INDEX OF ATTACHMENTS

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Attachment 2  TTU Museum Collections Management Policy
Attachment 3  TTU Approval of Purchasing Contracts
Attachment 4  ASU Approve budget for the Food Service Center Renovation project PowerPoint
Attachment 5  TTU Approve budget adjustment for the Football Training Facility Renovation and Expansion project PowerPoint
Attachment 6  TTU Approve budget adjustment for the Jones AT&T Stadium East Building finish-Out project PowerPoint
Attachment 7  TTU Approve budget adjustment for the new School of Veterinary Medicine project PowerPoint
Attachment 8  TTU Approve preliminary budget for the National Ranching Heritage Center’s Ranch Life Learning Center project PowerPoint
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Attachment 10  TTUHSC Approve budget adjustment for the Lubbock Expansion project PowerPoint
Attachment 11  TTUS Report on Facilities Planning and Construction projects (project data as of 9/13/18) PowerPoint
Attachment 13  ASU OP 10.01, Undergraduate Student Admissions with proposed revisions
Attachment 14  TTUS FY 2019 Prioritized Audit Plan

I, Ben Lock, the duly appointed and qualified Secretary of the Board of Regents, hereby certify that the above and foregoing is a true and correct copy of the Minutes of the Texas Tech University System Board of Regents meeting on October 4, 2018.

[Signature]
Ben Lock
Secretary

SEAL
Office of Investments

Joint Annual Meeting
Tim Barrett, CFA - CIO
Tim Bruce, Partner - NEPC
October 2018

Agenda

1. Endowment Overview

2. LTIF Overview
   - Governance
   - Objective
   - Performance

3. Macro Environment (NEPC)

4. How we invest
   - Overview
   - Two Important Drivers of our Long Term Performance:
     - Overlay Program
     - MCA Program

5. Conclusion and Outlook
**TTUS Total Endowment (in millions)**

- 700% increase in Total Endowment over the past 20 years
- $948.66M attributed to generous support from donors and strong investments performance

**Distributions to TTUS Components**

- Over $509M in total distributions — $525M in FY 2017 alone
- 4.5% Distribution maintained since inception
- Increases in total distributions realized EVERY year since inception

---

**Endowments by Type (as of 8/31/2017)**

- Scholarship/Fellowship: 40%
- Faculty Chairs and Salaries: 27%
- Academic Support: 12%
- Research: 10%
- Other: 9%

- About 50% of total TTUS Endowment dedicated to scholarship support.
How Did We Get Here?

Historical Perspective of Endowment Composition
FY 1997-FY 2017 (in millions)

- Cash Contributions: 29%
- Growth from investments: 71%

Composition does not include $509 million in distributions from investments.

Objective

Provide consistent, inflation adjusted growth above the spending rate, resulting in an increasing revenue stream for the Regents, Chancellor and Presidents to provide funding for student scholarships and academic chairs.

Texas Tech University System
Growth of Spending (FY 2006-2017)

Cumulative spending since inception of $509 million
Governance

<table>
<thead>
<tr>
<th>For Approval of:</th>
<th>CIO</th>
<th>IAC</th>
<th>Board of Regents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Policy Ranges/Targets:</td>
<td>Recommend</td>
<td>Recommend</td>
<td>Approve</td>
</tr>
<tr>
<td>Tactical Allocation Ranges/Targets:</td>
<td>Recommend</td>
<td>Approve</td>
<td>Review</td>
</tr>
<tr>
<td>Asset Class Structures:</td>
<td>Recommend</td>
<td>Approve</td>
<td>-</td>
</tr>
<tr>
<td>Manager Selection &amp; Redemption:</td>
<td>Approve</td>
<td>Review</td>
<td>-</td>
</tr>
</tbody>
</table>

Performance to August 31, 2018

Growth of $1,000 (September 1996 to August 2018)

**Primary objective:** Meet or Exceed CPI+5%.

**Secondary objective:** Meet or Exceed Policy.
### Public Equity Performance

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>MTD</th>
<th>3 Month</th>
<th>Calendar YTD</th>
<th>Fiscal YTD</th>
<th>1 Year</th>
<th>3 Year</th>
<th>5 Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Equity</td>
<td>0.94%</td>
<td>4.12%</td>
<td>4.15%</td>
<td>13.47%</td>
<td>4.12%</td>
<td>13.47%</td>
<td>12.02%</td>
</tr>
<tr>
<td>Policy: MSCI ACWI</td>
<td>0.83%</td>
<td>3.90%</td>
<td>3.72%</td>
<td>12.00%</td>
<td>3.90%</td>
<td>12.00%</td>
<td>12.08%</td>
</tr>
</tbody>
</table>

Period ending August 31, 2018

#### Key Stats

- **Number of Managers:** 5
- **Number of Strategies:** 6
- **% Actively Managed:** 26%
- **% Overlay:** 74%

### Public Debt Performance

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>MTD</th>
<th>3 Month</th>
<th>Calendar YTD</th>
<th>Fiscal YTD</th>
<th>1 Year</th>
<th>3 Year</th>
<th>5 Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Debt</td>
<td>-0.51%</td>
<td>-0.06%</td>
<td>6.81%</td>
<td>7.42%</td>
<td>0.00%</td>
<td>-7.42%</td>
<td>10.05%</td>
</tr>
<tr>
<td>Policy: Barclays Global Ag</td>
<td>0.10%</td>
<td>-0.06%</td>
<td>-1.52%</td>
<td>-1.36%</td>
<td>-0.06%</td>
<td>-1.36%</td>
<td>2.44%</td>
</tr>
</tbody>
</table>

Period ending August 31, 2018

#### Key Stats

- **Number of Managers:** 8
- **Number of Strategies:** 13
- **% Actively Managed:** 100%
- **% Overlay:** 0%
Public Diversifying Assets Performance

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>MTD</th>
<th>3 Month</th>
<th>Calendar YTD</th>
<th>Fiscal YTD</th>
<th>Nacubo YTD</th>
<th>1 Year</th>
<th>3 Year</th>
<th>5 Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Diversifying Assets</td>
<td>0.52%</td>
<td>1.54%</td>
<td>4.60%</td>
<td>7.59%</td>
<td>1.54%</td>
<td>7.59%</td>
<td>3.32%</td>
<td>0.44%</td>
</tr>
<tr>
<td>Policy: HFRO Gil</td>
<td>0.45%</td>
<td>0.30%</td>
<td>-0.15%</td>
<td>1.54%</td>
<td>0.30%</td>
<td>1.54%</td>
<td>4.33%</td>
<td>4.28%</td>
</tr>
</tbody>
</table>

Period ending August 31, 2018

Key Stats

- Number of Managers: 8
- Number of Strategies: 8
- % Actively Managed: 74%
- % Overlay: 26%

Private Asset Performance (less liquid)

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>MTD</th>
<th>3 Month</th>
<th>Calendar YTD</th>
<th>Fiscal YTD</th>
<th>Nacubo YTD</th>
<th>1 Year</th>
<th>3 Year</th>
<th>5 Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Private Investments</td>
<td>0.00%</td>
<td>0.11%</td>
<td>3.70%</td>
<td>8.24%</td>
<td>0.11%</td>
<td>8.24%</td>
<td>6.35%</td>
<td>7.02%</td>
</tr>
<tr>
<td>Private Composite</td>
<td>0.00%</td>
<td>2.85%</td>
<td>7.85%</td>
<td>15.60%</td>
<td>0.00%</td>
<td>15.60%</td>
<td>11.75%</td>
<td>12.80%</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>MTD</th>
<th>3 Month</th>
<th>Calendar YTD</th>
<th>Fiscal YTD</th>
<th>Nacubo YTD</th>
<th>1 Year</th>
<th>3 Year</th>
<th>5 Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Private Equity</td>
<td>0.05%</td>
<td>-0.15%</td>
<td>3.45%</td>
<td>6.60%</td>
<td>-0.15%</td>
<td>6.60%</td>
<td>3.98%</td>
<td>7.38%</td>
</tr>
<tr>
<td>Private Credit</td>
<td>0.02%</td>
<td>0.20%</td>
<td>6.14%</td>
<td>9.74%</td>
<td>0.20%</td>
<td>9.74%</td>
<td>7.22%</td>
<td>7.85%</td>
</tr>
<tr>
<td>Private Diversifying Assets</td>
<td>-0.08%</td>
<td>0.28%</td>
<td>1.81%</td>
<td>8.33%</td>
<td>0.28%</td>
<td>8.33%</td>
<td>6.94%</td>
<td>7.70%</td>
</tr>
</tbody>
</table>

