine Endowed Professorship  
 Neurology Endowed Chair  
 Orthopedic Endowed Professorship  
 Radiology Endowed Professorship  
 Surgery Endowed Chair

**BACKGROUND INFORMATION**

The modification of these quasi-endowments will allow TTUHSC El Paso to recruit and retain exceptional faculty in the fields of Anesthesiology, Emergency Medicine, Internal Medicine, Neurology, Orthopedics, Radiology and Surgery.

These quasi-endowments were initially established using MPIP funds and may be repurposed as necessary and appropriate with the approval of the Texas Tech University System Board of Regents.

## CONTENTS OF THE INFORMATION AGENDA

Section 01.02.7.d(4)(c), *Regents' Rules*, provides: “material required by a provision of the *Regents' Rules* to be furnished to the Board as information will be listed in the information agenda.”

NOTE: The following are reports or other documents which, according to the *Regents' Rules* or state law, must be made available to the Board of Regents. As such, the reports below are on file in the Board Office, and their listing on the Information Agenda constitutes notice that they are available to Board members upon request.

## INFORMATION AGENDA

Information is provided as required by  
Section 01.02.7.d(4)(c), *Regents' Rules*

NOTE: The following are reports or other documents which, according to the *Regents' Rules* or state law, must be made available to the Board of Regents. As such, the reports below are on file in the Board Office, and their listing on the Information Agenda constitutes notice that they are available to Board members upon request.

- (1) **TTUHSC and TTUHSC El Paso: Contracts for ongoing and continuing health-related service relationships as per Section 07.12.4.c, *Regents' Rules*** – “Notwithstanding Section 07.12.3.a or Section 07.12.3.b, *Regents' Rules*, the board delegates to the presidents of health-related institutions the authority to approve the proposals and execute and sign contracts for health related services, as specified herein. This delegation is limited to contracts with entities for which the institution has an ongoing and continuing contractual relationship, to include: revenue contracts from which the institution receives payment for health related services; participation in health provider networks; resident or faculty support; and expense contracts with healthcare providers or suppliers necessary to fulfill the obligation to provide health related services as part of a revenue contract. Before such a contract may be executed, the president shall obtain the prior review of the TTUS Office of General Counsel and the TTUS vice chancellor and chief financial officer, or their designees. A list of health related services contracts that have been executed under this delegation of authority since the previous regular board meeting shall be provided to the board as an information item at the next regular board meeting.”

**TTUHSC:**

- (a) CON2163292 (ref CON1606311 & CON1729097) Superior Health Plan Inc.; NAIP Superior Healthplan to participate in the Network Access Improvement Program; \$3,330,000
- (b) CON2148002 (ref CON1700672) Covenant Health System; Physician Services Agreement; \$4,932,636
- (c) CON2148000 (ref CON1700674) Covenant Health System; Resident Support Agreement; \$3,013,433
- (d) CON2142991 (ref CON1600854 & CON1708227) Texas Health and Human Services Commission; HHSC Network Access Improvement Program; \$2,803,726
- (e) AMEND588851-003 (CON588851) University Medical Center – UMC Lubbock; Amended and Restated Master Coordinating Agreement; Increase of \$1,581,315 to \$20,169,167 annually.
- (f) AMEND1592374-005 (CON1592374) University Medical Center – UMC Lubbock; Amendment to General Funding - Agreement for faculty support Department of Internal Medicine, Cardiology; Increase of \$49,676 to \$1,034,082
- (g) AMEND1592374-006 (CON1592374) University Medical Center – UMC Lubbock; Amendment to update schedule of services and compensation; No change in value, remains \$1,034,082 annually.
- (h) AMEND1720684-001 (CON1720684) Amerigroup Texas Inc.; Amendment to update funds transfer and fees - NAIP Participation Agreement; Decrease of \$239,625 to \$2,156,625 annually.

- (i) AMEND589536-003 (CON589536) Northwest Texas Healthcare System Inc.; Amendment to extend Resident Services Agreement, No change in value, remains \$ 4,075,381 annually.
- (j) AMEND592422-005 (CON592422) Northwest Texas Healthcare System Inc.; Amendment to Extend Master Service Agreement; Increase of \$2,028,124 to \$10,140,621 annually.
- (k) AMEND592606-010 (CON592606) University Medical Center – UMC Lubbock; Amendment to update schedule of services and compensation; Increase of \$462,381 to \$23,640,695 annually.
- (l) AMEND592606-011 (CON592606) University Medical Center – UMC Lubbock; Amendment to update schedule of services and compensation; No change in value, remains \$23,640,695 annually.

**TTUHSC El Paso:**

- (a) 05181; El Paso First Health Plans Inc., “Network Access Improvement Program Agreement” for TTUHSC El Paso campus, one of two Managed Care Organizations affiliated with the Texas Health and Human Services Commission programs, \$1,335,760.
- (b) 05192; Superior Health Plans Inc., “Network Access Improvement Program Agreement” for TTUHSC El Paso campus, one of two Managed Care Organizations affiliated with the Texas Health and Human Services Commission programs, \$1,297,305.
- (c) 05402; El Paso Children’s Hospital, “Pediatric Resident Support Agreement” for TTUHSC El Paso campus, support for up to 10 residents, \$1,140,572.

- (2) **TTUHSC El Paso: Consulting contracts with an initial consideration of \$25,000 or less per Section 07.12.4.e.(2), Regents’ Rules** – “(a) Board approval is not required, but the vice chancellor and chief financial officer, in consultation with the chancellor, presidents, and chief financial officers of the institutions, shall review consulting contracts of \$25,000 or less prior to execution of the contract by the chancellor or president, as appropriate. (b) A report of the contract shall be provided as an Information Agenda item at the next board meeting.”

- (a) 05544; CampbellWilson LLP, “Consultant Services Agreement” for TTUHSC El Paso campus, RE: Consulting services for fiscal year 2016 uncompensated care reporting, \$20,000.

- (3) **TTUHSC: Contracts for sponsored programs projects in excess of \$1,000,000 per annum as provided by Section 07.12.4.b., Regents’ Rules:** “Notwithstanding Section 07.12.3.a, Regents’ Rules, the board delegates to the presidents the authority to approve the proposals and execute and sign contracts for sponsored program projects in excess of \$1,000,000 per annum. Sponsored program projects are those grants, contracts, and cooperative agreements from either the public or private sectors that support research, instructional, and service projects. A list of such contracts for sponsored program projects in excess of \$1,000,000 per annum shall be provided to the board as an information item at the next regular board meeting.”

- (a) Texas Higher Education Coordinating Board grant funding entitled “GME Expansion Grants”; grant year 07/01/2018 through 06/30/2020; award amount \$2,100,000.

- (4) **ASU: Exception to Nepotism per Sections 03.01.11.h and 03.01.11.f, Regents’ Rules** -- 03.01.11.h: “All instances where an

employee marries an administrative supervisor, is placed under the administrative supervision of a relative, or is made the administrative supervisor of a relative within the prohibited degree shall be reported to the board as an information item.” 03.01.11.f: “If the appointment, reappointment, reclassification, or promotion of an employee makes the employee an administrative supervisor over an employee who is related within a prohibited degree, all subsequent personnel and compensation actions affecting the subordinate employee shall become the responsibility of the next higher administrative supervisor.”

- (a) Dr. Michael T. Dixon was appointed chair of the Department of Biology, effective August 12, 2018, where his wife, Dr. Loren Ammerman is a Professor of Biology. After consultation with the department faculty, Dr. Paul Swets, Dean of the College of Science and Engineering, views Dr. Dixon as the most qualified faculty member to lead the department forward. Dr. Ammerman will be directly supervised by Dr. Swets. Dr. Swets will be responsible for Dr. Ammerman’s day-to-day departmental activities and will conduct her annual performance evaluations and make recommendations regarding personnel and compensation actions related to Dr. Ammerman. Authorization and implementation of action in any such matters will circumvent Dr. Dixon, the chair, and be directed to Dr. Swets. This plan will be re-evaluated after the end of every academic year to assure there is effective management of the conflict of interest and determine whether modifications are necessary.



# **ATTACHMENTS**

# **ATTACHMENT**

# **1**

**ASU OP 10.01, Undergraduate Student Admissions  
with proposed revisions  
(ACS Item 1.)**



**Angelo State University**  
**Operating Policy and Procedure**

**OP 10.01: Undergraduate Student Admissions**

**DATE:** ~~August 6, 2018~~ Upon Approval

**PURPOSE:** The purpose of this Operating Policy and/or Procedure (OP) is to outline policies concerning undergraduate student admissions.

**REVIEW:** This OP will be reviewed in August of every odd-numbered year by the director of admissions and the executive director of enrollment management with recommended revisions forwarded by September 1 through the vice president for student affairs and enrollment management to the president for approval and submission to the Board of Regents for approval. (*Regents' Rules*, Sections 05.01.2 and 05.02)

**POLICY/PROCEDURE**

Angelo State University commits itself to the equal consideration of all qualified applicants for admission without regard to race, color, religion, sex, age, or national origin, and without regard to disabilities as required by the Americans with Disabilities Act of 1990.

**1. FRESHMAN ADMISSION**

Individuals who have graduated from an accredited high school or homeschool may be eligible for admission to Angelo State University when they have submitted all of the following items to the Office of Admissions:

- Application for Admission.
- Scores on the American College Test (ACT) or the Scholastic Assessment Test (SAT) (scores cannot be more than five years old).
- Current non-refundable application fee.
- Official transcripts of high school records.

***Assured Admission of Freshmen Applicants***

Assured admission is granted to applicants based on satisfaction of the following requirements: a) graduate from an accredited high school or home school with a Texas Recommended or Distinguished Achievement Program diploma or the Endorsements or Distinguished Level of Achievement on the Foundation High School Program or its equivalent; and b) present the combination rank in class and minimum test scores indicated below. If a high school transcript does not include a class rank, an equivalent rank will be calculated by Undergraduate Admissions.

High School Class Rank	ACT Score	SAT Score***
Top <del>40</del> 25%*	No minimum	
Next <del>40</del> 25%**	17	SAT: 820 or Redesigned SAT of 900
3 <sup>rd</sup> Quarter	File Review	
4 <sup>th</sup> Quarter	File Review	

- \* Recommended program or the Distinguished Level of Achievement on the Foundation High School program.
- \*\* Recommended or Distinguished Achievement program or the Endorsements or Distinguished level of Achievement on the Foundation High School program or its equivalent.
- \*\*\* SAT scores include combined critical reading and math. Redesigned SAT scores include evidence-based reading & writing and math. Both SAT tests will use the combined maximum score of 1600.

Assured admission is also granted to applicants who have: a) graduated from an accredited high school or home school with a Texas Recommended or Distinguished Achievement Program diploma or the Endorsements or Distinguished Level of Achievement on the Foundation High School Program or its equivalent; and b) completed at least six (6) semester credit hours of dual credit through Angelo State University with a 3.0 GPA or higher.

Assured admission may also be granted to applicants graduating with the Foundation High School Program, or equivalent, other programs in transition, those not on a Texas High School Diploma Program but who meet one of the requirements listed below.

- a. Satisfy ACT’s College Readiness Benchmarks on the ACT assessment.
- b. Satisfy SAT College Readiness Benchmarks.

Private students must submit the Texas Private High School Certification Form published by and made available on the Texas Higher Education Coordinating Board website.

***Admission File Review of Freshman Applicants***

Students who do not meet assured admission will have their file reviewed to determine admissibility and potential for success at Angelo State University. Consideration factors may include, but are not limited to, the applicant’s: academic record, dual credit course completion, class rank, standardized test scores, first-generation status, bilingual proficiency, extracurricular activities, community activities, region of residence, socioeconomic background, financial status of the school district, the school district’s performance level on the TEA’s accountability criteria, responsibilities such as employment or helping to rear children, resident of a rural or urban area or a resident of a central city or suburban area, attendance in a school under a court ordered desegregation plan, commitment to a particular field of study, personal interview, admission to a comparable accredited out-of-state institution, or any other consideration the university considers necessary to accomplish the university's stated mission.

***Provisional Admission***

Freshman applicants not admitted through the university's standard admission and review process may be considered for admission through the provisional admission program.

Students may satisfy their provisional admission requirement via the Direct Path Program:

- a. Apply and be accepted to the Angelo State Direct Path Program, a partnership with Howard College. Upon earning 18 transferable credit hours with a cumulative 2.0 or higher grade point average a student will be fully admitted to Angelo State University.
- b. Participate in the Summer Gateway Program by enrolling in and completing six hours of transferable coursework with a 2.0 or greater grade point average either at Angelo State University or at another college or university.

**2. GENERAL EQUIVALENCY DIPLOMA (GED) ADMISSION**

Individuals who are not high school graduates but who have submitted evidence of a high school equivalency diploma from the Texas Education Agency (or equivalent agency in other states) may be eligible for admission to Angelo State University when they have submitted all of the following items to the Office of Admissions:

- Application for Admission.
- Scores on the ACT or the SAT (scores cannot be more than five years old).
- Current non-refundable application fee.

These applicants must meet one of the following admission requirements:

- a. Satisfy the College Readiness Benchmarks on the ACT assessment.
- b. Satisfy SAT College Readiness Benchmarks.

