
AGENDA

UNIVERSITY OF HOUSTON SYSTEM BOARD OF REGENTS MEETING

DATE: Thursday, February 23, 2023

TIME: 2:15 PM

PLACE: University of Houston Downtown
UHS Science & Technology Building
Fondren Commons, STB 118
315 N. Main Street
Houston, TX 77002

Chair: Durga D. Agrawal

Vice Chair: Beth Madison

Members: Alonzo Cantu
John A. McCall, Jr.
Ricky A. Raven
Derek M. Delgado – Non-voting
Tilman J. Fertitta, Ex Officio

I. Board of Regents Meeting

A. Call to Order

Presenter: Chairman Tilman J. Fertitta

B. Open Forum

Presenter: Chairman Tilman J. Fertitta

C. Approval of Minutes

- November 10, 2022 Special Called Teleconference Board of Regents Meeting
- December 1, 2022, Board of Regents Meeting
- December 1, 2022, Special Called Board of Regents Retreat Meeting

Action: Approval

Presenter: Chairman Tilman J. Fertitta

II. Board of Regents Items

- A. Presentation by University of Houston Faculty Senate President on "Faculty Salary 7 Issues" - University of Houston

Action: Information

Presenter: Dr. David Shattuck, President of the Faculty Senate

III. **Committee Reports Listing Consent Docket Items for Board Approval**

All action items considered and unanimously approved by the Endowment Management Committee, Item A; the Audit and Compliance Committee, Item B; the Academic and Student Success Committee, Item C; the Facilities, Construction and Master Planning Committee, Item D; and the Finance and Administration Committee, Item E, held on Thursday, February 23, 2023 are listed under each Committee Report as Consent Docket Agenda items requiring final Board approval unless otherwise noted. Pursuant to Board By-Law 6.9, any regent may request that an individual item be removed from the Consent Docket Agenda and be considered by the full Board.

A. **Endowment Management Committee Report - February 23, 2023**

Presenter: Chair Beth Madison

1. Approval is requested for the FY2023 University Advancement Endowment Assessment Rate 8

Action: Approval

Presenter: Raymond Bartlett, Senior Vice Chancellor for Administration and Finance

2. Approval is requested to modify the UH System Endowment Fund Statement of Investment Objectives and Policies 9

Action: Approval

Presenter: Raymond Bartlett, Senior Vice Chancellor for Administration and Finance

3. Annual review and approval of the UH System Investment Policy for Non-Endowed Funds 38

Action: Approval

Presenter: Raymond Bartlett, Senior Vice Chancellor for Administration and Finance

B. **Audit and Compliance Committee Report - February 23, 2023**

Presenter: Chair Jack B. Moore

1. Report on University of Houston System, Board of Regents' Policies on Internal Audit, Institutional Compliance, and Identity Theft Prevention 45

Action: Approval
Presenter: Phil Hurd, Chief Audit Executive

C. **Academic and Student Success Committee Report - February 23, 2023**

Presenter: Chair Durga Agrawal

1. Approval of a Bachelor of Science in Integrated Studies- University of Houston 53

Action: Approval
Presenter: Dr. Diane Chase, Senior Vice Chancellor for Academic Affairs and Provost

2. Approval of a Bachelor of Science in Atmospheric Science - University of Houston 57

Action: Approval
Presenter: Dr. Diane Chase, Senior Vice Chancellor for Academic Affairs and Provost

3. Approval of the merger of the Cullen College of Engineering and the College of Technology - University of Houston 61

Action: Approval
Presenter: Dr. Diane Chase, Senior Vice Chancellor for Academic Affairs and Provost

4. Approval of Mission and Vision Statements – UH System, University of Houston, University of Houston Clear Lake, and University of Houston Victoria 64

Action: Approval
Presenter: Dr. Diane Chase, Senior Vice Chancellor for Academic Programs and Provost

5. Approval of Faculty Post Tenure Review Policies – University of Houston Clear Lake, University of Houston Downtown, and University of Houston Victoria 67

Action: Approval
Presenter: Dr. Diane Chase, Senior Vice Chancellor of Academic Affairs and Provost

D. **Facilities, Construction and Master Planning Committee -February 23, 2023**

[No items were brought forward that would require further board approval]

Presenter: Chair Doug H. Brooks

E. **Finance and Administration Committee Report - February 23, 2023**

Presenter: Chair John McCall

1. Approval is requested to delegate authority to the Chancellor to negotiate and execute contracts exceeding \$1 million for the purchase of goods or services, excluding construction contracts, at the University of Houston System 88