Period ending August 31, 2018

Key Stats

- Number of Managers: 15
- Number of Strategies: 19
- % Actively Managed: 100%
- Number of Strategies: 10
- % Actively Managed: 100%
### Total LTIF Performance

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>MTD</th>
<th>3 Month</th>
<th>Calendar YTD</th>
<th>Fiscal YTD</th>
<th>Nacubo YTD</th>
<th>1 Year</th>
<th>3 Year</th>
<th>5 Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total LTIF</td>
<td>0.34%</td>
<td>1.59%</td>
<td>4.45%</td>
<td>9.06%</td>
<td>1.59%</td>
<td>9.06%</td>
<td>8.30%</td>
<td>7.69%</td>
</tr>
<tr>
<td>Policy Composite</td>
<td>0.34%</td>
<td>1.20%</td>
<td>3.05%</td>
<td>8.08%</td>
<td>1.20%</td>
<td>8.08%</td>
<td>8.52%</td>
<td>7.99%</td>
</tr>
</tbody>
</table>

Period ending August 31, 2018

### Key Stats

- **Number of Managers:** 59
- **Number of Strategies:** 102
- **% Actively Managed:** 75%
- **% Overlay:** 25%

### Market Returns – Aug 2018

- In the previous section you saw the strong performance of the LTIF
- TTUS benefited by maintaining exposure to undervalued areas like non-US equity

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>US Large Cap</td>
<td>15.1%</td>
<td>2.1%</td>
<td>16.0%</td>
<td>32.4%</td>
<td>13.7%</td>
<td>1.4%</td>
<td>12.0%</td>
<td>21.8%</td>
<td>-0.8%</td>
<td>3.4%</td>
<td>3.4%</td>
<td>3.3%</td>
<td>9.9%</td>
</tr>
<tr>
<td>US Small/Mid Cap</td>
<td>26.7%</td>
<td>-2.5%</td>
<td>17.9%</td>
<td>36.8%</td>
<td>7.1%</td>
<td>-2.9%</td>
<td>17.6%</td>
<td>16.8%</td>
<td>-0.2%</td>
<td>5.7%</td>
<td>1.9%</td>
<td>4.3%</td>
<td>12.3%</td>
</tr>
<tr>
<td>Int'l Developed Equity</td>
<td>7.8%</td>
<td>-12.1%</td>
<td>17.3%</td>
<td>22.8%</td>
<td>-4.9%</td>
<td>-0.8%</td>
<td>3.0%</td>
<td>25.0%</td>
<td>-1.5%</td>
<td>-1.2%</td>
<td>3.5%</td>
<td>-1.9%</td>
<td>-2.3%</td>
</tr>
<tr>
<td>Emerging Market Equity</td>
<td>18.9%</td>
<td>-18.4%</td>
<td>18.2%</td>
<td>-2.4%</td>
<td>-2.3%</td>
<td>-14.9%</td>
<td>11.2%</td>
<td>37.3%</td>
<td>1.4%</td>
<td>-8.0%</td>
<td>2.2%</td>
<td>-2.7%</td>
<td>-7.2%</td>
</tr>
<tr>
<td>US Aggregate</td>
<td>6.5%</td>
<td>7.8%</td>
<td>4.3%</td>
<td>-2.0%</td>
<td>6.0%</td>
<td>0.5%</td>
<td>2.6%</td>
<td>3.5%</td>
<td>-1.5%</td>
<td>-0.2%</td>
<td>0.0%</td>
<td>0.6%</td>
<td>-0.0%</td>
</tr>
<tr>
<td>US High Yield</td>
<td>15.1%</td>
<td>5.8%</td>
<td>15.8%</td>
<td>7.4%</td>
<td>2.5%</td>
<td>-4.5%</td>
<td>17.1%</td>
<td>7.5%</td>
<td>-0.9%</td>
<td>1.0%</td>
<td>1.1%</td>
<td>0.7%</td>
<td>2.0%</td>
</tr>
<tr>
<td>US Long Treasuries</td>
<td>9.4%</td>
<td>29.9%</td>
<td>3.6%</td>
<td>-12.3%</td>
<td>25.1%</td>
<td>-1.2%</td>
<td>1.3%</td>
<td>8.5%</td>
<td>-3.1%</td>
<td>0.3%</td>
<td>-1.5%</td>
<td>1.6%</td>
<td>2.8%</td>
</tr>
<tr>
<td>EM Local Credit</td>
<td>15.7%</td>
<td>-1.8%</td>
<td>16.8%</td>
<td>-0.6%</td>
<td>-5.7%</td>
<td>-14.9%</td>
<td>9.9%</td>
<td>15.2%</td>
<td>4.4%</td>
<td>-10.8%</td>
<td>1.9%</td>
<td>-6.1%</td>
<td>-10.5%</td>
</tr>
<tr>
<td>Global Credit</td>
<td>-5.3%</td>
<td>-5.3%</td>
<td>-4.3%</td>
<td>2.7%</td>
<td>-0.6%</td>
<td>3.3%</td>
<td>2.3%</td>
<td>7.4%</td>
<td>1.4%</td>
<td>-2.8%</td>
<td>-0.2%</td>
<td>0.1%</td>
<td>-1.5%</td>
</tr>
<tr>
<td>Commodities</td>
<td>16.8%</td>
<td>-13.3%</td>
<td>-1.1%</td>
<td>-9.5%</td>
<td>-17.0%</td>
<td>-24.7%</td>
<td>11.8%</td>
<td>1.7%</td>
<td>-0.4%</td>
<td>0.4%</td>
<td>-2.1%</td>
<td>-1.8%</td>
<td>-1.3%</td>
</tr>
</tbody>
</table>

Source: Allianz Geves, DBX, Janus Henderson, BNY Mellon, Credit Suisse
Where to Invest: Equities

- With equity markets up across the board and the US on its 9th year of a bull market there are few cheap areas for investment
- We show the Shiller PE below as well as the composition of the returns for the S&P 500 over the past 6 years

Where to Invest: Credit

- Equities are not the only asset class that seems expensive
- As noted below, both High Yield and Emerging Market Debt (EMD) have high valuations

Both High Yield and Dollar EMD have firmly moved into overvalued territory from fair value
Central Bank Stimulus

- Economic conditions have improved and certainly have helped drive growth
- However, Central Bank stimulus has been a large supporter of returns for risk assets

Looking Forward

- With strong returns over the past number of years, forward looking expectations are lower for most asset classes

<table>
<thead>
<tr>
<th>5-7 Year Forward Looking Expected Returns</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asset Class</td>
</tr>
<tr>
<td>-------------</td>
</tr>
<tr>
<td>Cash</td>
</tr>
<tr>
<td>Treasuries</td>
</tr>
<tr>
<td>IG Corp Credit</td>
</tr>
<tr>
<td>Core Bonds</td>
</tr>
<tr>
<td>TIPS</td>
</tr>
<tr>
<td>Municipal Bonds</td>
</tr>
<tr>
<td>High-Yield Bonds</td>
</tr>
<tr>
<td>Bank Loans</td>
</tr>
<tr>
<td>Global Bonds (Unhedged)</td>
</tr>
<tr>
<td>EMD External</td>
</tr>
<tr>
<td>EMD Local Currency</td>
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<tr>
<td>Large Cap Equities</td>
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<tr>
<td>Small/Mid Cap Equities</td>
</tr>
<tr>
<td>Int'l Equities (Unhedged)</td>
</tr>
<tr>
<td>Emerging Int'l Equities</td>
</tr>
<tr>
<td>Core Real Estate</td>
</tr>
<tr>
<td>Commodities</td>
</tr>
</tbody>
</table>