**3. DUAL CREDIT ADMISSION**

Dual credit admission is granted to applicants who are high school or home school students and meet the requirements of either the Regents Scholars Dual Credit Program or the Presidential Scholars Dual Credit Program.

The Regents Scholars Dual Credit Program is offered on the Angelo State University campus and the Presidential Scholars Dual Credit Program is offered at a high school of a partnering school district.

Students granted enrollment to take academic courses under either the Regents Scholars Dual Credit Program or the Presidential Scholars Dual Credit Program will not be considered as having officially been admitted to, nor matriculated at, Angelo State University until they graduate from high school and enroll in the university as regular students.

***Regents Scholars Dual Credit Program***

A high school student will be eligible for admission to the Regents Scholars Dual Credit Program when the applicant has met all admission requirements and has on file the following items:

- Dual Credit/Concurrent Enrollment Application for Admission.
- Official transcripts of high school records.
- Official scores on the ACT or the SAT (scores cannot be more than five years old).
- Dual Credit/Concurrent Enrollment Agreement form.

***Regents Scholars Admission Requirements***

To be eligible for admission to Angelo State University under the Regents Scholars Dual Credit Program, high school students must meet the following admission requirements:

- a. Enrolled currently in high school courses Private and home school students must submit the Texas Private High School Certification Form published by and made available on the Texas Higher Education Coordinating Board website.
- b. Present the combination rank in class and minimum test scores indicated below.

<b>High School Class Rank</b>	<b>ACT Score</b>	<b>SAT Score*</b>
Top 10%	No minimum	
All other rankings or non-ranked	17	SAT: 820 or Redesigned SAT of 900

\* SAT scores include combined critical reading and math. Redesigned SAT scores include evidence-based reading & writing and math. Both SAT tests will use the combined maximum score of 1600.

***Presidential Scholars Admission Program***

A high school student will be eligible for admission to Angelo State University under the Presidential Scholars Dual Credit Program when the applicant has met all admission requirements and has on file the following items:

- Dual Credit/Concurrent Enrollment Application for Admission.
- Official Transcripts of high school records.
- Dual Credit Agreement form.

***Presidential Scholars Admission Requirements***

To be eligible for admission to Angelo State University under the Presidential Scholars Dual Credit Program, high school students must meet one of the following admission requirements:

- a. Have a “B” (3.0 or 80) overall high school average.
- b. Be in the top half of class.
- c. Recommended by the high school principal or high school counselor.

#### 4. TRANSFER STUDENT ADMISSION

Students transferring from an accredited college or university will be eligible for admission to Angelo State University when they have met all admission requirements and have on file in the Office of Admissions the following items:

- Application for Admission.
- Transcripts of all college or university work.
- Current non-refundable application fee.

##### *Transfer Student Assured Admission*

Transfer students from an accredited college or university who are eligible to return to the institution most recently attended may be admitted if their cumulative grade point average on all transferable college level work attempted meets the following criteria and the other designated requirements:

<b>Total College Level Semester Credit Hours Attempted</b>	<b>Minimum Cumulative Grade Point Average and Other Requirements</b>
1-11	2.00 and meet admission criteria for regular admission for high school graduates
12 or more	2.00

- a. Students who are on academic suspension at any institution attended are ineligible for admission to Angelo State University until the period and terms of the suspension have been satisfied and the above criteria have been met.
- b. When calculating a transfer grade point average, grades of *A*, *B*, *C*, *D*, and *F* are computed as recorded. Grades of *WF* are averaged as *F*. When a course has been repeated, the last grade stands and is used for GPA calculations. Grades in non-transferable, developmental, and some technical/vocational courses are disregarded.
- c. Students meeting all admission requirements who are currently enrolled in another college or university and are unable to provide current transcripts of all previous work may appeal their admission to the Office of Admissions. It is the responsibility of the students to provide the official transcript to the Office of Admissions or be subject to forced withdrawal. Transfer courses will only be entered after receiving official transcripts.

##### *Admission File Review of Transfer Applicants*

Transfer applicants who do not meet the admission GPA (grade point average) requirement will have their records reviewed to evaluate other factors that could predict success at Angelo State University. The transfer office will review applicants holistically and present candidates to the Director of Admissions for a final admissions decision. The review will consider academic information such as the types of courses taken and the pattern of progress, as well as course work taken leading toward the major. Consideration will be given to students who have earned an associate's degree.

## **5. FORMER STUDENT ADMISSIONS**

All former undergraduate Angelo State University students who did not attend one long semester (fall or spring) must re-apply for undergraduate admission to re-enter ASU. They must submit:

- an application for undergraduate admission
- the current non-refundable application fee

Former ASU students who have attended another college or university after leaving ASU will be considered as transfer students and must meet the transfer student requirements above. Students must submit official transcripts of all college or university course work since their last enrollment at ASU. The cumulative grade point average of all official transcripts that were not previously received in the Office of Admissions must be a minimum 2.00.

Students who leave ASU on scholastic probation may be re-admitted on scholastic probation. If a student was suspended from ASU, he or she may return on probationary status after complying with the suspension requirements.

## **6. TRANSIENT ADMISSIONS**

Applicants who have completed college work and are working toward a degree at another college or university are eligible to be considered for transient admission. Applicants who desire to register for any term may be considered for enrollment without regard to the transfer student requirements above, but must not be on academic suspension from another institution.

Transient students are required to submit:

- An application for undergraduate admission
- The current non-refundable undergraduate application fee
- Proof of good standing with their current institution

## **7. POST-BACCALAUREATE ADMISSIONS**

Post-baccalaureate admission is granted to students who have been awarded a bachelor's degree and do not want to obtain another undergraduate degree.

Post-baccalaureate students are required to submit:

- An application for undergraduate admission
- The current non-refundable undergraduate application fee
- Proof of baccalaureate degree

ASU undergraduate students who are in good standing and seek post-baccalaureate admission for the term directly following their graduation need to submit a Continuing Education Verification Form for admission.



## **8. NON-DEGREE SEEKING STUDENTS**

Admission is granted to students interested in enrolling in courses pertaining to their personal interest, or those interested in receiving licensure.

Non-Degree Seeking Students are required to submit:

- Application for undergraduate admission
- Current non-refundable application fee
- High school transcript or GED (for those who did not previously attend college)
- Most recent or current college transcript

In addition:

- Applicants who have been denied admission as a degree-seeking student or who missed the deadline for submitting a degree seeking application will not be considered for enrollment as a non-degree student.
- Students who are not in good academic standing from Angelo State University or any other institution are not eligible to enter as a non-degree student.
- Acceptance in this category does not constitute acceptance to a degree granting program.
- Non-degree seeking students must adhere to the same academic rules that govern degree seeking students (i.e., application deadlines, fees, drop/add, withdrawals, grading, retention policies, etc.).
- Non-degree seeking students are limited to 24 semester credit hours for undergraduate level courses.
- Upon completion of 24 semester credit hours the student must be admitted as a degree-seeking student to continue at Angelo State University.
- Students seeking reclassification from non-degree student status to degree-seeking status must submit an application via Apply Texas.

## **9. ADMISSION TO A COLLEGE MAJOR**

An academic college or an academic department may have admission requirements in addition to those of the university.

## **10. OTHER PROVISIONS AND CONDITIONS OF ADMISSION**

All other provisions and conditions of admission not covered by the above admission requirements shall be established by the president of the university.

## **11. ADMISSION DECISION APPEALS**

The policies and procedures for considering admission decision appeals shall be established by the vice president for student affairs and enrollment management, subject to approval by the president of the university. Appeal consideration factors may include, but are not limited to, the applicant's: academic record, class rank, standardized test scores, or any other consideration the university considers necessary to accomplish the university's state mission. The university's decision in all such cases shall be final.

# **ATTACHMENT**

# **2**

**TTU Museum Collections Management Policy  
(Consent Item I.)**



TEXAS TECH UNIVERSITY

# Museum of Texas Tech University™

The Collections Management Policy was approved by the Texas Tech University Board of Regents in 1987. It is the basis of University OP 30.03 (Museum of Texas Tech University). The Collections Management Policy is reviewed and updated every five years or sooner as warranted. The 2005 revision of the Policy was approved by the Office of the Provost December 2005. The 2018 revision of the Policy was approved by the Collections Review Board on July 9, 2018.

## **COLLECTIONS MANAGEMENT POLICY HISTORY**

### **Museum of Texas Tech University**

Revised 2005

Reviewed 2010

Reviewed 2015

Revised 2018

Board of Regents approval:

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

## CONTENTS

Museum Statement	4
Mission Statement	4
Vision Statement	4
Statement of Purpose	4
Scope of Collections	4
Collections Statement	5
Code of Ethics	7
Introduction	7
Governance	8
Collections	10
Conduct of Individuals	12
Collections Review Board	15
Acquisitions	16
Gifts and Gifts-in-Kind	21
Accessions	22
Deaccessions	25
Catalog	29
Inventory	30
Loans	31
Outgoing Loans	31
Incoming Loans	34
In-house Loans	37

Collections Care	38
Preventive Conservation	39
Safe Handling	39
Conservation	40
Recordkeeping	42
Integrated Pest Management	44
Collections Security and Access	46
Personal Collecting	51
Research	52
Research Publications	53
Exhibitions	54
Intellectual Standards	54
Exhibition Standards	54
Exhibition Priorities	55
Image Use – Outside Requests	56
Definitions	57

## **MUSEUM STATEMENT**

### Mission Statement

Through its collections and programs, the Museum of Texas Tech University engages campus and community to enhance understanding of self and community identity, society, and the world; to empower people to be informed citizens of the 21<sup>st</sup> century; and to enrich lives.

### Vision Statement

To be a premier destination for exploration and discovery in the arts, humanities, and sciences and the leading university Museum in the country.

### Statement of Purpose

Established in 1929, the Museum is an educational, scientific, cultural, and research element of Texas Tech University. It is a nonprofit institution as a subdivision of a state as described in Internal Revenue Code 170c(1). The Museum's purpose is to support the academic and intellectual mission of Texas Tech University through the acquisition, preservation, documentation, and research of scientific and cultural collections and to disseminate information about those collections and their scientific and cultural topics through exhibition, interpretation, and publication for students, public audiences, and scholarly communities. The Museum aspires to the highest standards of current museological ethics and practices while pursuing continuous improvement, stimulating quality research, conservation, interpretation, exhibition, and education, and providing support for faculty, staff, and students. The Museum is a multifaceted institution. Its components consist of the main building, Lubbock Lake Landmark, Natural Science Research Laboratory, and the Moody Planetarium. The Museum houses the Heritage and Museum Sciences graduate program.

### Scope of Collections

The general scope-of-collections for the Museum is the greater American Southwest and similar geographic regions in time and space; the Natural Science Research Laboratory retains its scope-of-collections prior to merging with the Museum as global diversity. Each collecting division may further restrict and refine the scope in accordance with the Museum's mission and purpose.

## Collections Statement

The foundation of the Museum are the collections that are held-in-trust for the public. For the purposes of this policy, the term “object” is used for all types of collection material, including specimens, samples, and documentation. Further, as the Museum acquires collections, the term “collections” is used both to refer to a single object or a group of objects from a single accession or source. The Museum maintains three collection categories:

**Research Collections:** These are accessioned, documented, and cataloged objects of artistic, cultural, scientific, or historical significance, comparative materials, and objects of high quality that represent the diversity inherent in the mission of the Museum. These collections are used for research, exhibitions, and loans and are either owned by the Museum as an agent of the State of Texas or held-in-trust for the Museum of Texas Tech University Association or for federal and state agencies. Research collections receive the highest level of care and protection.

**Interpretation Collections:** These are accessioned and documented objects that are used for interpretation, participatory exhibitions, and educational programs. Objects held-in-trust cannot be reassigned to an Interpretation Collection. Interpretation Collection objects are owned by the Museum as an agent of the State of Texas and are subject to possible damage or destruction from supervised utilization. These objects are given all reasonable care and are viewed as important to the mission of the Museum. They are assigned to the Education Division or to Heritage Education at the Lubbock Lake Landmark, and are inventoried by those respective divisions. Objects may be transferred from a collecting Division or donated specifically for an Interpretation Collection. Objects from a Museum’s collecting Division are returned to the collecting Division from which they originated after they no longer have interpretive program value. In the event of damage or destruction beyond usefulness, objects are deaccessioned from the collecting Division or the Interpretation Collection in accordance with the deaccessions section of the Collections Management Policy of the Museum.

**Teaching Collections:** These are accessioned and documented objects that are used for hands-on instructional purposes within the Heritage and Museum Sciences graduate program. Objects held-in-trust cannot be reassigned to the Teaching Collection. Teaching Collection objects are owned by the Museum as an agent of the State of Texas and are subject to damage or destruction due to supervised utilization. These objects are given all reasonable care. They are assigned to the Heritage and Museum Sciences graduate program for use, and are inventoried by that program. Objects are returned to the collection Division from which they originated after they no longer have teaching value. In the event of damage or destruction beyond usefulness, these objects are deaccessioned in accordance with the deaccessioning section of the Collections Management Policy of the Museum.