Action: Approval

Presenter: Raymond Bartlett, Senior Vice Chancellor for Administration and Finance

2. Approval is requested to delegate authority to the Chancellor to negotiate and execute construction contracts exceeding \$1 million for projects at the University of Houston System 91

Action: Approval

Presenter: Raymond Bartlett, Senior Vice Chancellor for Administration and Finance

3. Approval is requested to establish textbook access fees for the University of Houston System institutions. 93

Action: Approval

Presenter: Raymond Bartlett, Senior Vice Chancellor for Administration and Finance

4. Approval is requested to write off Accounts and Notes Receivable for FY202295

Action: Approval

Presenter: Raymond Bartlett, Senior Vice Chancellor for Administration and Finance

5. Approval is requested to delegate authority to the Chancellor to negotiate and execute insurance policies for Fiscal Year 2023-2024. 97

Action: Approval

Presenter: Raymond Bartlett, Senior Vice Chancellor for Administration and Finance

6. Approval is requested for the University of Houston System self-insurance fund 101

Action: Approval

Presenter: Raymond Bartlett, Senior Vice Chancellor for Administration and Finance

7. Approval is requested for the University of Houston System
FY2024 Holiday Schedule. 104

Action: Approval

*Presenter: Raymond Bartlett, Senior Vice Chancellor for
Administration and Finance*

IV. **Committee Report Item(s) not Addressed in the Consent Docket but requiring Final Board Approval**

[No items were brought forward from the Committees requiring final Board approval]

Presenter: Chairman Tilman J. Fertitta

V. **Board of Regents Items (cont'd)**

- A. Approval is requested for the appointment of Senior Vice Chancellor for
Academic Affairs/Senior Vice President for Academic Affairs and Provost at
the University of Houston System/University of Houston 106

Action: Approval

Presenter: Chancellor Renu Khator

- B. Legislative Update– University of Houston System 120

Action: Approval

Presenter: Jason Smith, Vice Chancellor for Governmental Relations

VI. **Chancellor's Report: System Profile and Accomplishments**

Presenter: Chancellor Renu Khator

VII. **Executive Session**

Presenter: Chairman Tilman J. Fertitta

- A. 1. Consultation with System Attorney Regarding Legal Matters and/or
Contemplated Litigation or Settlement Offers
TEXAS GOV'T CODE SECTION 551.071
- Pre-litigation and Litigation Status Update
- Other pending legal and contract matters, potential legal claims, updates, discussion and advice from General Counsel
2. Deliberations regarding the Purchase, Exchange, Sale or Value of Real Property
TEXAS GOV'T CODE SECTION 551.072
- Real Estate Matters
3. Deliberation Regarding a Prospective Gift
TEXAS GOV'T CODE SECTION 551.073
4. Personnel Matters Relating to Appointment, Employment, Evaluation,
Assignment, Duties, Discipline, or Dismissal of Officers or Employees including
but not limited to the Chancellor, Presidents, Vice Chancellors, in the Division of

Athletics and members of the Board of Regents
TEXAS GOV'T CODE SECTION 551.074

5. Confidentiality of government information related to security or infrastructure
issues for computers

TEXAS GOV'T CODE SECTION 552.139

VIII. **Report and Action from Executive Session**

Presenter: Chairman Tilman J. Fertitta

IX. **Adjourn**

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

ITEM: Presentation by University of Houston Faculty Senate President on “Faculty Salary Issues”

DATE PREVIOUSLY SUBMITTED: N/A

SUMMARY:

Dr. David Shattuck, Faculty Senate President for the University of Houston will give remarks to the Board on “Faculty Salary Issues.”

SUPPORTING DOCUMENTATION: None

FISCAL NOTE: None

**RECOMMENDATION/
ACTION REQUESTED:** Information

COMPONENT: University of Houston



CHANCELLOR Renu Khator

2/16/23

DATE

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Endowment Management Committee

ITEM: Approval is requested for the FY2023 University Advancement Endowment Assessment Rate

DATE PREVIOUSLY SUBMITTED: February 24, 2022

SUMMARY:

Approval is requested to assess System endowments at a rate of 1.1% for the fiscal year ending 2023 (spendable in FY2024) to fund administrative costs and fundraising activities. This represents a reduction from the prior year rate of 1.2%. University Advancement's operational budget, which is partially supported by the assessment, will not be reduced because of this decrease as the budget was capped at the amount of the FY2022 rate. This helps provide stability in University Advancement's budget. Any excess calculated fee amount above the capped threshold will be placed in reserve to offset potential fluctuations in the fee in future years due to market fluctuations. The plan is to reduce the assessment rate to 1.0% by fiscal year 2025.