Source: Federal Reserve Bank of St. Louis
*Cumulative Real GDP growth from recession start

Note: All numbers are in trillions of dollars unless otherwise noted.
LTIF Asset Allocation

The Foundation of Portfolio Construction

<table>
<thead>
<tr>
<th></th>
<th>Public (liquid)</th>
<th>Private (less liquid)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity</td>
<td>30%</td>
<td>10%</td>
</tr>
<tr>
<td>Debt</td>
<td>25%</td>
<td>10%</td>
</tr>
<tr>
<td>Diversifying Assets</td>
<td>15%</td>
<td>10%</td>
</tr>
<tr>
<td></td>
<td>25% Alpha Pool</td>
<td></td>
</tr>
</tbody>
</table>

ITIF Asset Allocation Update

Portfolio Construction

<table>
<thead>
<tr>
<th></th>
<th>Current ITIF Target</th>
<th>Proposed ITIF Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity</td>
<td>20%</td>
<td>25%</td>
</tr>
<tr>
<td>Debt</td>
<td>41%</td>
<td>25%</td>
</tr>
<tr>
<td>Diversifying Assets</td>
<td>17%</td>
<td>30%</td>
</tr>
<tr>
<td>Cash/Alpha Pool</td>
<td>22%</td>
<td>0%</td>
</tr>
<tr>
<td>Private Assets</td>
<td>0%</td>
<td>20%</td>
</tr>
<tr>
<td>Expected Return (3-7 years)</td>
<td>4.9%</td>
<td>6.1%</td>
</tr>
<tr>
<td>Standard Deviation</td>
<td>7.8%</td>
<td>11.1%</td>
</tr>
<tr>
<td>Sharpe Ratio (5-7 years)</td>
<td>0.37</td>
<td>0.37</td>
</tr>
</tbody>
</table>
Due Diligence Flow Chart

Sourcing
- Peer network
- Recommendations
- Industry publications
- Consultant
- Database screens

Initial Review
- Marketing presentation
- Exposure attribution (Sports)
- Audited financials
- Fund & firm AUM over time
- Form ADV (SEC registration)
- CAGS
- Quarterly letters/updates

Performance Screen
- Returns
- Return variance
- Beta
- Correlation to existing managers
- Alpha
- Sharpe Ratio
- Volatility ratio
- Downside deviation
- Maximum drawdown
- Performance against market

Site Visit
- Philosophy
- Process
- Risk management
- People
- Transparency
- Turnaround
- Acceptance of T/L
- Requirements
- Pricing policy
- Code of Ethics
- Investor laws

Legal Review
- Alignment of interests
- Industry standard terms & liquidation
- Key man (if necessary)
- Equal investor treatment
- Open bidding requirements & notices
- Bidder selection

Final Review
- Consultant opinion
- Background check
- Reference check
- Service provider checks
- Prime broker
- Administrator (SFA 78)
- Auditor

Presentation to IAC

Program Drivers

There are two drivers that set the LTIF apart from our peers and have allowed us to consistently improve performance over the last four years.

- Overlay Program: comprises 25% of Assets.
- Master Custody Accounts: comprises 30% of Assets.
Overlay Program

The Beta Overlay and Alpha Pool program, at 25% of the LTIF assets, have consistently added value to our broad market exposures in public equities, public debt and public diversifying assets.

How it works:
1. Purchase S&P 500 Futures Contract giving the LTIF $10 million of exposure (note: costless transaction).
2. Invest $8 million in the Alpha Pool.
3. Hold $2 million in Cash.

The Futures contract gives you the return of the S&P 500. The Alpha Pool is expected to produce a return of 3-10% annually. Cash is held to settle daily fluctuations in the futures contract.

Result: Equity market return with a substantially more diversified alpha component than traditional active equity managers relying solely on stock selection skill. Additional ability to add downside protection.

Non US Emerging Markets Overlay Program
(May-2014 to Aug-2018)

Over the inception to date, our Non US Emerging Markets Overlay generated a 8.68% return. Adding on the collateral, or alpha pool, that return increases to 12.17% which provides 10.12% in excess return over the MSCI EM benchmark.

<table>
<thead>
<tr>
<th>Trade/Benchmark</th>
<th>3 Months</th>
<th>1 Year</th>
<th>ITD-Ann.</th>
<th>ITD-Cum.</th>
</tr>
</thead>
<tbody>
<tr>
<td>LTIF Non US EM Equity</td>
<td>-0.65%</td>
<td>4.82%</td>
<td>8.68%</td>
<td>26.59%</td>
</tr>
<tr>
<td>LTIF Alpha Pool</td>
<td>0.63%</td>
<td>4.51%</td>
<td>3.49%</td>
<td>10.21%</td>
</tr>
<tr>
<td>MSCI EM Equity Benchmark</td>
<td>-4.70%</td>
<td>-0.68%</td>
<td>2.05%</td>
<td>5.91%</td>
</tr>
<tr>
<td>LTIF Total Alpha</td>
<td>4.68%</td>
<td>10.01%</td>
<td>10.12%</td>
<td>30.90%</td>
</tr>
</tbody>
</table>

- Over this same time period, leading industry database provider eVestment reported active Emerging Markets managers top quartile results were 5.98%.
- The universes for the database provider are 648, covering virtually all active managers in the space.
Total Overlay Program
(Apr-2014 to Aug-2018)

Is the complexity worth it? Yes.

The total overlay produced a 5.32% return through inception. When coupled with the collateral, or alpha pool, that return jumps to 8.63%. That is 2.80% excess return above the weighted benchmark.

<table>
<thead>
<tr>
<th>Trade/Benchmark</th>
<th>3 Months</th>
<th>1 Year</th>
<th>ITD-Ann.</th>
<th>ITD-Cum.</th>
</tr>
</thead>
<tbody>
<tr>
<td>LTIF Total Synthetic</td>
<td>2.30%</td>
<td>7.88%</td>
<td>5.32%</td>
<td>25.73%</td>
</tr>
<tr>
<td>LTIF Alpha Pool</td>
<td>0.63%</td>
<td>4.51%</td>
<td>3.31%</td>
<td>15.46%</td>
</tr>
<tr>
<td>LTIF Total Beta Pool</td>
<td>0.20%</td>
<td>3.62%</td>
<td>2.62%</td>
<td>13.95%</td>
</tr>
<tr>
<td>Composite Benchmark</td>
<td>2.44%</td>
<td>8.78%</td>
<td>5.83%</td>
<td>28.43%</td>
</tr>
<tr>
<td>LTIF Total Alpha</td>
<td>0.49%</td>
<td>3.61%</td>
<td>2.80%</td>
<td>12.76%</td>
</tr>
</tbody>
</table>

Master Custody Account

MCA’s are strategic partnerships that benefit the manager and client.