Access to collections and related documents is restricted because of security concerns. The Museum also respects donors’ rights to privacy, protects confidentiality, and

safeguards legally secure documents to the extent allowed by current federal and state laws. The Museum staff does not conduct appraisals, provide letters or certificates of authenticity, or release object values to the public, or make known to the public specific storage locations of objects.

The Museum holds other materials that support its research and educational programming, such as exhibit props, scientific instruments and equipment, books, journals, furniture, and materials and supplies. These are not collections objects and are not accessioned, but they are property of the Museum of Texas Tech University. Each Division has the responsibility for the care and retention of such property in accordance with Texas Tech University OP 63.08 (Property Management) and OP 63.07 (Disposal of Surplus, Obsolete, or Uneconomically Repairable Inventory).



## CODE OF ETHICS

### 1. INTRODUCTION

The Museum of Texas Tech University endorses and applies current ethical standards and professional practices. Those standards and practices are defined in this Code of Ethics that is applicable to and serves as a guide for the institution and all associated faculty, staff, students, and volunteers. As a unit of Texas Tech University, the organization and responsibilities of the Museum are defined in the University's OP 30.03 (Museum of Texas Tech University). The Museum affirms its responsibilities set forth in that OP.

#### Premise

The Museum of Texas Tech University is a public and academic educational institution that collects, documents, preserves, and interprets objects, and disseminates knowledge about them. The Museum is committed to transparency, public service, and responsible management of its resources. To promote public trust, high standards of operation and behavior are necessary at all levels of the Museum, including individual members of governing bodies, support organizations, volunteers, and staff. Maintaining these standards is a collective and individual effort.

As an institution actively involved with the training of Museum professionals, the Museum has an added responsibility to students and the Museum community, to follow recognized standards of the profession.

#### Statement of Position

Scope: This Code of Ethics pertains to the Museum's governing body, faculty and staff members, students, volunteers, and support and associated groups of the Museum.

Authority Recognition: All laws, regulations, and international agreements of the United States and the State of Texas supersede this Code of Ethics. The general policies and regulations of the Texas Tech University System and specific regulations applicable to certain individuals, such as students and faculty, also supersede this Code of Ethics.

Endorsements in Principle: This Code of Ethics endorses the principles and standards of the International Council of Museums, American Alliance of Museums, Association of Academic Museums and Galleries, and those of specific disciplines and professions. In situations where differences may occur, the interests of the Museum will take precedence over the guidelines endorsed in principle.

This Code of Ethics also embodies and endorses the standards of conduct, principles of ethical behavior, and other statements of ethics described in Texas Tech University OP 10.11 (Ethics Policy).

Implementation: This Code of Ethics complements and works hand-in-hand with the mission and policies of the Museum. The policies, established by the governing body of the Museum are carried out under the guidance and supervision of its designated representative, the Executive Director of the Museum. The development of associated procedures is generally the responsibility of the Executive Director and designated staff.

Periodic Review and Interpretation: This Code of Ethics is reviewed every five years by the Collections Review Board and amended as needed. An Ethics Committee, appointed by the Executive Director, resolve any issues concerning its interpretation, including any non-adherence grievances.

## 2. GOVERNANCE

### General Responsibility

#### Administration

The Texas Tech University system Board of Regents and its designated line of authority is the governing body of the Museum of Texas Tech University. While the governing body has the responsibility of serving the Museum without serving individual interests, it must also ensure that all activities are in agreement with federal, state, and University regulations, Museum professional standards and practices, as well as the mission and policies established for the Museum.

The Museum of Texas Tech University Association is a separate 501(c)3 organization that supports the Museum. The Museum Association is not a governing body for the Museum, but a long-standing community-based membership group. The Museum Association's members seek to increase public awareness and support for the Museum on a local to international level. The governing body and the Museum recognize the importance of these efforts. Neither the governing body nor the Museum are responsible for the Museum Gift Shop that is administered by the Museum Association.

#### Agreements and Contracts

The governing body, through its designated representative, the Executive Director, reserves the right to negotiate and involve the Museum with corporations, agencies, or other outside parties in projects and programs that have mutual interest. The governing body will not obligate the Museum to projects or programs that do not serve Museum interest, or to situations that compromise the resources needed for ongoing activities related to the Museum's primary functions.

### Fiscal Matters

The governing body is responsible for using budgeted funds and resources to serve the interests of the Museum and its mission in a manner that provides an appropriate balance of allocations for staff, collections, facilities, equipment, programs, services, and museum functions. In all fiscal matters, the governing body maintains full documentation and accountability for resource expenditures. The governing body does not use any Museum resources for individual financial gain.

### Fundraising

All fundraising activities are compatible with mission and programs of the Museum. The Museum acts ethically, legally, and transparently in such activities. All monetary donations are handled so that the needs and wishes of the Museum are balanced with those of the donor. In all matters involving sales of goods or services, the Museum maintains reasonable rates of exchange. The governing body may raise funds to establish endowments for the Museum through the Texas Tech University Foundation and initiate corporate investment in Museum activities.

### Personnel

The governing body recognizes the greatest asset of the Museum is its staff, and that the quality of the staff is directly related to the Museum's ability to build and maintain collections, conduct research, develop exhibit and education programs for public and academic audiences, and perform services. For this reason, the governing body, acting through the Executive Director, is responsible for maintaining an equal opportunity employment process, providing job descriptions, hiring qualified staff, providing training and career enhancement opportunities, conducting periodic performance reviews and evaluations, and developing work environments that are in agreement with federal, state, and University regulations that address health, safety, and personnel issues. Working relationships between all persons affiliated with the Museum are based on equity and mutual respect.

### Collections

The governing body recognizes that the collections are the foundation of the Museum's programs and functions. The governing body recognizes that the possession of these collections incurs legal and ethical obligations to provide proper housing, management, and care for the collections and associated documentation. For these reasons, the governing body, acting through the Executive Director, is responsible for assuring that the scope of each collection agrees with the Museum's mission, that collection growth is balanced with available resources, and that appropriate allocation is made of personnel, facilities, equipment, services, and support to address the ongoing needs of each collection.

### Audiences

The governing body recognizes the importance of serving diverse public and academic audiences, and that these audiences help justify the support the Museum

receives from federal, state, local, and private sources. For this reason, the Museum;

- (1) Provides programs and activities that serve its broad constituency;
- (2) Is a facility that provides a responsive, safe, and comfortable environment; and,
- (3) Is a resource for accurate information.

The Museum is particularly sensitive to dealing properly with cultural, social, and legal issues, such as due respect for human remains, animal care and use regulations, disability access, and religious, gender, ethnic, and cultural diversity.

#### Privacy Protection

The governing body values protecting personal information as a priority. All efforts are taken to protect the privacy of faculty, staff, students, volunteers, and visitors. The Museum adheres to all federal and state laws regarding privacy, including the Texas Public Information Act and the Family Educational Rights and Privacy Act.

Texas Tech University and the Museum maintain application and employment information. Potential, current, and former employee information is private unless requested through proper legal means.

The Museum may collect visitor information and feedback through surveys, evaluations, or personal interviews and share aggregate data as appropriate. Generally, this information is collected anonymously, but should any identifying information be collected, it will not be shared with the general public or private businesses.

### 3. COLLECTIONS

Collections are developed, managed, and conserved for use in research, exhibits, and/or education programs for public and academic audiences. To ensure these collections will be available for use in the future, utilization is balanced with current preservation standards and practices. All collections-related activities promote the public good, not individual financial gain.

#### Acquisition

The growth and development of collections adheres to the Museum's mission statement and Collections Management Policy of the Museum, particularly in regards to legal and ethical acquisition, clear ownership, provenance, condition, value, need, and ability to provide proper long-term care. The Museum is committed to continued growth and development of collections in a manner that

reflects quality and relevance over quantity. New acquisitions emphasize collection integrity, object integrity, and maximum associated information.

### Management, Care, and Use

The management, care, and use of Museum collections follow the Museum's Collections Management Policy. Implementation of the Collections Management Policy is based on written procedures that:

- (1) Meet legal, museum, and academic standards for collections;
- (2) Include specifications for providing proper care with respect to environment, housing, exhibition, and handling;
- (3) Incorporate all parts of the collection, including objects, associated data, collection records, and reference material;
- (4) Allow for standardized access to the collections and associated data; and
- (5) Treat human remains, mortuary, and sacred objects with respect.

### Due Diligence

The Museum will seek to resolve the status of any objects ethically and legally that may be claimed or found to be subject of a question of ownership, repatriation, or restitution. The Museum will exercise due diligence and make every available effort to ensure that no such concerns exist before making acquisition recommendations. The Museum takes repatriation and restitution claims seriously. All claims of ownership asserted with objects already in the Museum's collections will be addressed openly, seriously, responsively, and with respect for all parties involved.

This responsibility includes any object:

- (1) Subject to the Native American Graves and Repatriation Act;
- (2) Found to be appropriated unlawfully during the Nazi era without subsequent restitution; or,
- (3) Found to be exported illegally from its country of origin or from the country where it was last owned legally.

### Truth in Presentation

Museum staff is responsible to present accurate information about the objects the Museum owns, exhibits, interprets, or publishes. Intellectual honesty and objectivity

in the presentation of objects is the duty of all individuals associated with the Museum, whether in a paid or unpaid position.

## Disposal

The disposal of accessioned collection objects follows the Museum's Collections Management Policy and accompanying written procedures for policy implementation. The policy and procedures ensure all deaccessioning activities are exclusively for the purpose of supporting the mission and scope of collections. All deaccessioned material is documented fully, clearly justified, disposed of appropriately, and free from problems of ownership, conflict of interest, and ethical or legal entanglements. No personal gain resulting from deaccessioned material is to be realized by any individual having an affiliation with the Museum or University higher administration.

## 4. CONDUCT OF INDIVIDUALS

### Responsibility to the Museum

Individuals affiliated with the Museum are expected to be familiar with and to abide by the Code of Ethics, Collections Management Policy, and Collections Management Procedures adopted by the Museum. Individuals affiliated with the Museum are expected to fulfill all duties and responsibilities of their designated position and written job description, in a timely and professional manner. All Museum resources, including personnel, staff time, facilities, collections, images, equipment, supplies, and funds, are to be used only to serve the interests and purposes of the Museum. Unauthorized use of these resources by any individual, strictly for personal benefit, is ethically irresponsible and may be regarded as a conflict of interest, fraud, or theft.

Individuals affiliated with the Museum have unique responsibilities related to maintaining the Museum's image, trust, and credibility for its audiences. For this reason, affiliated individuals must:

- (1) Properly represent the Museum and their position when interacting with others;
- (2) Exercise professional discretion about activities and concerns of the Museum; and
- (3) Hold in confidence relevant information not subject to public disclosure under federal or state laws concerning matters such as collections, personnel, and security.

Individuals affiliated with the Museum must avoid the appearance of impropriety and situations that may be construed as a conflict of interest. The purpose of this concern is to prevent the actual or perceived conflict between Museum personnel and the objectives of the Museum. Concerns about potential conflicts of interest will be conveyed immediately to the Executive Director. Potential conflicts of interest include:

- (1) Personal collecting within the collecting areas of the Museum;
- (2) Using Museum affiliations, Museum resources, or the influence of one's position in ways solely to benefit personally, or to serve solely the interests of persons outside the Museum;
- (3) Placing the Museum in a situation that compromises its mission, policies, functions, practices, or philosophies;
- (4) Placing the Museum in a situation that it unduly competes with outside parties, and
- (5) Participating in other employment that compromises one's capability to perform in a timely and professional manner.

#### Responsibility to Collections

The Museum's ability to service audiences depends on the quality and accuracy of available information. Such information includes object and collection documentation, personal communications, formal presentation, written correspondence, public exhibits, and educational programs. For this reason, individuals affiliated with the Museum maintain accurate and complete as possible information.

The Museum's ability to perform its functions depends on the quality of object preservation and conservation. Individuals affiliated with the Museum will respect all objects and materials by following professional museum preservation procedures, providing protection from agents of deterioration, providing proper housing, and exercising safe handling.

Individuals affiliated with the Museum collections must be knowledgeable about their respective collection(s), museum and academic standards related to their collection(s), and changes in philosophies and practices for properly managing and caring for their collection(s). They also are responsible for upholding the University's technology and emergency policies and for upholding the Museum's security and emergency policies.

## Responsibility to Other Individuals

Individuals affiliated with the Museum must be responsive to each other, to professional associates outside of the Museum, and to the Museum's public and academic audiences, and treat each individual with professional courtesy and respect and observe the rights of one another. They cooperate as needed to promote the Museum and its mission, functions, services, programs, and image. Supervisors and faculty are responsible for the actions of the individuals under their supervision and will take an active role in providing direction, instruction, communication, and group cooperation.



## **COLLECTIONS REVIEW BOARD**

The Executive Director delegates authority to the Collections Review Board for Museum decision-making in collections-related matters and to the Director of Academic and Curatorial Programs to make appointments to the board. The institutional decision structure resides with the Collections Review Board. The Collections Review Board deliberates all acquisitions, deaccessions and disposals, destructive loans, image requests, and other collections-related matters. The Collections Review Board exercises due diligence and fiduciary responsibility for the Museum and acts in the Museum's interest to exercise its duty of care and duty of loyalty.