SUPPORTING DOCUMENTATION: None

FISCAL NOTE: Estimated \$7.9 million

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item

COMPONENT: University of Houston System



SENIOR VICE CHANCELLOR

Raymond S. Bartlett



DATE



CHANCELLOR

Renu Khator



DATE

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Endowment Management Committee

ITEM: Approval is requested to modify the UH System Endowment Fund Statement of Objectives and Policies.

DATE PREVIOUSLY SUBMITTED: February 24, 2022

SUMMARY:

Mr. Raymond Bartlett will discuss with the Committee recommended changes to the UH System Endowment Fund Statement of Objectives and Policies. The changes include a modification to the University Advancement Assessment rate and a modification to the allowable range for investment in Private equity.

SUPPORTING

DOCUMENTATION: UH System Endowment Fund Statement of Investment Objectives and Policies – redlined and clean copy

FISCAL NOTE: None

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item

COMPONENT: University of Houston System



SENIOR VICE CHANCELLOR

Raymond S. Bartlett



DATE



CHANCELLOR

Renu Khator



DATE

UNIVERSITY OF HOUSTON SYSTEM ENDOWMENT FUND
STATEMENT OF INVESTMENT OBJECTIVES AND POLICIES
Approved by the Board of Regents

February ~~23~~⁴, 202~~3~~²

PREFACE

The University of Houston System Board of Regents is charged with the fiduciary responsibility for preserving and augmenting the value of the endowment, thereby sustaining its ability to generate support for both current and future generations of students. As part of a commitment to long-range financial equilibrium, the Regents have adopted the broad objective of investing endowment assets so as to preserve both their real value and the long-range purchasing power of endowment income so as to keep pace with inflation and evolving university needs, while generally performing above the average of the markets in which the assets are invested. Pursuant to Board Bylaw, the Endowment Management Committee has been established as a standing committee to assist the Board in fulfilling its fiduciary responsibilities.

To achieve its investment objectives the University of Houston System retains independent investment managers each of whom plays a part in meeting the System's goals over a variety of capital market cycles. The Endowment Management Committee shall:

- a) Review and recommend to the Board changes to investment policies;
- b) Review and recommend to the Board the university advancement assessment rate;
- c) Review and recommend to the Board asset allocation long-term targets and ranges;
- d) Review and recommend to the Board external investment consultants;
- e) Monitor, evaluate, hire or terminate external investment managers;
- f) Establish investment manager guidelines;
- g) Monitor the actual allocation of assets through additions and withdrawals of funds among managers and investment media to conform to the long-term targets insofar as practical; and
- h) Oversee the results of the independent managers and report periodically to the Board and the university community.

FORWARD

This policy is intended to be ongoing until the next review is completed. Comprehensive reviews are to be completed every five years.

In addition to complying with the duty of loyalty imposed by Texas state law, each person responsible for making or retaining each and all investments and in acquiring, investing, reinvesting, exchanging, retaining, selling, supervising and managing System funds shall do so in good faith and with the care an ordinarily prudent person in a like position would exercise under similar circumstances. It is the general practice of the University of Houston System to pool endowment resources. For investment purposes however, the assets are

managed in separate endowment fund accounts. The following statement sets out explicit policies for the pooled endowment but would apply to non-pooled holdings as well. The Regents seek superior investment returns through professional management without assuming imprudent risks. In managing and investing the System's endowment assets, the following factors, if relevant, must be considered:

- a) general economic/capital market conditions;
- b) the possible effect of inflation or deflation;
- c) the expected tax consequences, if any, of investment decisions or strategies;
- d) the role that each investment or course of action plays within the overall investment portfolio;
- e) the expected return based on levels of liquidity and investment risk that are prudent and reasonable under present circumstances, and such circumstances may change over time;
- f) the expected total return from income and the appreciation of investments;
- g) other resources of the institution;
- h) the needs of the institution and the fund to make distributions and to preserve capital; and
- i) an asset's special relationship or special value, if any, to the charitable purposes of the institution.

Management and investment decisions about an individual asset must be made not in isolation but rather in the context of the System endowment's portfolio of investments as a whole and as part of an overall investment strategy having risk and return objectives reasonably aligned with the endowment fund's stated goals and objectives.