Key Attributes:

➢ Better alignment of interest between the parties.
➢ Fiduciary standards at relationship versus at the fund level.
➢ Ability to invest in best ideas through separate accounts.
➢ Fee savings
Master Custody Account

- MCA governs the entire relationship with a manager, making him a fiduciary at the aggregate level.
- Standard fees are paid for the Hedge Fund and Private Fund based on performance quarterly.
- The Separate Account pays no fees quarterly.
- At year end, the net performance of all three accounts is calculated based on a lower relationship level fee, saving the LTIF money.
- In addition to fee savings, the separate accounts allow LTIF staff to invest additional capital in a manager’s best ideas.
Staff Organization Chart

Tim Barrett, CFA
Assoc. Vice Chancellor & CSO

Leslie Perkins
Executive Administrative Associate

Chris Gayley
Operations Manager

Michael Nichols
Senior Investment Officer

Gary Barnes
Vice Chancellor & CFO

David Barlow
Chief Analyst

Dan Parker
Deputy CSO

Staff Bios

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Responsibilities</th>
<th>Educational Qualifications</th>
<th>Professional Qualifications</th>
<th>Years of Experience</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tim Barrett</td>
<td>Associate Vice Chancellor &amp; Chief Investment Officer</td>
<td>Hired in 2013. Responsibilities include investment oversight for $1 trillion in total value of endowments, with the goal of setting risk profiles, benchmarks and asset allocation; supervises the team's identification of external investment managers. Prior experience includes serving as CIO for a large public pension and a large corporate pension.</td>
<td>BS - University of Montana MBA - San Diego State University CFA</td>
<td>22</td>
<td></td>
</tr>
<tr>
<td>Dan Parker</td>
<td>Deputy CSO</td>
<td>Hired in 2016. He shares broad responsibility across the portfolio and focuses on public and private equity, real assets and hedge funds. Prior experience includes leadership of a large endowment, a start-up asset manager and large bank investment banking.</td>
<td>BA - Tulane University MBA - Villanova &amp; Mary</td>
<td>19</td>
<td></td>
</tr>
<tr>
<td>Michael Nichols</td>
<td>Senior Investment Officer</td>
<td>Hired in 2012. Responsibilities include credit investments and derivatives as well as hedge funds. Prior experience includes software and electrical engineering.</td>
<td>BS - University of Texas at Dallas Masters - Texas Tech University</td>
<td>19</td>
<td></td>
</tr>
<tr>
<td>Chris Gayley</td>
<td>Operations Manager</td>
<td>Hired in 2015. Oversees all aspects of cash management, contracting and administration of the ITP, including operational due diligence, relationship maintenance, oversight of middle office, and client performance reporting.</td>
<td>BS - Texas Tech University</td>
<td>19</td>
<td></td>
</tr>
<tr>
<td>David Barlow</td>
<td>Chief Analyst</td>
<td>Hired in 2012. Performs analysis and due diligence on current and prospective investments. Assists in monitoring investments across public and private equity and private real assets. Maintains many of the bank and firm processes.</td>
<td>BA - University of Texas at Austin Masters - University of North Texas</td>
<td>19</td>
<td></td>
</tr>
<tr>
<td>Leslie Perkins</td>
<td>Executive Administrative Associate</td>
<td>Hired in 2014. Provides executive and administrative assistance to the Chief Investment Officer and the Office of Investments to ensure the smooth operation and functioning of the office.</td>
<td>BS - University of Texas at Austin Masters - University of North Texas</td>
<td>19</td>
<td></td>
</tr>
</tbody>
</table>
Appendix

Investment Operations

Investment Operations consist of all aspects of the back and middle office activities. This includes all accounting and cash movements, reporting, Operational Due Diligence (ODD), legal reviews, contracting and MCA account structuring.

The following were completed in fiscal year 2018

- Completed and audited 498 cash transactions within the portfolio.
- All transactions represent more than $850 million. These include all fundings, redemptions, calls, distributions, additions and spending.
- Completed full due diligence and legal reviews on 10 firms, which resulted in 8 that were executed and hired.
- 5 Managed Custody Accounts (MCA) were negotiated and set up with accounting and reporting structures.
- Fully implemented a cloud based document management and performance tracking software platform.
Historical Ranking vs. Peers

<table>
<thead>
<tr>
<th>TTUS NACUBO Percentile Ranking - 750M-1.5B</th>
<th>TTUS NACUBO Percentile Ranking - All E&amp;F</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>1 Year</td>
</tr>
<tr>
<td>2017</td>
<td>51.5%</td>
</tr>
<tr>
<td>2016</td>
<td>50.8%</td>
</tr>
<tr>
<td>2015</td>
<td>63.1%</td>
</tr>
<tr>
<td>2014</td>
<td>68.8%</td>
</tr>
<tr>
<td>2013</td>
<td>77.4%</td>
</tr>
</tbody>
</table>

- 3-year rankings have improved from bottom to third quartile.
- We have achieved consistent improvement in our three, five and ten year performance rankings, improving by 9% and 12.5% over the last three year rankings in the "All E&F and "$750m-$1B peer universe
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: ________________________________
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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 21st 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.


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 indoors 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 provided 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 mounds 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).
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.


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.

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 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.

Signature                                           Date

Printed Name                                        Title

Name of Approving Body                              Date
### TTU: Approval of Purchasing Contracts

**Regents' Rules 07.12.3.a**

<table>
<thead>
<tr>
<th>Component</th>
<th>Vendor</th>
<th>Services or Goods to be Provided</th>
<th>Estimated Per Annum Consideration</th>
<th>Estimated Term Consideration (includes renewals)</th>
<th>Start</th>
<th>End</th>
<th>Procurement Method</th>
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<tbody>
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<td>$4,500,000</td>
<td>2/23/2017</td>
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**Regents' Rules 07.12.3.c**

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

Approve budget for the Food Service Center Renovation project

Billy Breedlove
Scope of Services

- Execution of a Construction Manager at Risk agreement will allow the contractor to provide the following pre-construction activities associated with the planning, design and construction process:
  - Project evaluation;
  - Constructability review;
  - Value engineering;
  - Preparation for bidding the asbestos abatement and demolition phase;
  - Scheduling; and
  - Development of the Guaranteed Maximum Price (GMP).

Proposed Project Overview

- Program, design and construct the remodel of approximately 19,000 GSF, which includes the Cafeteria, Food Service Center and Roscoe's Den.
- The renovation will include:
  - Quarry tile and moisture resistant wall coverings;
  - New food service equipment;
  - Updated cooking ventilation and fire protection system;
  - Cafeteria management offices interior refurbished; and
  - Cafeteria's dining area redesigned to meet current and future needs.
  - A new 2,500 amp electrical service, as well as distribution and lighting.
- Project will comply with all applicable federal, state and local laws, regulations and codes, bringing the existing building into full compliance with current life safety codes.
- The project will also include site utility infrastructure work and surface parking.
Project Budget

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<th>Item 1</th>
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<tr>
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Recommendation

- Approve a budget of $6,000 for the Food Service Center Renovation project with an anticipated total project budget of $7,517,975; waive the board directed fees for landscape enhancements and public art; and award the Construction Manager at Risk agreement for pre-construction services.

- The budget will be funded from the balance of Chartwells Higher Education Dining Services' food service contract credit to Angelo State University.
Texas Tech University

Approve budget adjustment for the Football Training Facility Renovation and Expansion project

Billy Breedlove
Scope of Services

- The budget adjustment will allow for:
  - Execution of a Design Professional amendment for Stage I services to provide:
    - Schematic Design;
    - Site analysis;
    - Utility infrastructure analysis;
    - Concept budget development; and
    - Project schedule.

Proposed Project Overview

- The proposed project would provide a complete renovation/upgrade to the existing 52,492 GSF building and an addition of 16,753 GSF to the facility.
- Project also includes site work, site utility infrastructure work, landscape enhancements, and public art.
### Project Budget

<table>
<thead>
<tr>
<th>Item</th>
<th>BOR Approved 10-20-17</th>
<th>Additional Request</th>
<th>Revised Budget</th>
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### Recommendation

- Authorize to 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 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).
Recommendation (cont.)

- 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 to start back up May 2019 at which time they will replenish the project budget up to $650,000.
Texas Tech University

Approve budget adjustment for the Jones AT&T Stadium East Building Finish-Out project

Billy Breedlove
Scope of Services

- The budget adjustment will allow for:
  - Execution of a Design Professional amendment for Stage II services to provide:
    - Design Development Phase;
    - Construction Document Phase;
    - Construction Administration Phase;
    - Statement of Probable Cost; and
    - Project schedule.
Scope of Services (cont.)