The Executive Director normally does not meet with the Collections Review Board, but participates when Institutional Advancement is involved or as circumstances warrant. The Registrar is responsible for providing to the Executive Director an annual list of each year's accessions and deaccessions.

## ACQUISITIONS

Acquisition is the process of acquiring an object(s) or collection for the collections of the Museum. Object(s) or collections usually are acquired through donation, field work or research, purchase, transfer from or exchange with another institution, bequest, or as an object or collection held-in-trust. Acquisition does not imply accessioning, but is a necessary prerequisite for accessioning. Acquired objects or collections are recommended for accessioning by the appropriate curator to the Collections Review Board.

State, federal, and international statutes and laws may affect the acquisition of certain objects. In all cases, the Museum acts in accordance with those statutes and laws. Additionally, the Museum bases its acquisition and accession policy statements and procedures on the ethical standards set out in its own Code of Ethics. The Museum does not knowingly accept any object or collection acquired by illegal or unethical means.

The following policy statements support an attitude of responsible collections management. They provide guidance for collection acquisition by authorized Museum personnel. Adherence to the statements promotes responsible collecting and assures appropriate housing, preservation, and conservation and accountability inherent in the acceptance of objects or collections. Reference to these guidelines fosters a spirit of understanding and cooperation with prospective donors and serves as a defined justification for acceptance or rejection of donations, field-generated collections, purchases, transfers and exchanges, bequests, or as a collection held-in-trust.

1. The Museum of Texas Tech University categorically endorses the concept that responsibility for the physical safety of the objects begins with acquisition.
2. The right to require art object(s) was granted to the Museum of Texas Tech University Association by agreement with the administration at Texas Tech University in 2015. The Museum is not obligated to accept stewardship of any object acquired by the Museum Association. Museum Association acquisitions are reviewed in accordance with the qualifications and conditions as outlined in the acquisitions section of this Policy and as defined in the acquisitions procedure section of the Collections Management Procedures document. Museum Association acquisitions accepted into the collections of the Museum by the Collections Review Board are held-in-trust for the Museum Association through a signed held-in-trust agreement. When stewardship is accepted, the fiduciary responsibility for the acquired object(s) remains with the Museum Association, while the management of the held-in-trust object(s) is determined by the held-in-trust agreement.
3. Acquisitions of the Museum of Texas Tech University other than held-in-trust collections are the property of the State of Texas. Acquisitions of the Museum of Texas Tech University Association are the property and responsibility of that

organization for which its Board has legal obligation. The Museum is not legally bound to acquire, consider for accession, house, or care for objects that are acquired by the Museum Association.

4. All potential acquisitions must be evaluated by the following criteria:
  - a. Appropriateness to the Museum's mission, purpose, goals and scope of collections and the educational aims of Texas Tech University.
  - b. Ability of the Museum to maintain and house the object(s) and associated documentation properly without compromising its financial and physical capabilities.
  - c. Documentation as to origin, previous ownership, and use.
  - d. Relevance of acquisition to the Museum Collections Plan and the collecting division's scope-of-collections and collections plan.
  - e. Laws and ethical standards governing possession and use of objects.
  - f. Willingness of the donor (owner) to transfer complete ownership (provide clear title) to the Museum without restrictions, limitations, or conditions. For donations, transfers, and bequests, transfer of legal title is through a signed deed-of-gift between the Museum and owner that identifies owner, the Museum, and all objects for which ownership is transferred.
  - g. Willingness of the federal or state agency to transfer stewardship to the Museum for held-in-trust collections. Transfer of stewardship is due a signed held-in-trust agreement between the Museum and the federal or state agency that identifies the agency, the Museum, and all objects for which stewardship is transferred.
  - h. Willingness of the Museum Association to transfer stewardship to the Museum for held-in-trust objects. Transfer of stewardship is through a signed held-in-trust agreement between the Museum and Museum Association that identifies the Museum Association, the Museum, and all objects for which stewardship is transferred.
  - i. Willingness of the seller to provide written documentation identifying the seller, all objects being purchased, the price of each object, and a receipt to the Museum completing the sale.
  - j. Consideration of the legal status of the intellectual property related to the objects.
5. The Museum acquires no collection, by any means, for which a valid title cannot be

obtained. Clear title must be established, and to the best knowledge of all parties, prior to acquisition. The Museum will acquire no held-in-trust collection from which a valid transfer of stewardship cannot be obtained.

6. The Museum does not acquire or utilize collections of questionable legal or ethical origin.
7. Restricted or conditional donations will not be accepted except under extraordinary circumstances when the long-term advantage to the Museum is unequivocal. Any consideration of such donations must be accompanied by a legal document that conveys any restrictions or conditions.
8. The Museum does not acquire personal memorabilia unless the material has specific relevance to the mission and scope of collections of the Museum. Potential donations from Museum staff are subject to the acquisition process and cannot be within their collecting division. The staff member must agree that the donation is not a charitable contribution.
9. The Museum is not legally bound to acquire objects that are bequeathed to it. Objects bequeathed to the Museum are subject to review and approval as outlined in the Collections Management Policy. The Museum observes all legal requirements with respect to objects acquired through the bequest, but is not obligated to accept any restrictions or conditions associated with bequest.
10. The Museum will not acquire objects dropped off or delivered to the Museum without previous contact between a potential donor and a Curator, including objects found left outside the Museum or unsolicited objects shipped to the Museum. Such objects are considered abandoned property and handed over to the university Police Department for further action.
11. Held-in-trust collections owned by the state or federal government are acquired by the Museum through permitted field-generated collections on public lands or an agreement with the appropriate state or federal agency.
  - a. These collections must fit the scope and collecting plan of the Museum and all other acquisition criteria to ensure proper housing and maintenance.
  - b. The Registrar submits an annual report of acquisition activities of state associated held-in-trust collections to the Texas Historical Commission. The Registrar submits an annual report of acquisition activities regarding federally associated held-in-trust collections to the appropriate federal agency.
12. For the purpose of acquisition insurance valuation and in the absence of an appraisal, a Museum curator in the relevant discipline is relied upon for estimations of value, and their determination is final.

13. Museum staff cannot at any time ethically or legally appraise objects for private citizens or donors, retain an appraiser for a private citizen or donor, or refer an individual appraiser to a private citizen or donor. Museum staff follow IRS rules and regulations. Donors requiring appraisals are responsible for meeting current IRS standards for income tax purposes.

Appraisal restrictions do not apply to in-house assessments of value of objects owned or held-in-trust by the Museum for such Museum valuation purposes as insurance purposes, traveling exhibitions, or outgoing loans. These activities are viewed as professional assessments and not commercial appraisals.

14. Collections and associated documentation, including field records generated by staff or student field work and research are owned or held-in-trust by the Museum and are accessioned as appropriate. This statement also applies to documentation generated by research carried out on behalf of the Museum where no physical objects or samples are actualized.
15. In the process of acquiring or collecting field objects, Museum personnel will not knowingly or intentionally violate local, state, national, or international laws or statutes. Nor will the Museum knowingly or intentionally receive into its possession any object(s) that have been stolen, converted, or taken by fraud in violation of the above noted laws or statutes. Field collection is not initiated without appropriate documentation, including all required state, federal, or foreign government permits, export, import, and health permits and associated documents, land use authorization, and designation of the Museum as the stewardship curatorial facility. On private property, permission to collect, preserve, utilize, and subsequently to assume title, without restriction, must be gained in writing from the owner, or legal representative of the owner, on whose land the object(s) are collected. These permission documents are part of the field notes associated with the collection and as such become part of the Museum's permanent records.
16. Collections care begins with acquisition. It is the responsibility of the Registrar and appropriate Curator to ensure that preventive conservation and collections management best practices are followed.
17. The Museum maintains in the Registration Division a detailed recordkeeping system of all objects acquired or received by any approved means into its care.
18. Recordkeeping begins with acquisition and is the responsibility of the Registrar and appropriate Curator. Collections records include acquisitions, accessions, catalog, inventory, loan, insurance, condition report, treatment forms, field forms, photodocuments (film and digital images, video recordings), and business records. Records include paper documents and electronic data entry. All digital records are updated and stored at an off-site secure facility. Records are housed in appropriate cabinetry, files, or refrigerated units.

19. Objects suitable for deposition in the comparative and education collections of the various divisions for in-house research and education purposes are acquired and accessioned.
20. Donor information and donor acknowledgment, including the wishes of a donor to remain anonymous, are maintained as part of the acquisition file, the accession file, and on the catalog record.
21. Potential donors are informed of the restrictions under which gifts may be received by the Museum. Museum acquisitions, once accessioned, are subject to the deaccessioning section of the Collections Management Policy.
22. Certain state, national, and international statutes and laws may require that acquired or accessioned objects be deaccessioned from the Museum's collections and repatriated. The Museum abides by current statutes and laws. Prospective donors of objects likely to be affected by such legislation are informed of this likelihood.

## **GIFTS AND GIFTS-IN-KIND**

1. Gifts-in-kind for the Museum with an appraised value in excess of \$10,000 require the approval of the Vice Chancellor for Institutional Advancement and the Chief Financial Officer. Approval of the Board of Regents is required for all the gifts of property valued at \$250,000 or more, and for all gifts of real estate. An individual cannot commit the Museum and University to the acceptance of a gift-in-kind prior to official approval.
  - a. Gifts, donations, and non-contractual grants are defined as follows: charitable contributions of any kind of property, real or personal, including pledges, that are given for restricted or unrestricted purposes by donors from the private sector. Included in this definition are gifts such as cash, securities, and tangible personal property and real property.
  - b. All solicitation of gifts from private sources by any Museum faculty member, staff member, student, student organization, or related entity are coordinated and cleared before the fact with the Executive Director and the University System Office of Institutional Advancement.
2. Finder's Fees or Commissions
  - a. The Museum does not pay a fee to any person in consideration of directing a gift to the Museum, Texas Tech University, or the University System Office of Institutional Advancement. Such fees may be illegal, and, in the case of irrevocable deferred gifts that involve management of assets, the payment of such fees may subject Texas Tech University, its Board of Regents, Texas Tech Foundation, its Board of Directors, or Texas Tech University staff to federal and state security regulations.
  - b. No commission or finder's fees of any type are paid to any party in connection with the completion of a gift to the Museum, Texas Tech University, or Texas Tech Foundation.
  - c. All collections-related gifts-in-kind to the Museum must be approved by the Collections Review Board prior to acceptance of the offered collection. Collections-related gifts must be appraised or have a market valuation by a qualified appraiser before being donated to the Museum.

## ACCESSIONS

Accessioning is the procedure that is initiated by the transfer of clear title, and that officially incorporates objects into the collections of the Museum or registers objects held-in-trust for federal and state agencies or the Museum Association. Title is transferred when the Museum receives a deed-of-gift signed by the donor or donors, a bill of sale is acknowledged as paid in full in the case of purchased objects, or a document is signed by all interested parties in the case of transferred objects.

Held-in-trust status is conferred when the Museum receives a held-in-trust agreement signed by the authorized representative of a state or federal agency or by the Museum Association. Stewardship is transferred but not ownership. The Museum recognizes the acquisition agreement between Texas Tech University and the Museum Association and that certain collections generated under state or federal permits are regulated by specific state and federal laws and are held-in-trust instead of owned by the Museum.

Objects are not incorporated into the Museum collections until they are accessioned. Upon accessioning, the Museum assumes the legal obligation for the proper care and management of the object(s). Accessioning provides an inventory of objects owned and held-in-trust by the Museum. It is a function and responsibility of the Registration Division.

1. All items acquired for the permanent collections of the Museum will be accessioned in a timely manner.
2. Once an object(s) or collection is reviewed and approved by the Collections Review Board and a signed deed-of-gift, held-in-trust agreement, or a receipt for purchased objects is received, then the object(s) or collection is accessioned by the Registrar. Complete records of the accessioned holdings of the Museum are maintained in the Registration Division.
3. Accession numbers document Museum ownership or stewardship and are an inventory control device. The accession number system utilized by the Museum is alpha-numeric and includes the Museum acronym TTU, followed by the calendar year of acceptance, followed by a number indicating the order of acceptance. The calendar year is written in full, and the number order of acceptance is separated by a dash from the year (e.g., TTU2000-001). Each accession, whether it consists of a single object or collection of objects, is assigned one unique accession number.
4. Accessioning is the responsibility of the Registrar, and only the Registrar has the authority to assign accession numbers. It is the responsibility of the appropriate curator to provide all acquisition and identification documentation to the Registrar.
5. Undocumented objects found in the collections are those that have no accession number and no record of the objects being accessioned or why they are in the Museum. Ownership of undocumented objects cannot be assumed and they



cannot be disposed of or accessioned. These objects are abandoned property. The Texas law (Title 6A [Property Loaned to Museums], Chapter 80 [Ownership, Conservation, and Disposition of Property Loaned to Museums]) for museum abandoned property and old loans must be followed in order to gain clear title. Once clear title is established, the objects undergo acquisition review.

6. Records that accompany accessions are:
  - a. A document transferring clear title of ownership (deed-of-gift, purchase receipt, transfer/exchange letter) or a held-in-trust agreement.
  - b. A complete record of all correspondence and transactions involving the accession including:
    - (1) Name and address of the donor (includes landowner for field generated collections on private land), seller, trading/exchanging institution, or governmental agency or Museum Association for which object(s) or collection is being held-in-trust.
    - (2) Copy of the permit for held-in-trust objects or collections as applicable.
    - (3) Copy of the permit for field-generated collections from foreign countries.
    - (4) Import and export papers for object(s) or collections from foreign countries.
    - (5) Bill of sale, purchase receipt, and bill of lading.
    - (6) Any gift restrictions.
    - (7) Copyright information.
    - (8) Artist's rights information.
    - (9) Provenience information.
    - (10) History of object(s).
    - (11) Date or age of object(s).
  - c. If the Museum acquires a state-associated held-in-trust collection generated by an outside researcher, then a signed curation agreement also is required that identifies the generating organization, the researcher, the Museum, and the objects that constitute the collection.

- d. For collections acquired by field research by Museum staff, the following must be added to the file in the Registration Division: either a copy of the permit giving the staff member permission for such research and naming the Museum as the official curatorial facility; or written documentation that the landowner provided the staff member permission for such research and the arrangements for the final disposition of the collected material.
  - e. Digital, black and white, or color photographic images with the assigned accession number visible either in the photograph(s) or inscribed on the face of the photograph(s) are required for all type specimens, works of art, ethnographic material, significant historical costumes and objects, appropriate archaeological objects, and other objects selected by the Executive Director in consultation with the Registrar and the appropriate Curator.
7. Donated books that are rare, serials, and historic manuscripts appropriate for the collections are accessioned, assigned to the appropriate division, and cataloged into that division. Accessioned books are not placed in a library. Donated books and serials for placement in the Heritage and Museum Sciences Research Library or the Packard library in the Natural Science Research Laboratory are not accessioned but are recorded by the Registrar with all information pertaining to donation. A deed-of gift form is sent to the donor with a complete listing of the book(s). Records of books donated are kept in the Registration Division separate from accession records. Books are cataloged into the appropriate library using standard library procedures.
8. The Registrar submits an annual report of accessioning activities regarding state associated held-in-trust collections to the Texas Historical Commission.

## DEACCESSIONS

Deaccessioning is an integral part of museum professional practice. This view is embodied by the Museum in its Code of Ethics and is based on ethical codes of national and international museum professional organizations. Deaccessioning is a useful tool for defining and refining the scope and quality of collections. A deaccession policy does not, however, imply that collections are a resource for the purpose of raising revenue to cover operating costs. Such implications quickly undermine the Museum's fiduciary responsibility and public trust. The deaccessioning of an object by sale can only occur in particular circumstances, and the use of any revenue raised from deaccessioning is restricted.

The Museum recognizes the special responsibility associated with the receiving and maintenance of objects of cultural, historical, and scientific significance in the public trust. An institution cannot remain static and serve the cultural and educational needs of its various communities. Periodic reevaluations and thoughtful selection are necessary for the growth and proper care of collections. The practice of deaccessioning under well-defined guidelines provides these opportunities. Deaccessioning permanently removes an object from the collections through donation, transfer, exchange, sale, repatriation, loss from collections, deterioration beyond repair, and loss through natural disasters. The process allows transfer of unrestricted title to a receiving agency or transfer of stewardship by a governmental agency to another institution if the collection is held-in-trust.

As the Museum is concerned for the preservation of objects in the public trust, written evidence is required that appropriate care and maintenance will be provided all objects considered for deaccessioning through donation, exchange, transfer, or repatriation, except where state, federal, or international laws or statutes override this requirement. Objects under consideration for exchange from another institution are subject to the acquisitions and accessions review process. An object must have been accessioned into the Museum's holdings for at least seven years before it can be considered for deaccessioning, unless otherwise regulated by state and federal law.

1. Deaccession involves the careful and legal removal of properly reviewed objects from the Museum collections. The only objects considered for deaccession are those to which the Museum has clear title or held-in-trust stewardship. For held-in-trust collections, deaccession consideration and approval is done in concert with the appropriate governmental agency and the method of disposal designated by that governmental agency or in concert with the Museum Association for its collections.
2. No object is deaccessioned and disposed of by transfer, exchange, sale, or destruction, or in any way removed from the Museum records without careful review, evaluation by curatorial staff, and documentation of clear title or held-in-trust status. Although the object is permanently removed from the Museum's holdings, all information associated with the object including accession and catalog

numbers are retained by the Registrar.

3. Type of materials and comparable objects cannot be deaccessioned.
4. The Executive Director has delegated authority to the Collections Review Board to make final staff decisions on deaccessioning. Initial written recommendations from the appropriate curator are submitted to and reviewed by the Collections Review Board. The Board of Regents, or the governmental agency or Museum Association for held-in-trust collections, has final review.
5. As a courtesy, reasonable efforts will be made to contact donors or their heirs prior to deaccessioning objects from the Museum's collections to inform them of the Museum's action.
6. The decision to deaccession is made based on, but not limited to, the following guidelines. These guidelines assume that all objects currently are accessioned and that the Museum has clear and unrestricted title or held-in-trust stewardship.
  - a. Objects lacking provenience or location information that are not significant or useful for research, exhibit, or educational purposes.
  - b. Objects that have been determined not to be authentic.
  - c. Objects that have limited or no value to the Museum because of redundancy in the collections.
  - d. Human skeletal remains and objects of sacred or ritual significance that are requested for return under the terms and conditions of any state, federal, or international laws and statutes. As per current federal laws and statutes, the requesting group must provide evidence of the validity of their claim. All claims must be made in accordance with national and international statutes and laws and the Museum will respond accordingly.
  - e. Objects that do not relate to the mission of the Museum. Objects that are relevant to the mission of the Museum may not be deaccessioned on the grounds that they are not relevant to the research interests of current faculty or staff.
  - f. Objects that have decayed, decomposed, or have been damaged beyond reasonable use and repair or whose condition constitute a hazard to other objects in the collections or a hazard to staff.
  - g. Objects reported as missing after the second comprehensive inventory or stolen.
  - h. Objects that have been stolen and for which an insurance claim has been

paid to the Museum.

- i. Objects from the Interpretation Collection used in education programs or from the comparative collections that are consumed.
  - j. Objects that were accessioned erroneously into the collections.
7. Disposal is the physical removal of a deaccessioned object or collection from the Museum. The Museum uses four disposal methods: transfer or exchange, sale, repatriation, and destruction. The preferred method of disposal is transfer or exchange of objects to or with appropriate public museums or related institutions, after which the order of preference is appropriate public educational agencies and institutions, private museums, and private educational agencies and institutions. Every effort is made to retain objects of regional or local importance in a public sphere.

In the event of transfer to or exchange with either public or private institutions, the Museum requires evidence that proper care will be provided for the objects. The Registrar sends a transfer document that transfers ownership to the receiving institution.

8. If transfer is not feasible, objects may be sold through standard State of Texas procedures. Under no circumstances will anthropological, natural sciences, or held-in-trust objects be sold.
- a. In instances of sale, no member of the Texas Tech University Board of Regents, Museum of Texas Tech University Association Executive Board, the Museum of Texas Tech University Association Acquisition Committee, or Association staff, Museum of Texas Tech University faculty, staff, students, volunteers, or members of the Museum of Texas Tech University Association, are eligible to purchase deaccessioned items.
  - b. As a courtesy, reasonable efforts will be made to contact donors or their heirs prior to the disposal by sale of objects from the Museum's collections.
  - c. Money acquired from the sale of the object(s) is used solely to obtain objects for the collection of the Museum division from which the object(s) was deaccessioned. None of the revenue generated will be used to fund operating costs or salaries.
  - d. Funding for newly acquired and accessioned objects are attributed to the original donor(s).
9. Repatriation returns the requested and subsequently deaccessioned objects to the requesting people of origin or country of origin.

10. Objects that have decayed, decomposed, or have been damaged beyond reasonable use and repair must be destroyed in an appropriate manner.
11. If a suitable recipient for a proposed deaccession and disposal through transfer, exchange, or sale cannot be found, the Museum must keep and maintain the objects until such time as a suitable recipient is found.
12. The Registrar submits an annual report of deaccessioning activities regarding state associated held-in-trust collections to the Texas Historical Commission.
13. All information associated with a deaccessioned object, including any associated numbers, will be retained in the Registrar's records.

## CATALOG

To catalog is to identify and describe in detail and methodically classify each object and provide it a unique identifying number. Cataloging is part of documentary control of the collections, placing the object in the proper context and determining information important and unique to that one object. The catalog provides a centralized and effective management system for all available documentation of an object.

The Museum's collecting divisions maintain a unified cataloging system, with cross reference between accession and catalog numbers. The system is computer-based, with collection records backed-up on a periodic basis. The catalog records both intrinsic and associational information in standard formats along with standardized categories basic to all collecting divisions. Additional fields customize the catalog to each collecting division. Catalog numbers document classification and scholarship and are an inventory control device for the appropriate Curator.

1. All accessioned collection objects are cataloged in a timely manner by the appropriate collecting division.
2. Complete records of the cataloged holdings of the Museum are maintained by each collecting division. Each Curator provides the range of catalog numbers for each accession to the Registrar to be added to the registration records.
3. The catalog number system utilized by the Museum is alpha-numeric and includes the Museum acronym TTU, followed by a dash (-), followed by the collecting division designator letter or letters, followed by a serial number.
  - a. The catalog number is written in full on the object (e.g., TTU-A1000). As appropriate, each object is assigned a unique catalog number.
  - b. Each collecting division may further add modifying numbers to the designator letter or letters, followed by a dash (-), followed by a serial number (e.g., TTU A1-1000) to provide flexibility in managing its collections.
4. Cataloging is the responsibility of the Curator, and only curators have the authority to assign catalog numbers within the appropriate collecting division.
5. Objects may not be loaned until they are accessioned and cataloged.

## INVENTORY

Inventory provides accountability, updates collection records and documentation, provides opportunities to check the condition of each object, aids in maintaining the security of collections, and helps fulfill legal and ethical responsibilities of the Museum. Inventory is the physical verification of the presence, location, and condition of the objects for which the Museum has assumed responsibility.

1. The Museum practices four types of inventory: accession, comprehensive, spot check, and relocation.
  - a. Each accession must have an accounting of the incoming objects and documentation to provide a baseline. An accession inventory is the responsibility of the Registrar.
  - b. A comprehensive inventory is conducted on a divisional level once every 10 years accounting for all objects in that division. Each collecting division and its Curator has the responsibility to conduct comprehensive inventories.
  - c. A spot-check inventory is conducted by each collecting division on a regular basis as needed for a specific group of objects, cabinet, or shelf. A spot check inventory is the responsibility of the Curator.
  - d. A relocation inventory is conducted at any time an object or collection is moved. Relocation inventory may be the responsibility of the Registrar or Curator based on the circumstances of relocation.
2. The Registrar submits an annual report of inventory activities regarding state-associated held-in-trust collections to the Texas Historical Commission.



## **LOANS**

Borrowing and lending objects are inherent practices in a museum and require specific guidelines to assure object management. Loans do not involve transfer of title but are the temporary reassignment of objects from the Museum (outgoing) to another institution or to the Museum (incoming). In-house loans are internal loans within the Museum between divisions. All loans are for a defined period of time and for the stated purposes of exhibition, research, education, or inspection. Third-party or permanent loans and commercial use of loaned materials are prohibited.

1. Loans are by authority of the Executive Director and effected through the Office of the Registrar. Loans are initiated by a Curator and transmitted in writing for processing to the Registrar. A written loan contract must accompany every loan with specifications on rights and responsibilities of each party. The loan contract must stipulate the conditions of the loan to insure adequate storage, insurance, environmental protection, and safety precautions during transit, handling, and use. Loan contracts are filed in the Office of the Registrar with a copy in the appropriate division's files. It is the responsibility of the Curator to notify the Registrar of the return and completion of a loan. The Registrar establishes the procedures for packing and transportation of all loans.
2. All loans (outgoing or incoming) that require a financial or physical facility commitment by the Museum of other than a minimal nature, or obligates the Museum to other than normal investment in the care, maintenance, or protection of an object, must be approved by the Executive Director.
3. The Museum's loan number system is alpha-numeric and includes the letter L (for loan), followed by the calendar year of the loan, followed by a number indicating the order of loan. The system has two components, that of incoming loans (IL) and outgoing loans (OL), each with its own sequential numbers. The calendar year is written in full, and the serial number is separated by a dash from the year (e.g., OL2000-001). Each loan, regardless of the number of objects, is assigned one unique loan number. Only the Registrar can assign a loan number.

### **Outgoing Loans**

Museum collections are maintained for the benefit of the public and objects are loaned to reach additional audiences and facilitate research. While on loan, objects must be afforded by the borrower the same level of care and protection as provided by the Museum. Loans are made only to other similar institutions, non-profit agencies, and educational organizations. Loans for research purposes are made only to institutions for which a requesting individual is affiliated and that institution assumes full responsibility for the proper administration of the loan and the care and security of the object. No outgoing loans are made to private individuals or businesses.