- Execution of a Construction Manager at Risk Agreement will allow the contractor to provide the following pre-construction activities associated with the planning and design process:
  - Project evaluation;
  - Site analysis;
  - Constructability review;
  - Value engineering;
  - Scheduling and cost control; and
  - Concept budget development.

Proposed Project Overview

- Finish-out of approximately 26,000 GSF of shell space on the 2nd and 3rd floors of the Jones AT&T Stadium East Side Building to include:
  - Office suites and conference space for the relocation of the athletic coaches and staff from the Jones AT&T Stadium South End Zone Building;
  - Work/file rooms; various support spaces, and restrooms;
  - Modification to the elevators; and
  - Full installation of mechanical, electrical, plumbing, and fire suppression system to support the finish-out of the space.
### Project Budget

<table>
<thead>
<tr>
<th>Item</th>
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### Recommendation

- Authorize to 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; waive the board directed fees for landscape enhancements and public art; amend the Design Professional agreement for Stage II services; and 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.
Texas Tech University

Approve budget adjustment for the new School of Veterinary Medicine project

Billy Breedlove
Scope of Services

- The budget adjustment will allow for:
  - Execution of a Construction Manager at Risk agreement will allow the contractor to provide the following pre-construction activities associated with the planning and design process:
    - Project evaluation;
    - Site analysis;
    - Constructability review;
    - Value engineering;
    - Scheduling and cost control; and
    - Concept budget development.

Proposed Project Overview

- Four-year School of Veterinary Medicine 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.
- Program, design and construct a combined approximate 261,720 GSF programmed between two separate facilities on separate sites.
- The high-tech veterinary teaching/research facilities will serve both small and large animals.
- Each facility shall be designed to accommodate future growth.
### Project Budget

<table>
<thead>
<tr>
<th>Item</th>
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### Recommendation

- Approve increase to 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 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).
Texas Tech University

Approve preliminary budget for the National Ranching Heritage Center’s Ranch Life Learning Center project

Billy Breedlove
Scope of Services

- Preliminary approval by the board includes:
  - Project concept;
  - Project planning budget; and
  - Execution of a Design Professional agreement for Stage I services to provide the following:
    - Programming Phase;
    - Schematic Design Phase;
    - Statement of Probable Cost; and
    - Project schedule.

Proposed Project Overview

- Renovation of 2,200 GSF within the DeVitt-Mallet Ranch Building and an 800 GSF addition comprising the following spaces:
  - Museum exhibits;
  - Instructional space;
  - Expansion and reconfiguration of the Cogdell’s General Store;
  - Addition of public spaces;
  - A covered porch; and
  - Hardscape and landscaped features will highlight the following exterior spaces.
Proposed Project Overview (cont.)

- Exterior exhibit spaces may include:
  - Water resources;
  - Wildlife;
  - Tool shed and horse barn;
  - Ranch house;
  - Amphitheater;
  - Stockade;
  - Footbridge;
  - Cowboy work station; and
  - Windmills.

<table>
<thead>
<tr>
<th></th>
<th>Feasibility Budget</th>
<th>Preliminary Budget Request</th>
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<tbody>
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<tr>
<td>Contingency</td>
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<td>$ 19,500</td>
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</table>
Recommendation

- Approve the concept for the project; authorize to 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 project budget of $4,000,000; waive the board directed fee for landscape enhancements; and award the Design Professional agreement for Stage I services.

- The preliminary budget will be funded with Gifts (cash).

- The preliminary budget includes the previously authorized budget from a Gift ($40,000 cash).
Texas Tech University

Approve budget for the Abatement and Demolition of the Lubbock Municipal Auditorium and Coliseum project

Billy Breedlove
Scope of Services

- Execution of a Design Professional agreement for Stage I and Stage II services to provide:
  - Planning;
  - Schematic Design;
  - Design Development;
  - Construction Documents, and
  - Construction Administration Phases;
  - Statement of Probable Cost, and
  - Project Schedule.
- The Design Professional was selected from the university's approved design professional pre-qualification list.

Proposed Project Overview

- Asbestos abatement and demolition of the two existing facilities totaling 112,500 GSF including:
  - Construction debris removal;
  - Site backfill/compaction;
  - Removal of abandoned site utilities;
  - Relocation of site utilities to be maintained;
  - Limited demolition and removal of plaza areas and surface parking; and
  - Restoration of the overall site to a safe and usable condition.
- This project will provide a blank canvas for future development.
# Project Budget

<table>
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<tr>
<th>Item</th>
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<tbody>
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## Recommendation

- Authorize to 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 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.
Texas Tech University Health Sciences Center

Approve budget adjustment for the Lubbock Expansion project

Billy Breedlove
Dr. Tedd L. Mitchell
Scope of Services

- The budget adjustment will allow TTUHSC to transfer the authority to purchase additional equipment ("FFE") for the facilities to the office of Facilities Planning and Construction under their management of the project.
- The estimated breakdown of the budget adjustment will be used to support the following areas of the project:

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<thead>
<tr>
<th>Medical Equipment</th>
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<tbody>
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**Grand Total:** $ 8,000,000

### Project Budget

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<th>Revised Budget</th>
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Recommendation

- Authorize increase to 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 transfer authority from TTUHSC to FP&C to purchase additional equipment ("FFE") for the facilities 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 84th Texas Legislature's Regular Session authorization of TRB ($60,264,000), Unexpended Plant Funds cash ($25,636,000), and HEAF ($13,475,000) cash.
Texas Tech University System

Report on Facilities Planning and Construction projects (project data as of 9/13/18)

Billy Breedlove

TTU – Athletic Dining Facility

Current Budget: $ 598,358
Gross Square Feet: 9,966 GSF
Team / Status:
• Design Professional: MWM Architects, Inc. @ 62%
• General Contractor: Tennant Commercial Building Services, Inc. @ 0%

Substantial Completion Date:
Original Date – TBD
Actual Date – TBD
TTU – Weeks Hall
Asbestos Abatement and Demolition

Current Budget: $975,000
Gross Square Feet: 67,234 GSF
Team / Status:
- Design Professional:
  Dekker/Perich/Sabatini @ 21%
- General Contractor:
  Lee Lewis Construction, Inc. @ 0%
Substantial Completion Date:
Original Date – May 2020
Actual Date – TBD

TTU – Talkington College of Visual & Performing Arts Theatre & Dance Complex

Current Budget: $33,000,000
Gross Square Feet: 52,727 GSF
Team / Status:
- Design Professional:
  SRW Architects @ 81%
- General Contractor:
  Tenant Commercial Building Services, Inc. @ 34%
- Construction Manager Agent (CMAgent):
  Perkins, Smith & Cooper, Inc. @ 88%
- Artist:
  RDG Studio / March 2018 Installation
Substantial Completion Date:
Original Date – December 2018
Amended Date – March 2019
Actual Date – TBD
### TTU – Talkington College of Visual & Performing Arts Theatre & Dance Complex

**Construction Delivery:** CMR

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<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>D</td>
<td>-</td>
<td>-</td>
<td>-</td>
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</tr>
<tr>
<td>NOTES</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

**CATEGORY**

- **Professional Services**
  - $2,737,473
  - $2,774,000
  - $2,774,000

- **Administrative**
  - $134,275
  - $130,011
  - $130,011

- **Regents’ Rules**
  - $950,048
  - $950,048
  - $950,048

**PARTNERS**

- General Contractor: Telnet Commercial Building Services, Inc.
- Design Professional: BRW Architects
- CM Agent (PM Assist): ParkIN, Smith & Cooper, Inc.
- Tier 2 Auditor: CBIC

1. e-Building 07/24/2018
2. e-Building (Project Management Software)

---

### TTU – Experimental Sciences Building II

**Current Budget:** $77,000,000

**Gross Square Feet:** 117,800 GSF

**Team/Status:**

- Design Professional:
  - Tewesoth, LLC @ 85%
- Construction Manager at Risk (CMR):
  - Flintco, LLC @ 65%
- Construction Manager Agent (CM Agent):
  - Project Control of Texas, Inc. @ 77%
- Artist:
  - Lead Pencil Studio / May 2019 Installation