1. The purposes for which the Museum may release an object to another institution

as an outgoing loan are as follows:

- a. For exhibition as part of a temporary installation or loan exhibition;
  - b. For research, destructive analysis, or related educational purposes;
  - c. For conservation, identification, or examination.
2. Objects considered for loan are accessioned and cataloged and are the property of the Museum or held-in-trust. Unaccessioned or uncataloged Museum collections and type specimens and comparable objects will not be loaned. Each division may further restrict the kinds of objects or materials eligible for loans based on nature, rarity, preservation, monetary value, research priority, and/or management considerations of the objects.
  3. The Museum maintains property rights over the object(s) loaned.
  4. To assure objects requested for loan receive proper care and security, the requesting institution must present verification of their environmental, storage, exhibition, and security conditions and procedures for the handling and transit of objects. Objects must be packed and transported in the safest possible way in accordance with the nature and condition of the objects.
  5. The authority to approve a loan rests with the appropriate Curator. Loans of held-in-trust objects may need the approval of the appropriate governmental agency or Museum Association based on the held-in-trust agreement prior to execution of a loan contract. It is the responsibility of the Curator to request loan approval as warranted and provide the approval document to the Registrar.
  6. The loan period is six months with options to renew for a maximum 2-year period subject to approval by the respective Curator. In exceptional circumstances, a loan term for more than two years must be approved by the Executive Director. Loan objects must be returned promptly when the loan period expires. The Museum reserves the right to cancel or deny the renewal of any loan.
  7. Third-party loans are prohibited. Borrowers may not loan or donate loan objects to a third-party. All loan objects must be returned to the Museum. Returned loan objects undergo inventory and evaluation before being loaned again.
  8. The Registrar is responsible for completing a condition report prior to outgoing shipment of a loan and in a timely fashion after its return to the Museum. The Registrar may delegate this responsibility to the appropriate curatorial division. The Registrar is responsible for providing appropriate information to the borrowing institution relating to a loan. Insurance claims for damaged or lost objects are the responsibility of the Registrar. Objects on loan cannot be altered, cleaned, or repaired unless permission to do so is authorized in writing by the Curator.

9. All objects, including held-in-trust, sent out on loan are insured. Normally, wall-to-wall, zero-dollar deductible insurance coverage is provided by the borrowing institution. Current and reasonable insurance valuations are the responsibility of the Curator. All other insurance matters are the responsibility of the Registrar. A certificate of insurance is required from the borrowing institution prior to transportation of the loaned objects.
  - a. The Registrar is notified when cancellation of, or changes in, insurance coverage occur. The loan then may be subject to cancellation. Failure to maintain adequate insurance coverage in no way releases the borrowing institution from liability for loss or damage regardless of whether or not the Museum monitored the borrowing institution's insurance.
  - b. Insurance is a component of a broader risk-management program of the Museum and the Texas Tech University System that supports overall preservation efforts of the Museum. Although a self-insured state agency, the Texas Tech University System insures the Museum's collections, including governmental held-in-trust collections. If the borrowing institution is unable to provide insurance, a request for an exception must be made in writing by the Registrar to the Executive Director.
  
10. The Executive Director has delegated authority to the Collections Review Board to make the final decisions on destructive analysis loans (loans that will radically alter or destroy an object). Such loans are considered on a case-by-case basis and a research proposal is required from the requesting institution. The Curator's recommendation must be made in writing to the Collections Review Board that will respond in writing to the Curator with notification to the Registrar. The object is not deaccessioned. Information gained substitutes for the altered or destroyed object. The Museum does not in any way relinquish ownership of the object, and retains the right to recall the object, or its modified forms, if not used for the stated purpose within the loan period or if other circumstances warrant it. Destructive analysis loans of held-in-trust objects may need the approval of the appropriate governmental agency or Museum Association based on the held-in-trust agreement prior to finalizing the destructive analysis loan request. It is the responsibility of the Curator to request destructive analysis loan approval as warranted and provide the Collections Review Board the approval document.
  - a. The borrowing institution and researcher may use the destructive loan object only for the stated scientific research purposes in the loan agreement. No derivatives of the destructive loan object may be distributed to any third party. All unused portion of the destructive loan object, including remaining portions of tissues or resulting DNA samples, shall be returned to the Museum at the end of the loan period.
  - b. All sequence data resulting from the use of tissue samples shall be registered

by the borrowing institution and researcher in GenBank or a comparable archive that provides access to the data by members of the scientific community. Corresponding numbers shall be provided to the Museum.

- c. Any and all licenses and other rights associated with tissue samples are limited by and subject to the rights and requirements of the pertinent state, federal, or international government and agency that may be ascribed as a result of governmental sponsorship of research with the Museum and generation of collections.
11. Field-generated, scientific collections and associated ancillary material may require specialized knowledge (e.g., sediments, tissues), and necessitate transport to specialists for data extraction and analysis. It is the Curator's responsibility to monitor these materials and to record the returned data with the appropriate collection. Such materials must be accompanied by a loan contract.
12. The registrar submits an annual report of loan activities, including destructive analysis loans, regarding state-associated held-in-trust collections to the Texas Historical Commission.
13. Except for condition reports, photography, reproduction, or replication of borrowed objects require prior written approval by the Curator who notifies the Registrar and Executive Director. Lighting conditions, environmental and/or applied chemical alterations, and other conditions of reproduction and replication must be specified by the Curator on the loan contract. Photographs, reproductions, and replicas may only be used for research, exhibition, educational, and marketing purposes.
14. The Museum must be credited in all publications and exhibitions associated with loan objects, including photographs and reproductions, and must receive two (2) copies of any related publication. Loan objects must be identified in the photographs by its catalog or accession number. The proper name of the Museum to be used in all acknowledgments is "Museum of Texas Tech University." The proper Museum acronym for its accession or catalog number is "TTU."

## **Incoming Loans**

The Museum may receive loans from institutions or individuals. The Museum uses its incoming loan contract to document the incoming loan in addition to any form the lender uses. The Museum exercises the same care with objects on loan as it does with its own objects.

1. The purposes for which the Museum may accept an object as incoming loan are as follows:
  - a. For exhibition as part of a temporary installation.

- b. For research or related educational purposes for stated Museum purposes.
  - c. For inspection and study with regard to possible acquisition.
2. No object will be accepted on loan that has been acquired by illegal and unethical means. Loan objects can be received only from the legal owner or authorized agent. No third-party loans are accepted.
3. Objects cannot be received on loan from Museum staff members, staff members of the Museum Association, members of the Museum Association Executive Board and committees, the Texas Tech University Administration, the Texas Tech University Board of Regents, or their immediate families.
4. All incoming loans are insured under the Texas Tech University System Fine Arts insurance policy. It is the responsibility of the Registrar to make appropriate arrangements for insurance of loan objects. All incoming loans must include the provision that the amount payable by the insurance company is the only recoupment available to the lender in the event of loss or damage. If insurance is waived, a written agreement by the lender to waive insurance and release the Museum from any liability associated with the loan must be on file prior to receipt of the loan objects.
  - a. It is the responsibility of the lender to set insurance valuations. The type of valuation must be stated on the loan agreement (fair-market, replacement, conservation, material, or special consideration).
  - b. The Museum does not provide valuations or appraisals for a loan object.
5. Loans of personal property from individuals for warehousing (long-term housing for the benefit of the individual) in the Museum are not considered. Long-term or permanent loans are prohibited.
6. Incoming loans for assessment as possible acquisitions are the responsibility of the appropriate Curator and must have a signed loan contract. It is the responsibility of the Curator to notify the Registrar when the loan is returned or the objects have been approved for acquisition by the Collections Review Board.
7. The Registrar may require a lending party to certify that a loan object(s) can withstand ordinary strains of packing, transportation, and handling. The Registrar may request that a lending party send a written condition report prior to the transportation of the object(s).
  - a. Upon receipt of the loan by the Curator or Registrar, the object(s) must be inventoried, inspected, photographed (where appropriate), and a condition report completed.

- b. Any inconsistency in the loan inventory or any change in the condition of the loan object(s) must be reported immediately to the Registrar. The Registrar must notify the lending party and, when appropriate, notify the insurance company and prepare an updated condition report. It is the responsibility of the Registrar to handle insurance claim negotiations.
    - c. It is the responsibility of the Curator to monitor the condition of the loan object(s) while on loan.
8. Return packing and shipping arrangements of loan objects are the responsibility of the Registrar. The loan objects will be returned using the original packaging materials and boxes in which they were shipped or more appropriate packaging and boxes to ensure safety and protection. The shipping method chosen to transport objects must provide the best protection from reasonably anticipated risks and the shortest in-route time.
9. The Curator is responsible for coordinating with the Registrar for the prompt return of loan objects. The loan objects must be inventoried, inspected, photographed (as appropriate), and a condition report completed.
  - a. Loans are returned to the lending party identified on the loan contract at the stated address unless the lender has given notice of a change of address or of ownership.
  - b. Any additional costs incurred in returning a loan object as a result of a change in ownership of the loan object or a change in location to return the loan object are the responsibility of the lender.
10. The Museum reserves the right to cancel a loan or remove loan objects from exhibit at any time. All loans are for a set period of time as stated on the loan contract but generally cannot exceed two years.
11. The Registrar must notify a lender of the Museum's intent to terminate a loan for an object(s) for which a written loan contract exists that was made for an indefinite term or for a term in excess of two years.
12. Objects on loan to the Museum under a written loan contract whose term has expired or was indefinite is considered an old loan subject to the Texas law (Title 6A [Property Loaned to Museums], Chapter 80 [Ownership, Conservation, and Disposition of Property Loaned to Museums]) for museum abandoned property and old loans. It is the responsibility of the Registrar to notify a lender of the Museum's intent to terminate the loan following the requirements of that law.

## **In-house Loans**

In-house loans are for exhibit, research, and educational purposes within the Museum. A written in-house loan agreement must accompany everyone with stipulations on conditions and duration of the in-house loan.

1. The authority to approve an in-house loan rests with the lending Curator.
2. In-house loans are initiated by a lending Curator and transmitted in writing for processing to the Registrar.
3. In-house loan agreements are kept on file in the Registrar's office with copies to the lending and borrowing divisions.
4. It is the responsibility of the Curator to notify the Registrar of the return of borrowed objects and completion of an in-house loan.

## COLLECTIONS CARE

The purpose of collections care is to preserve well-maintained and well-documented individual objects and collections. The goal of collections care is to limit deterioration of the collections.

1. The Museum cares for its collections through a variety of preventive conservation and risk management strategies. These are applied on a variety of levels, from the Museum's environment as a whole, to collections areas, and to individual collections housing and packaging units. The following strategies are used to provide proper care of collections:
  - a. Regulated and monitored temperature, relative humidity, and atmospheric pollutants;
  - b. Low and filtered light levels;
  - c. Integrated pest management;
  - d. Archival housing units that provide buffers between collections and the storage room environment;
  - e. Archival packaging materials that provide buffers between collections and the environment;
  - f. Preventive maintenance;
  - g. Safe handling and moving of objects;
  - h. Integrated recordkeeping;
  - i. Insurance.
2. Incoming objects must be evaluated for cleanliness during the accessioning process. They are cleaned only as needed and only if they can withstand the process and the use of solvents including water. They must not be cleaned if this would reduce their research value or compromise their scientific or aesthetic value. Dirty objects they cannot withstand the cleaning process for those that are contaminated must be encapsulated before they are placed in collections areas.
3. All packaging and housing materials used to containerize objects must be chemically stable and free from acids or destructive or harmful additives.
4. All collections housing units in furniture must be chemically stable and be of sufficient size and strength to support the weight of the objects that they house.



5. Collections records must be created in a timely manner, housed in a secure location, provide for easy retrieval of information, and be preserved for proper handling and storage. A duplicate copy of collections databases must be made on a regularly scheduled basis and be stored in a secure off-site location.

## **Preventive Conservation**

Preventive conservation underlies the collections management practices at the Museum. Through the practice of preventive conservation, the Museum prevents or limits deterioration of collections due to environmental, human, and inherent factors. Concerns for the preservation of individual objects are at the heart of any decision relating to their use.

1. Crucial to the success of preventive conservation is the provision of a stable Museum environment. The Museum's internal environment is monitored throughout the buildings and controlled by the University, with additional monitoring in collections housing and exhibition areas by collections staff. Temperature, relative humidity, and light are monitored and regulated on an ongoing basis. Atmospheric pollutants are monitored through air filters on the Museum's HVAC system.
2. All materials used for packaging and housing the Museum's objects and for mounting and supporting exhibited objects are stable and non-reactive. An exhibit object that will be placed on an unstable or reactive construction material must have a stable and non-reactive barrier material placed between it and an individual object.

## **Safe Handling**

Safe handling and movement of collections objects is practiced at all times. All Museum objects are treated with equal care, regardless of their monetary value. Objects are not handled unless absolutely necessary. Safe handling minimizes risk to objects and supports their preservation.

1. In general, safe handling involves the preparation of appropriate space to receive the objects prior to a move, preparation of the route along which the object will be moved, and use of appropriate moving equipment with an appropriate number of trained personnel to supervise and carry out the move safely.
2. Each curatorial division must develop its own specific safe handling policy that supplements the Museum's general policy. The divisional policy is maintained on file in that division.
3. Each object is assessed before it is handled, packaged, and shipped in order to

determine if it is sufficiently stable to withstand each activity. Handling, packaging, and transport methods are based on the individual requirements and sensitivities of the object.

4. The transport method must provide the best protection from reasonably anticipated risks and the most reasonable en route time. Cushioning materials must provide adequate and appropriate protection from all reasonably anticipated risks associated with a particular transport method.

## **Conservation**

Deterioration or damage may occur to collections objects. In such circumstances, conservation may be necessary. Conservation is a continuing responsibility and is focused on the object. It is an intervention measure designed to return a deteriorated or damaged object to stability through reversible and minimally intrusive methods. The Museum endorses the conservation philosophy of minimal chemical and physical trauma to the object, use of sympathetic materials, the principle of reversibility, the compatibility of materials, and the keeping of complete and accurate records of conservation treatments.

1. Conservation work is undertaken by reputable, trained conservators who adhere to professionally accepted ethics, principles, and practices. Conservation work by non-Museum staff conservators is conducted under a well-defined, comprehensive agreement between the Museum and the conservator. The Curator monitors the conservation process to assure the correct use and safety of the object, and to note in the records the return stabilized objects.
2. Decisions regarding the conservation and state-associated held-in-trust collections are the legal responsibility of the Texas Historical Commission.
  - a. Authority to initiate and manage the conservation of the approved categories of objects, documentation, and historical items from these collections is delegated to the Museum by the Texas Historical Commission through an agreement between the parties.
  - b. No work on state-associated collections will commence without approval of a written treatment plan by the Texas Historical Commission. Conservation work with an outside conservator is conducted under a well-defined, comprehensive agreement with the Texas Historical Commission as a party to the agreement.
  - c. The Registrar submits an annual report of conservation activities regarding state-associated held-in-trust collections to the Texas Historical Commission.
3. Decisions regarding the conservation of held-in-trust collections owned by a

federal agency or the Museum Association are the legal responsibility of that agency or the Museum Association respectively. Consultation with and approval of a written treatment plan by the agency or the Museum Association is required prior to any conservation work being undertaken.

## **RECORDKEEPING**

Documentary control of the collections is an essential element in the sound management of the Museum's collections. This control allows for the easy retrieval of information, location of objects, and of individual objects. It provides the foundation for knowing what objects are in the Museum's holdings and tracking collections activities. Documentation is maintained in electronic and paper formats that are housed in the Office of the Registrar or the curatorial division as appropriate. Electronic records are saved to an off-site network server that is backed up on a regular basis.

Legal activities (transfer status, accessions, deaccessions, loans, insurance) concerning the collections are the responsibility of the Registrar. Retrieval of records is through the use of an accession number, catalog number, or loan number as appropriate. Inventory is conducted using one of these numbers as appropriate.

The Museum produces and maintains a written documentation for the following collections management activities.

1. Transfer of title or held-in-trust status.
2. Accessioning.
3. Permits and curation agreements for acquired state-associated or federally associated held-in-trust collections generated by outside researchers.
4. Deaccessioning and method of disposal.
5. Cataloging.
6. Loans (incoming, outgoing, destructive analysis, and in-house).
7. Insurance.
8. Condition reports.
9. Inventory (accessions, spot-check, relocation, comprehensive).
10. Conservation treatment.
11. Monitoring records for environmental control.
12. Integrated pest management.
13. Images where appropriate.

The Registrar submits annual reports to the Texas Historical Commission for state-associated held-in-trust collections regarding acquisition, accession, deaccession and disposal, a current listing of such holdings in the Museum, and inventory, loan, destructive analysis, conservation, and security activities.

## **INTEGRATED PEST MANAGEMENT**

Damage caused by pest infestation and the actions to eradicate infestation within the Museum can be lessened or mitigated through integrated pest management. Integrated pest management provides an ecosystem approach to the management of pests that is based on cooperation and participation of all staff within the Museum to eliminate or minimize causal agents of a pest infestation, namely food, moisture, and availability of pest habitat. Integrated pest management involves vigilant housekeeping, environmental monitoring, habitat modification, inspection, identification of infesting species, and application of specific treatment methods. An effective Integrated Pest Management plan prevents the intrusion of pests into collection and exhibit areas and minimizes the need for harmful chemicals.

1. Integrated pest management is carried out first by determining the extent of biological activity through monitoring, inspection, and identification. If the occurrence of pests within the Museum is detected, appropriate steps are taken to eradicate the pest in a non- or at least-toxic manner. Treatment methods are followed by appropriate evaluation techniques.
2. The following integrated pest management strategies are practiced.
  - a. Exclusion of pests from the Museum.
  - b. Ongoing monitoring and detection.
  - c. Habitat modification.
  - d. Exclusion of food and drink in collections and exhibit areas.
  - e. Identification and isolation of infesting species when discovered and isolation and encapsulation of infested objects.
  - f. Treatment and suppression of species through non-toxic or least-toxic measures.
  - g. Evaluation of the effectiveness of the integrated pest management program.
  - h. Continued education of staff regarding integrated pest management.
3. Integrated pest management strategies encourage ongoing maintenance and housekeeping activities that include:
  - a. Restriction of food and plants;
  - b. Regular cleaning of collection housing rooms and other areas;

- c. Thorough cleaning of collection housing rooms every six months; and
- d. Checking other areas once a month for any signs of pest activity.

## COLLECTIONS SECURITY AND ACCESS

The purpose of security is to protect collections, people, and facilities against risks. The goal of collections security is to avoid or limit damage or loss of collections. Security measures must be in place for access and reducing harm to the collections. Controlled access includes signing in and out, issuance of fobs and keys, identification badges, and keypads. Reducing harm includes housekeeping, and integrated pest management system, HVAC system, emergency preparedness, preventive conservation and collections management best practices, recordkeeping, and insurance practices that meet current professional standards.

1. The safety and security of the personnel and collections housed in the buildings and on the grounds of the Museum of Texas Tech University must be maintained. The Museum provides security for its collections through the following risk management strategies that are used to provide proper security for collections:
  - a. Systems and devices for deterring and detecting intruders;
  - b. Access restrictions;
  - c. Insurance;
  - d. Emergency preparedness.
2. The Museum utilizes an electronic security system, security cameras, and monitoring by patrols to protect the collections and everything and everyone within the building.
  - a. The Museum building has a general security system that is monitored centrally by the university Police Department. The system employs sensors, motion detectors, and other devices to generate an alarm.
  - b. The Museum has an extensive network of security cameras and recording DVR units that are used to help monitor building entrances, galleries, and access points leading to collections areas.
  - c. Museum Security opens and closes the building on a daily basis, checking all areas for any previously unknown issues and to ensure that all areas – particularly collections storage areas and workrooms - are secured properly.
3. Granting of access of any type is the sole prerogative of the Executive Director, who has delegated that authority to the Assistant Director for Museum Operations & Special Projects.
4. Collections available for research are those that have been accessioned, cataloged, and inventoried. Access for research purposes is controlled by a



research design.

5. Collections research normally is conducted in a secure room separate from the collections housing area. If moving collections from the housing area is impractical or a hazard to the preservation of the collections undergoing research, that research may be conducted in the collections housing area under constant supervision by curatorial staff. No researcher is left alone in a collections housing area. The person making the request has access only to objects or collection requested. A relocation inventory is required when materials are made into the secure room and removed back.
6. The Museum carefully controls access to collections areas. Control of access to the public, researchers, and Museum employees limits opportunities for unauthorized use, damage, loss, theft, or destruction of collections, and minimizes the amount of physical traffic in collections housing areas.
  - a. Controlled access is accomplished through the use of identification badges, keys, and keypad codes. Access is monitored through processes that include physical monitoring, security cameras, and sign-in logs, all of which meet current professional standards and best practices.
  - b. All individuals associated with the Museum are issued an access badge with photo ID. The Assistant Director for Operations assigns each person an access level consistent with their need to access secure areas of the building and to specific collections housing areas, workrooms, and offices. Non Museum individuals with approved reasons to access the building's non public areas must sign in with Museum Security and be issued a temporary badge or display a University-issued badge by department.
  - c. Any individual in a restricted part of the building, including all collections areas, is required to display their badge openly on the outside of their clothing. Any unidentified person without a proper ID badge in a restricted area of the Museum should be reported immediately to Museum Security.
  - d. Curators and their staff are issued keys and keypad codes only to their collections storage areas and workrooms and to no other collections areas. Students assigned to a collection division must register with Security on a daily basis and be issued temporary access as requested by the Curator. All keys or other forms of access must be returned to Museum Security or the Operations Division at the conclusion of the access period, termination of employment, completion of course work, or upon the order of the Executive Director. The Curator is responsible for ensuring the timely return of keys and fobs.
  - e. Visitors to collections and other secured areas must be authorized by the appropriate Curator and must register with Security, receive a visitor badge,

and be escorted by a staff member from the appropriate division. Keys, fobs, or keypad security codes are not issued to visitors or volunteers.

- f. Each curatorial division develops its own specific collections access policy that supplements the Museum's general policy. Researchers, students, and others seeking access to collections must present a request to the appropriate Curator who evaluates the risk. Access to collections is at the discretion of the Curator, who may request or revoke specific access privileges for their area at any time through the Operations Division. Each Curator is responsible for any actions of the person(s) granted access at their request. Access is only assigned during regular working hours and does not include after-hours access.
- g. Operations division staff trains each new staff member regarding the requirements and responsibilities with regard to collections access. This training is supplemented and reviewed on an annual basis by division staff regarding issues and procedures specific to that division.
- h. The Executive Director or the Assistant Director for Operations may direct Museum Security to allow access to a curatorial, collections storage, or workroom area when the Curator or division staff is not available. Sign-in/out procedures for badges and escort are observed.

## 7. Other Security and Access Provisions

- a. Transferring or loaning of keys is prohibited. Individuals who do so are responsible for the actions of the borrower, may be charged for re-keying costs, and face immediate termination of all forms of access
- b. Museum Operations staff programs keypads for access based on operational needs and requests from division curators. Sharing an individual's keypad code with another person is prohibited. Individuals who do so are responsible for all the actions of the borrower and may face immediate termination of all forms of access.
- c. Students or former students who have violated Museum and University regulations regarding access also may have their transcripts withheld or be denied to register for future classes.
- d. Volunteers and students not employed by the Museum are not issued access. Limited access of a specified duration may be granted at the written request of a Curator when deemed in the best interests of the Museum.
- e. Museum Operations staff may access collections areas for the purposes of checking security, maintenance issues, or cleaning as agreed upon by the division Curator and the Assistant Director for Operations.

- f. Campus maintenance or contracted personnel accessing the Museum must register with Security at the kiosk and be issued a temporary badge or display a University-issued badge from their home unit, regardless of the time of their access. Security escorts and supervises any maintenance work in a collections area after notifying division staff. When division staff is not available to observe such work, Museum Security monitors the work. Under no circumstances will Museum Security allow any work to take place that could place objects in imminent harm nor permit any object to be moved by Security or non-Museum personnel unless specifically authorized by collections staff, the Assistant Director for Operations, or if the object is under imminent threat of harm or damage.
- g. All doors to collections areas remain closed and locked when unattended. Doors may not be blocked open or left unlocked without collections staff present.
- h. Loss or theft of a Museum badge, key, or any other form of access must be reported immediately to the Operations Division that coordinates with appropriate agencies to file official reports and render the lost or stolen methods of access inert. If replacing or re-keying locks is necessary, the individual who was issued the access may be charged the costs involved with restoring that access.

## 8. Insurance

- a. The Texas Tech University System maintains a Fine Arts insurance policy for all its member institutions and holdings that specifically covers the collections and objects of the Museum, including objects on loan and traveling exhibitions. Insurance is coordinated through University Risk Management.
- b. The Registrar is responsible for requesting certificates of insurance as needed and for maintaining a current copy of the System's Fine Arts insurance policy.
- c. When an insurance claim is filed, the Registrar coordinates communications regarding the claim, requesting information from the appropriate Curator regarding collections objects and from Operations Division about security or access issues related to the claim. Operations Division is in contact with the University Police Department for reports or records filed with their office pertinent to a claim.

## 9. Emergency Preparedness

Emergency preparedness for the Museum of Texas Tech University focuses on reduction of risk and the mitigation of catastrophic events that have the potential to

endanger people, facilities, and collections. Emergency preparedness aims to anticipate and avoid emergencies, to regain control when an emergency occurs, and to recover control as quickly as possible should it be lost. The Museum abides by the Emergency Management Plan of Texas Tech University in the event of a disaster.

- a. Disasters are prevented as far as possible through the practice of emergency preparedness measures such as inspections of facilities and systems and preventive maintenance of facilities, systems, and equipment.
- b. Emergency preparedness measures are based on risk analysis of locally occurring hazards.
- c. The written emergency preparedness plan is tested and evaluated annually.
- d. The plan addresses measures to be taken before, during, and after an emergency.
- e. If a disaster or impending disaster presents risks to the safety of the staff, visitors, or the collections, personal safety prevails.
- f. The Museum maintains separate documents regarding emergency preparedness in the form of the Museum's Disaster Preparedness Plan and Texas Tech University-required Emergency Action Plan.