**Substantial Completion Date:**

- Original Date – June 2019
- Actual Date – TBD
TTU – Experimental Sciences Building II

Construction Delivery: CMR

<table>
<thead>
<tr>
<th>BOR Appr (Planning)</th>
<th>BOR Appr (Full)</th>
<th>Previous Budget</th>
<th>Current Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>8/2015</td>
<td>6/2016</td>
<td>120,000</td>
<td>140,000</td>
</tr>
<tr>
<td><strong>BUDGET</strong></td>
<td><strong>$ 2,217,364</strong></td>
<td><strong>$ 77,000,000</strong></td>
<td><strong>$ 77,000,000</strong></td>
</tr>
</tbody>
</table>

| CATEGORY | | | | |
|-----------|-----------|-----------|-----------|
| Professional Services | | | |
| $ 1,862,300 | $ 5,000,000 | $ 7,772,349 | $ 7,772,349 |

| Administrative | | | |
| $ 104,250 | $ 51,790 | $ 343,734 | $ 343,734 |

| Partner: Reiner + Riddle | | |
| $ 51,960 | $ 3,344,688 | $ 3,344,688 |

| TOTAL | | | |
| $ 2,973,519 | $ 77,000,000 | $ 77,000,000 |

PARTNERS
General Contractor: Fitchett, LLC
Design Professional: TreanorHL
CM Agent: Project Control of Texas, Inc.
CP Auditor: CBZ

- e-Builder: 3/10/2018
- e-Builder (Project Management Software)

TTUHSC – Lubbock Education, Research & Technology + West Expansion

Current Budget $ 91,375,000
Gross Square Feet 199,862 GSF
UC 62,258 GSF
WE 125,104 GSF
A&D 12,500 GSF

Team / Status:
- Design Professional: Perkins + Will @ 32%
- Construction Manager at Risk (CMR): Hill & Wilkinson General Contractors @ 48%
- Construction Manager Agent (CMAgent): Hill International @ 31%
- Artist:
  - Interior Art: Adam Frank – February 2019
  - Exterior Art: James Surls – February 2019

Substantial Completion Date:
- Original Date – March 2019
- Amended Date – June 2019
- Actual Date – TBD
TTUHSC – Lubbock Education, Research & Technology + West Expansion

<table>
<thead>
<tr>
<th>BOH Appr (Planning)</th>
<th>BOH Appr (Full)</th>
<th>Previous Budget</th>
<th>Current Budget</th>
<th>%Change</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>8/2015</td>
<td>1,005,921</td>
<td>81,376,000</td>
<td>81,376,000</td>
<td>$91,376,000</td>
<td>$91,376,000</td>
</tr>
</tbody>
</table>

**CATEGORIE**

**Professional Services**
- $2,035,360
- $6,842,401
- $10,210,146
- $10,142,208
- ($6,928)

Decrease was for additional funds to pay for the upgrade request for gross anatomy equipment.

**Administrative**
- $89,067
- $754,030
- $1,045,447
- $1,081,621
- ($3,174)

Decrease was for utility reimbursement to TTUHSC for water and sewer usage fees.

**Partners**

- General Contractor: Hill & Wilkinson General Contractors
- Design Professional: Perkins + Will
- CM Agent: Prentis + International
- Ter 2 Auditor: CBZ

**TTUHSC – Permian Basin Academic Facility**

**Current Budget:** $22,300,000

**Gross Square Feet:** 51,000 GSF

**Team / Status:**
- **Design Professional:** Perkins + Will @ 76%
- **General Contractor:** Prentis, LLC @ 90%
- **Construction Manager Agent (CMAgent):** Adams Management Services @ 92%
- **Artist:** Albert Pailey / Installed August 2018

**Substantial Completion Date:**
- Original Date – July 2018
- Actual Date – TBD
TTUHSC – Permian Basin Academic Facility

Construction Delivery: CM

<table>
<thead>
<tr>
<th>BOR Appr</th>
<th>Previous Budget</th>
<th>Current Budget</th>
<th>+/- Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Planning)</td>
<td>5/2018</td>
<td>54,000 GSF</td>
<td>5/2019</td>
</tr>
<tr>
<td>A</td>
<td>B</td>
<td>C</td>
<td>D</td>
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<tr>
<td>BUDGET</td>
<td>$552,665</td>
<td>$22,300,000</td>
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<tr>
<td>CATEGORY</td>
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<tr>
<td>Professional Services</td>
<td></td>
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<tr>
<td>$458,218</td>
<td>$2,505,650</td>
<td>$2,269,805</td>
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<tr>
<td>Administrative</td>
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<tr>
<td>$28,347</td>
<td>$123,145</td>
<td>61,650</td>
<td>106,650</td>
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<tr>
<td>Regents/ Ruto</td>
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<td></td>
</tr>
<tr>
<td>$12,063</td>
<td>$961,150</td>
<td>961,150</td>
<td>961,150</td>
</tr>
</tbody>
</table>

NOTES:
- Annual photos, missing expenses, weber camera increase and administrative contingency

PARTNERS
- General Contractor: Fiskos, LLC
- Design Professional: FKP Architects, Inc.
- CM Agent: Alston Management
- Tier 2 Auditor: CBZ

TTUHSC El Paso - Medical Sciences Building II

Current Budget: $84,400,000
Gross Square Feet: 219,900 GSF

Team / Status:
- Design Professional: Perkins + Will @ 87%
- Construction Manager at Risk (CMR): Sundt @ 43%
- Construction Manager Agent (CMAgent): Breaddsus and Associates @ 85%
- Artist: Thomas Sayre / July 2019 Installation

Substantial Completion Date:
- Original Date – March 2019
- Actual Date – TBD
### TTUHSC El Paso - Medical Sciences Building II

**Construction Delivery:** CMR

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>BOR Appr (Planning)</th>
<th>BOR Appr (Full)</th>
<th>Previous Budget</th>
<th>Current Budget</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>8/2015</td>
<td>227,000 GSF</td>
<td>12/2015</td>
<td>223,000 GSF</td>
<td>09/2016</td>
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<tr>
<td>BUDGET</td>
<td></td>
<td>$2,412,064</td>
<td>$84,400,000</td>
<td>$84,400,000</td>
<td>$84,400,000</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>PARTNERS</th>
<th>SUBT</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>General Contractor</td>
<td>SUBT</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Design Professional</td>
<td>Perkins + Will</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CM Agent</td>
<td>Broadfield and Associates</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tim 2 Auditor</td>
<td>RSM</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- [e-Builder 07/24/2018](#)
- [e-Builder (Project Management Software)](#)

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### Texas Tech University System

**Item 9**

**Status of Public Art**
Public Art Cart

- 15 – Person
- Funding provided by the CH Foundation
- Arrives Spring 2019

ASU – Archer College of Health & Human Services

Art Budget: $253,000
Artist: Owen Morel
Miami, FL
Title: Cube-
Status: October 2018 Installation

Artist Statement: "Cube-" will be a mirrored stainless-steel piece that is 24' long, 8' wide, and 11' tall. The artist wants to transform the site through this iconic and interactive sculpture. The strong geometry of the piece mimics the architecture of the Archer College of Health and Human Services building. The cube, a symbol of wholeness or oneness, has specific meaning within the context of this facility promoting and initiating overall wellness and wholeness. Mirrors reflect those who view the sculpture and the surrounding environment, including the building and the nature around it. The sciences heavily influence all the artist’s work.
ASU – Centennial Village II

Art Budget: $150,000
Artist: Frank Swanson
Sedalia, CO
Title: Confluence
Status: October 2018 Installation

Artist Statement: "Confluence" will be composed of two granite sculpture elements and six sculptural benches. The artist wants to enhance the building by creating a unique environment that can be used for seating, as well as present a dynamic sculpture to interact with. The sculpture represents the merging of ideas that are brought together in a university setting. The central pieces of the sculpture, cut from the same block, are separate but interconnected, representing the circles of conversations and ideas that are swirling amongst the faculty and students. The overall shape also mirrors two ram horns. This piece will be lit at night, allowing viewers to enjoy it any time they visit.