## PERSONAL COLLECTING

The professional reputation of the Museum of Texas Tech University is a valuable asset and is reflected by the professional and ethical activities of its staff and volunteers. Museum personnel must avoid the appearance of unethical, unprofessional, and potentially compromising practices that may cause the Museum to lose credibility. In issues that are legally defined, the Museum expects employees to abide by the law, and in those cases where the legal limitations are unclear, professional and institutional ethics serve as a guide.

1. While collecting objects is not in itself unethical, accumulating a collection in an area associated with the employee's museum-related duties raises ethical concerns. Every member of the Museum staff is entitled to a level of personal independence consistent with professional and staff duties and responsibilities. However, as a person with a role of public trust, no member of a museum staff or museum volunteer can be wholly separated from the institution of hire or other official affiliations. Therefore, such persons must be concerned with personally motivated conduct and interests, and with the way such actions might be construed by others. All personal collecting transactions, particularly when dealing with objects similar to those collected by the Museum, require extreme discretion. The staff, volunteers, and board of the Museum of Texas Tech University cannot compete or appear to compete with the Museum for the acquisition of any object.
2. A collections employee acquiring an object that falls within their museum collection area should inform the Executive Director. If the Museum of Texas Tech University considers the object of interest or value to its collections, the object should be offered to the institution at the purchase price plus any reasonable incidental expenses. This policy excludes objects that are readily available on the open market.
3. It is the responsibility of each Museum employee, volunteer, and board member to exercise reasonable care to avoid conflicts of interest in activities relating to their positions at the Museum of Texas Tech University.

## RESEARCH

Scholarly activity and research is vital to the Museum's educational and public service mission. Members of the Museum staff and faculty are expected to engage in research and scholarly activity. Research is endorsed as an activity appropriate to the use of museum collections and an integral part of the Museum's Collections Management Policy.

1. In recognition of the importance of professional research activities, the Museum's administration normally does not intervene in the research or scholarly activities of the Museum faculty or staff member except to render assistance. Situations may arise where it is necessary for the Museum administration to recommend suspension, modification, or termination of scholarly activity or research for adequate cause. Adequate cause for such action includes but is not limited to the following:
  - a. Demonstrated evidence of professional incompetence, supported by documentation.
  - b. Continuing or repeated substantial neglect of professional responsibilities.
  - c. Professionally unacceptable activity in the conduct of scholarly work (e.g., plagiarism, research fraud).
  - d. Endangerment of collections objects beyond professionally acceptable limits.
  - e. Creating a health or safety hazard for people, other objects, or the facility.
2. The Museum's collections and their documentation, as well as their image and all additional documentation developed subsequently to their acquisition, are the property or stewardship of the Museum. Furthermore, any and all materials or items developed, written, designed, drawn, painted, or digitally produced or reformatted by Museum faculty or staff while executing their responsibilities as employees of the Museum also are the property of the Museum. These property rights shall continue after an employee ends their employment at the Museum and subsequent publications, presentations, and other scholarly outlets must credit the Museum of Texas Tech University.
3. To insure academic freedom and professional research and scholarly opportunities, Museum faculty and staff have the right to respond to actions that impede or prevent such activities.

## RESEARCH PUBLICATIONS

The Museum has several outlets for publication of original research results and scholarly activities. All of the publications associated with the Museum must have a museum-based focus.

1. An editor of the Museum publications is appointed by the Executive Director. Associate editors may be appointed with approval of the Executive Director.
2. Publications of the Museum are based on original research, compilation of a database, or development of software designed for museum use. All publications must be peer reviewed by scholars and researchers not employed by the Museum. The editor of Museum Publications is the final authority on decisions relative to publications.
3. The following are the publications, two of which are serial:
  - a. *Occasional Papers of the Museum* – This series publishes short communications. *Occasional Papers* may or may not have a cover page specific for that issue. Published annually, each number stands alone relative to the others. The focus of this series is museum-based natural history research with specimens that are archived in accredited museums.
  - b. *Special Publications* – This series publishes longer scholarly works that are similar in nature to the *Occasional Papers* series.
  - c. Other publications – This outlet publishes manuscripts relevant to the Museum that are not covered by the serial publications. This publication permits variation from the format that is established for the *Special Publications*.
4. Page charges may be assessed.

## EXHIBITIONS

1. Exhibitions present a public forum of one or more objects with the objective of advancing knowledge and understanding among the Museum's audiences. The Museum may present exhibitions in a variety of formats (including digital) and in a variety of locations.
2. Each Museum exhibit must advance the mission of the Museum.
3. Intellectual Standards

The Museum undertakes research, designs exhibition installations, presents interpretations, and organizes programs to educate, inform, inspire, pose questions, suggest answers, encourage learning, connect concepts, display collections, communicate new research, suggest understandings, disseminate new or unfamiliar information, present intellectual perspectives, consider cultural perspectives, and guide Museum audiences toward discovery.

As part of Texas Tech University, the Museum advances knowledge and understanding levels embraced by higher education. In its pursuit of knowledge, the Museum aspires to the highest levels of objectivity, scholarship and research. The Museum recognizes that its discipline-based curators and the Executive Director have the responsibility to oversee the implementation of the Museum's intellectual standards.

4. Exhibition Standards

The Museum follows professional standards that guide the development and presentation exhibitions. These include but are not limited to:

- a. Museum's exhibitions seek to embrace as wide an audience as possible while concurrently maintaining each exhibition's intellectual qualities;
- b. Each exhibition must have an appointed curator for oversight of content, and appointed educator for oversight of educational components, an appointed publicity staff member, and an appointed exhibition design and installation staff member;
- c. The Museum accepts controversy in its exhibitions through fostering of debates and interpretations;
- d. The budget and content of exhibitions are reviewed by a Museum committee that recommends (or not) approval of the exhibition to the Executive Director;
- e. Museum exhibitions cannot overtly endorse the products or services of a private business other than acknowledging sponsorship of an exhibition;



- f. The Museum advances exhibitions that embrace values of mutual respect, cooperation and communication, creativity and innovation, community service and leadership, pursuit of excellence, public accountability, and diversity;
- g. Museum exhibitions cannot threaten the health or safety of Museum audiences or staff;
- h. Museum exhibitions cannot violate the separation of church and state;
- i. Museum exhibitions cannot violate intellectual property rights;
- j. Museum exhibitions cannot advance damaging prejudice against any person or group based on their race, ethnicity, gender, age, or sexual orientation;
- k. Museum exhibitions must meet scholarly standards and present demonstrably correct information;
- l. The Museum exhibits objects in ways that do not compromise the physical integrity of objects or displays objects in poor or unstable condition;
- m. The Museum avoids exhibitions that cannot physically be accommodated within its designated exhibition spaces.

## 5. Exhibition Priorities

The Museum presents exhibitions that advance its mission. In addition, the Museum gives priority to:

- a. Exhibitions of divisional collections that present and disseminate new information;
- b. Exhibitions that enhance the understanding of divisional collections or curatorial scholarship;
- c. Exhibitions that have potential appeal to Museum audiences;
- d. Exhibitions that advance the stature and reputation of the Museum among its audiences.

## **IMAGE USE – OUTSIDE REQUESTS**

Use of images of museum objects for research, exhibit, publication, programming, and publicity purposes is a common practice. When used appropriately such images serve to share museum collections.

1. The appropriate Curator is responsible for submitting recommendations to the Collections Review Board through the Registrar about whether and how an image of a collections object may be used. The Collections Review Board determines if any image may be reproduced in any format and made public, or whether to give permission for an image to be reproduced in any format by a third party. Such decisions must be made with due concern for appropriateness of use, security of information, quality of reproduction, and applicable copyright considerations. Images cannot be used in any situation that compromises the Museum.
2. An image use fee may be imposed.

## **DEFINITIONS**

### **Accessioning**

The process that is initiated by the transfer of clear title, and that legally incorporates objects into the permanent collections of the Museum of Texas Tech University, or the registration of objects held-in-trust for governmental agencies or the Museum Association.

### **Acquisition**

The process of obtaining an object or collection for the collections through donation, purchase, bequest, transfer from or exchange with another institution, or fieldwork or research.

### **Archival**

The practices and products used are suitable for preservation purposes.

### **Collections Manager**

Any employee at Texas Tech University, with full and permanent status, who is supervised by a curator and who carries out all ongoing collections management activities.

### **Collections Object**

An item, artifact, specimen, sample, or document that has been accessioned into the collections.

### **Collections Review Board**

The Museum's institutional decision-making authority for collections-related matters, that deliberates all acquisitions, deaccessions, destructive loans, external image use requests, and other collections-related matters.

### **Conflict of Interest**

Any action or behavior on the part of the governing body, administration, staff, students, or volunteers, as an individual or group, that competes with the institution, or takes advantage of their position or privileged information for personal gain.

### **Comparative Collection**

A group of objects consisting of representative materials within a collecting division that is used for identification, reference, and educational purposes. Access to this collection is less restrictive than for the research collections.

### **Curator**

An employee of Texas Tech University, with full and permanent status, who is appointed by the Executive Director of the Museum. A curator is in charge of a collection or part of a collection of the Museum with regard to management, oversight, and supervision of all activities directly related to the collection.

**Deaccessioning**

The formal process by which an object is removed permanently from the Museum's holdings. Records of a deaccessioned object remain with the Museum along with documentation of its disposal.

**Destructive Analysis Loan**

A procedure under which an accessioned object undergoes radical alteration or complete destruction for the purpose of scientific analysis related to the object's nature, character, or age.

**Disposal**

The physical method used to remove a deaccessioned object from the Museum. Disposal is through transfer, exchange, sale, repatriation, or destruction.

**Executive Director**

An employee of Texas Tech University, with full and permanent status, who has been delegated the authority to represent the interests of Texas Tech University as the chief administrative officer of the Museum. The Executive Director of the Museum reports to the Provost of Texas Tech University.

**Governing Body**

The governing body of the Museum of Texas Tech University is the Board of Regents. The Board is the State policy-setting authority assigned and accepting the ultimate fiscal and fiduciary responsibility to maintain and enhance all aspects of the institution, including collections, operations, and services.

**Inventory**

The physical verification of the presence, location, and condition of the objects for which a museum has assumed responsibility.

**Loans**

Temporary assignments of collection objects from the Museum (outgoing loans) or temporary assignments of objects to (incoming loans) or within (in-house loans) the Museum for stated museum purposes such as exhibition, research, conservation, or examination for possible donation or purchase.

**Mission**

The purpose, expressed in a written statement, that establishes direction and goals with respect to subject matter, time, location, and functions of the Museum.

**Museum**

A permanent non-profit institution, open to the public on a regular basis, that collects, preserves, researches, and exhibits collection objects for study, education, and enjoyment for the benefit of society.

**Museum Collections**

The body of objects and documentation accepted and held-in-trust by the Museum for research and interpretation.

**Museum of Texas Tech University**

All structures, facilities, collections, and associated materials using property allocated to the Museum by the State of Texas and Texas Tech University. The Museum is comprised of the main building, Moody Planetarium, Natural Science Research Laboratory, Lubbock Lake Landmark, and the Heritage and Museum Sciences Program.

**Personal Collection**

A private collection accumulated by a Museum staff member.

**Research Associate**

A professional who may or may not be an employee of Texas Tech University, without full and permanent status in the Museum who is appointed by the Executive Director of the Museum. A research associate has a research relationship with the collections or professional staff of the Museum.

**Registrar**

An employee at Texas Tech University, with full and permanent status, who is responsible for organizing and maintaining orderly forms, legal documents, files, and retrieval systems associated with the acquisitions, accessions, deaccessions, cataloging, loans, packing, shipping, inventory, insurance, and housing pursuant to the care, custody, and control of collections.

**Staff Member**

A person who assists the Museum with its functions. Staff members include paid personnel, Heritage and Museum Sciences faculty, and volunteers.

**Student**

A person formally enrolled in an institution of higher education.

**Support Organization**

An organized or chartered group that supports the mission and goals of the Museum, has members, and provides financial, programmatic, or other assistance to the Museum.

**Type collection**

A systematic collection composed of objects that are the basis for the designation of a particular taxon (holotype), material culture style, or geologic section, rock, or mineral. The type collection is the most restricted subunit of the research collection.

**Visitor**

Any individual, or group of individuals, not directly affiliated with the Museum that is on-site to interact with Museum staff and/or to utilize the exhibits, programs, or collections of the Museum.

**Volunteer**

An unpaid member of the staff.

**Date**

On behalf of the governing authority of the Texas Tech University System, the parent organization of the Museum of Texas Tech University, I certify that it:

- values the Museum as an intellectual and educational resource.
- sees the Museum and its collections as essential components of what the System does.
- is committed to the Museum's continued success in fulfilling its mission and meeting its public trust responsibilities, especially with regard to the collections and does not view the collections as disposable assets.
- is committed to following the American Alliance of Museum and museum field standards, particularly with regard to the museum's collections, the use of deaccession proceeds, and collecting and gift-acceptance policies.

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Signature

Date

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Printed Name

Title

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Name of Approving Body

Date