TTU – New Honors Residence Hall

Art Budget: $267,000
Artist: Marc Fornes / Theverymany
New York, NY
Title: Wandering
Status: February 2019 Installation

Artist Statement: "Wandering" will be a sculptural shade structure that is planned to be between 16 and 18' tall and 50' long. Marc Fornes' work is inspired by public art as an engaging space and a place for social interaction. The artist was inspired by the potential traffic flow patterns in the space to create the initial shape. He also used the Sycamore tree as inspiration, although they have a large center trunk (represented by the university), they also drop many roots that flourish (students). The piece will be made of painted aluminum and will have a white and tan ombre color scheme. It will also change in appearance from many angles, including the views from the top floor of the dorm. Unique shade will be embedded in the piece, which will cast interesting shadows in the day, as well as when the piece is lit at night.
TTU – Talkington College of Visual & Performing Arts Theatre & Dance Complex

Art Budget: $220,000
Artist: RDG Studio
Des Moines, IA
Title: Awaiting Artist Announcement
Status: March 2019 Installation

Artist Statement: The proposed design is for a sculptural installation, reminiscent of the proscenium of a theatre stage, that will frame the entryway to the building. The structure will function on many levels, as a pergola or passageway, and suggestion of a gallery or stage left/stage right on either side of the entryway. The structure will create a ceremonial experience of entering the building where, for a moment, everyone is a performer on a stage. Laser-cut panels will suggest the opening of curtains, the overlap in the panels create a sense of movement and the folds of drapery. LED lighting will give the piece a red glow at night.

TTU – Experimental Sciences Building II

Art Budget: $754,000
Artist: Lead Pencil Studio
Seattle, WA
Title: Awaiting Artist Announcement
Status: May 2019 Installation

Artist Statement: The proposed design is for a 35’ tall by 35’ foot long by 7’ wide sculptural installation created using cross-welded wire. The sculpture resembles “architecture in reverse” by taking the negative space that we normally don’t see and turning it into art, directing viewers to a new way of seeing. Their proposal was inspired by the intertwined relationship between human imagination and rational thinking that takes place in the experimental sciences. The structure will create a sense of place and provoke dialogue by creating indefinite ends rather than asserting conclusions. The artists will work with TTU to create a site-specific work that also engages with the architecture and history of the campus. LED lighting will give the piece a subtle glow at night, while the unique material will create interesting shadows throughout the day.
TTU – Museum Life Safety Upgrade and Air Management Replacement

Art Budget: $ 67,000
Artist: Peter Mangan
Blanco, TX
Title: Awaiting Artist Announcement
Status: Spring 2019 Installation

Artist Statement: The selected design is for a 20' tall sculpture made of steel and fused glass. The sculpture represents a red-tailed hawk and will be placed within the ecoregion landscape planned for the Museum's entry. The base of the sculpture was created to mimic the unique shape of the Museum's building. The abstracted bird sculpture has a wingspan of 10', double that of a real red tail hawk, and the colors of the interior fused glass pieces will be like the actual bird's feather coloring. The 136 pieces will also subtly move and shimmer, activated by the Lubbock winds. The piece will be lit at night with LED solar lighting.

TTUHSC – Lubbock Education, Research & Technology + West Expansion Interior

Art Budget: $ 300,000
Artist: Adam Frank
New York, NY
Title: Pulse
Status: February 2019 Installation

Artist Statement: The proposed design, tentatively titled Pulse, is for an 11-foot tall, 8-foot-wide LED screen that features an accurate simulation of the human circulatory system in the visual style of an MRI in the lobby of the University Center. As people enter the building, the heartbeat quickens. The more building occupants, the faster the beats and the blood flow. As people leave, the heart begins to slow and eventually settles to an average sleeping rate overnight. Each member of the TTUHSC community helps to drive the heartbeat equally. Pulse will activate the lobby with an anatomically accurate MRI of the beating heart of the Health Sciences Center. This piece will help set the tone for campus visitors as an innovative and vibrant medical center.
TTUHSC – Lubbock Education, Research & Technology + West Expansion Exterior

Art Budget: $350,500
Artist: James Surls
Carbondale, CO
Title: Complete Fragment
Status: February 2019 Installation

**Artist Statement:** The proposed design, titled Complete Fragment, is for three bronze and stainless-steel sculptures, one 9' x 9' x 10', another 9.5' x 6' x 11', and the third 11' x 12' x 16' in size. Each sculpture represents the origin of life through the depiction of molecules, as well as growth as represented by flowers. The three separate pieces are meant to create one whole piece, allowing the viewer to stand in the middle of the site and view a sculpture from any angle. Each sculpture has its own life, yet the power is that each is a part of the whole, representing the connecting tissue of the human endeavor. These sculptures will be part of a landscape park space where visitors can sit and find calm and healing, a respite from the busy life inside the buildings.

TTUHSC El Paso - Medical Sciences Building II

Art Budget: $790,000
Artist: Thomas Sayre
Research, NC
Title: Between Earth and Sky
Status: July 2019 Installation

**Artist Statement:** The public art installation by Thomas Sayre titled Between Earth and Sky, will sculpt the almost 15,000 square foot site into one large, sculptural environment, consisting of highly articulated ground plane terrain and an ever-changing array of kinetic wind sculptures hovering above it. The ground plane will be sculpted into a series of 23 earth berms ranging in height from 3 to 4 feet. Sliding through the berms will be a curving pathway bracketed by earthcast walls. Rising out of the terrain will be 23 wind activated sculptures, varying in height from 16-24 feet; each sculpture will have a unique pattern and a hand-blown glass ball that will be lit at night. The artist will work with faculty and researchers on the TTUHSC El Paso campus to determine unique patterns to use in the sculptures.
### FACILITIES PLANNING AND CONSTRUCTION

**Capital Project Budget Analysis**

**Fiscal Year 2018-2019**

<table>
<thead>
<tr>
<th>Project Name</th>
<th>Contract Type</th>
<th>Original Budget (Proposed Rate)</th>
<th>Board Approval A</th>
<th>Board Adjustment B</th>
<th>Internal Adjustments</th>
<th>Adjusted Budget C</th>
<th>Actual/Projected Variance B</th>
<th>Variance A</th>
<th>Variance B</th>
<th>BOR Adjustment Case</th>
<th>BOR Adjustment Case</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building X</td>
<td></td>
<td>$700,000</td>
<td>$120,000</td>
<td>$200,000</td>
<td></td>
<td>$580,000</td>
<td>$580,000</td>
<td>$580,000</td>
<td>0%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Building Y</td>
<td></td>
<td>$1,000,000</td>
<td>$300,000</td>
<td>$100,000</td>
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<td>$700,000</td>
<td>$700,000</td>
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</tr>
<tr>
<td>Building Z</td>
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<td>$450,000</td>
<td>$150,000</td>
<td></td>
<td>$900,000</td>
<td>$900,000</td>
<td>$900,000</td>
<td>0%</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**TOTAL: $4,000,000**

**Actual/Projected Variance Case:**

- Variance A: $0
- Variance B: $0

**BOR Adjustment Case:**

- $0
- $0

**Budget Adjustments:**

- $0
- $0
Angelo State University
Operating Policy and Procedure

OP 10.01: Undergraduate Student Admissions

DATE: August 6, 2018

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.
<table>
<thead>
<tr>
<th>High School Class Rank</th>
<th>ACT Score</th>
<th>SAT Score***</th>
</tr>
</thead>
<tbody>
<tr>
<td>Top 1025%*</td>
<td>No minimum</td>
<td></td>
</tr>
<tr>
<td>Next 4025%**</td>
<td>17</td>
<td>SAT: 820 or Redesigned SAT of 900</td>
</tr>
<tr>
<td>3rd Quarter</td>
<td>File Review</td>
<td></td>
</tr>
<tr>
<td>4th Quarter</td>
<td>File Review</td>
<td></td>
</tr>
</tbody>
</table>

* 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.

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

* 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:

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

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.
<table>
<thead>
<tr>
<th>PRIORITY</th>
<th>ENTITY</th>
<th>AUDIT AREA</th>
<th>BUDGETED HOURS</th>
<th>BUDGET ADJUSTMENTS</th>
<th>STATUS OF SEP 26</th>
<th>ACTUAL HOURS</th>
<th>TIME STILL NEEDED</th>
<th>BUDGET vs ACTUAL</th>
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</table>

**TOTALS FOR REQUIRED AUDITS**

2,165 - 126 634 1,145

**AUDITS IN PROGRESS AT AUGUST 1, 2018**

- **Prior Year**
  - **TTU**
    - School of Law: Financial Controls: 252 - In Progress: 248 - 4
  - **Prior Year**
    - **TRU**
      - Office of the Registrar: 39 (1/2) - Financial Controls: 39 (1/2) - 35 (1/2)
    - **Prior Year**
      - **TRU**
        - Office of Human Resources: 817 - In Progress: 75 - 767
    - **Prior Year**
      - **TRU**
        - Financial Compliance of Grant Funds: 495 - In Progress: 300 - 65
    - **Prior Year**
      - **TRU**
        - Texas Tech Campus Compliance: 292 - In Progress: 292 - 0
    - **Prior Year**
      - **TRU**
        - Telecommunications Compliance: 170 - In Progress: 170 - 0
    - **Prior Year**
      - **TRU**
        - Financial Statement Review: 152 - In Progress: 152 - 0
    - **Prior Year**
      - **TRU**
        - Telecommunications Compliance: 152 - In Progress: 152 - 0
    - **Prior Year**
      - **TRU**
        - Information Technology Controls Compliance: 322 - In Progress: 322 - 0
    - **Prior Year**
      - **TRU**
        - Unit of Texas Management: 170 - In Progress: 170 - 0
    - **Prior Year**
      - **TRU**
        - Telecommunications Compliance: 152 - In Progress: 152 - 0
    - **Prior Year**
      - **TRU**
        - Information Technology Controls Compliance: 322 - In Progress: 322 - 0

**TOTALS FOR AUDITS IN PROGRESS**

2,456 - 2,527 346 (12)

**UNPLANNED SPECIAL PROJECTS AND INVESTIGATIONS**

Total Hours Budgeted for Special Projects & Investigations: 4,259 (224)

**IN PROGRESS AT AUGUST 1, 2018**

- **None**

**BEGINN AFTER AUGUST 1, 2018**

- **BSC**
  - College of Engineering Scholarships
  - In Progress: 66 - 147

- **ALL**
  - Miscellaneous Indirect Projects: 100

**SPECIAL PROJECTS AND INVESTIGATIONS TOTALS**

4,256 - 224 346 (12)

**HIGHEST PRIORITY**

- **TRU**
  - LBF Revenue Growth
  - 450

- **TRU**
  - Office of Investments: 400

- **TRU**
  - Demanding and Procurement Processes: 292

- **TRU**
  - Financial Compliance of Grant Funds: 495

- **TRU**
  - Telecommunications Compliance: 170

- **TRU**
  - Information Technology Controls Compliance: 322

- **TRU**
  - Telcommunications Compliance: 152

- **TRU**
  - Information Technology Controls Compliance: 322

- **TRU**
  - Information Technology Controls Compliance: 322

- **HIGHEST PRIORITY TOTALS**

3,969 - 74 1,124 2,845

**MODERATE PRIORITY**

- **BSC**
  - Security Operations

- **BSC**
  - Office of Institutional Advancement: 150

- **BSC**
  - Office of Education: 150

- **BSC**
  - Interim Athletics: 150

- **BSC**
  - CS Operations: 150

- **BSC**
  - Office of Strategic Initiatives Revenue Cycle Unit: 150

- **BSC**
  - Central Business - Establishing Change Management: 150

- **BSC**
  - Food and Entertainment Expenses: 150

- **BSC**
  - PDSM Department Compliance: 150

- **BSC**
  - Debt Workflows: 150

- **BSC**
  - Central ERP Application Controls: 150

- **BSC**
  - OIT/ISM Department of Emergency Management: 150

- **BSC**
  - Housing & Residential Programs: 150

**MODERATE PRIORITY TOTALS**

4,355 - 120 966 3,389
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<th>BUDGET ADJUSTMENTS</th>
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<td>JU 2</td>
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<td>School of Music - Concert Hall</td>
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<td>JU 8</td>
<td>HSC 4</td>
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<td>JU 9</td>
<td>HSC 5</td>
<td>Chrome River System Post-implementation Review</td>
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**LOWER PRIORITY TOTALS**

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<tr>
<td>TTU 1</td>
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<td>TTU 8</td>
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<td>TTU 9</td>
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</table>

**CONSTRUCTION PROJECT TOTALS**

**OTHER VALUE-ADDED WORK**

| Total Hours Budgeted for Other Value-Added Work | 1,550 | 1,240 |
| Other | JU 1 | Continuous Monitoring Data Analysis | Ongoing |
| Other | JU 2 | Facilities Management | Ongoing |
| Other | JU 3 | Cash Handling and Control Environment Training | Ongoing |
| Other | JU 4 | New Employee Orientation | Ongoing |
| Other | JU 5 | Data Analysis Methodologies | Ongoing |
| Other | JU 6 | Enterprise Application Steering Committee, Center and Work Group | Ongoing |
| Other | JU 7 | Ethics Center Advisory Board | Ongoing |
| Other | JU 8 | Presidential Campaign Committee | Ongoing |
| Other | JU 9 | Institutional Compliance and ISM Committee | Ongoing |
| Other | JU 10 | Billing Compliance Advisory Committee | Ongoing |
| Other | JU 11 | Electronic Risk Management Committee | Ongoing |
| Other | JU 12 | Violence Prevention Committee | Ongoing |
| Other | JU 13 | Institutional Compliance Working Committee | Ongoing |
| Other | JU 14 | Conflict of Interest Committee | Ongoing |
| Other | JU 15 | Process Improvement Team | Ongoing |
| Other | JU 16 | Quality Assurance (Que) Reviewer, UNH Chapel Hill Govt. Data System | Ongoing |
| Other | JU 17 | Texas Tech Center for Social Change Board and Committees | Ongoing |
| Other | JU 18 | Professional Organizations (AICPA, TACUA, AICPA, TACUA, AICPA) | Ongoing |
| Other | JU 19 | Other Miscellaneous Projects | Ongoing |

**OTHER VALUE-ADDED WORK TOTALS**

| TOTAL ENGAGEMENT HOURS | 21,000 | 200 | 2,904 | 4,129 | 13,795 |

**KEY**

- TTU: Texas Tech University System and/or Indirect of multiple Texas Tech Institutions
- TTUSA: Texas Tech University System Administration
- TT: Texas Tech University
- HS: Texas Tech University Health Sciences Center
- A: Angelo State University
- HSSEP: Texas Tech University Health Sciences Center EOP
- N/A: Not applicable
- **Required** checks audits that are mandated by law, operating policies, standards, contracts, etc. will be performed based on timing of external deadlines.
- **Plan Time** indicates prior year plan that were in progress by August 1. Goal is to complete these early in the year.
- **Explained** special projects or investigations.
- **Emerging risks** that were deemed most critical for the risk assessment at August 1.
- **Emerging risks** that were deemed most critical for the risk assessment at August 1.
- **Emerging risks** that were deemed low critical per the risk assessment at August 1.
- **Emerging construction audits performed by independent CPA or consulting firms**
- **Other** includes committees, clients, development and instruction, professional organizations, etc.