FINANCIAL OBJECTIVES

The primary long-term financial objective for the University endowment is to preserve and enhance the real (inflation-adjusted) purchasing power of endowment assets and income after accounting for endowment spending, inflation, and costs of portfolio management. Costs to manage and administer the endowment assets should be appropriate and reasonable in relation to the assets, the purposes of the endowment, and the skills of investment consultant(s) and investment manager(s) to whom investment management functions are delegated. Performance of the overall endowment against this objective is measured over rolling periods of five years.

INVESTMENT OBJECTIVES

In order to meet the financial objective stated above, the primary long-term investment objective of the endowment is to earn a total rate of return that exceeds the spending rate plus university advancement assessment fee, if any, plus the costs of managing the investment fund, and expressed in real (or inflation-adjusted) terms. Given the current System spending rate of 5.13% (which includes 4% payout and 1.31% university advancement assessment effective FY), the objective of this fund will be to earn a real (inflation adjusted) return of 5.3%1 when measured over rolling periods of at least five years.

It is also understood that due to market conditions there may be five-year periods where this objective is exceeded and purchasing power is enhanced, as well as five-year periods where the objective is not met and purchasing power is diminished. The medium-term objective for the endowment is to outperform each of the capital markets in which assets are invested, measured over rolling periods of three to five years or complete market cycles, with emphasis on whichever measure is longer. In addition, the performance of the overall endowment is expected to be consistently in at least the second quartile of the university's peer group, as measured by the NACUBO Study of Endowments over rolling five-year time periods, as well as comparison annually to a peer group provided by an outside advisor. Thus, the Endowment Management Committee is responsible for allocating assets to segments of the market and to managers who will provide superior performance when compared with both the median performance of other educational endowments and with capital markets generally.

Finally, the total return of the University's investment portfolio should be evaluated against the return of a composite index consisting of appropriate benchmarks weighted according to the Endowment Management Committee's asset allocation targets.

INVESTMENT MANAGERS

In accordance with Board policy, hiring of investment consultants requires approval of the Board. Hiring of investment managers requires Endowment Management Committee approval except, when on the recommendation of the committee staff and the investment consultant, the chair of the Endowment Management Committee and the chair of the Finance and Administration Committee jointly determine that time is of the essence and immediate action in lieu of a called committee meeting is necessary to hire or terminate an investment manager, the recommended change can then be made. The chair of the Endowment Management Committee will have the staff immediately report any such action taken to the members of the Endowment Management Committee and the Chairman of the Board of Regents after such action is taken.

Managers of marketable securities are expected to produce a cumulative annualized total return net of fees and commissions that exceeds an appropriate benchmark index over moving three to five-year periods, and should be above a median for active investment managers using similar investment philosophies over the same time periods. At their discretion, managers may hold cash reserves and fixed income securities up to 25% of portfolio market value with the understanding that their benchmark will not be adjusted to reflect cash holdings. Managers who wish to exceed these limits should secure prior approval from the Treasurer. The Treasurer, in turn, shall seek approval from the Senior Vice Chancellor for Administration and Finance or designee.

ENDOWMENT PAYOUT POLICY

The Regents of the University of Houston System have established an endowment payout policy which attempts to balance the long-term objective of maintaining the purchasing power of the endowment with the goal of providing a reasonable, predictable, stable, and sustainable level of income to support current needs. Payout is derived from interest, dividends and realized gains, net of portfolio management fees. The historical rate of payout has been 4 to 5 percent. Going forward, the endowment will maintain a payout rate of approximately 4% to 5%, with any change to this range to be approved by the Board. The payout rate will be based as a percentage of the fiscal year end market value average over rolling twelve quarter periods. If an endowment has been in existence less than twelve quarters, the average will be based on the number of quarters in existence.

UNIVERSITY ADVANCEMENT ASSESSMENT

The System will annually assess a reasonable fee against the earnings of specified endowment funds to offset expenses associated with gift acquisition and fundraising at the component universities. The Board shall annually review and approve the fee. The fee will be based as a percentage of the fiscal year end market value averaged over rolling twelve quarter periods. If an endowment has been in existence less than twelve quarters, the average will be based on the number of quarters in existence.

APPROPRIATION FOR EXPENDITURE

The endowment payout and the University Advancement Assessment fee constitute the appropriation for annual expenditure. In making a determination to appropriate or accumulate, the institution shall act in good faith, with the care that an ordinarily prudent person in a like position would exercise under similar circumstances, and shall consider, if relevant, the following factors:

- a) the duration and preservation of the endowment fund;
- b) the purposes of the institution and the endowment fund;
- c) general economic conditions;
- d) the possible effect of inflation or deflation;
- e) the expected total return from income and the appreciation of investments;
- f) other resources of the institution; and
- g) the investment policy of the institution.

Generally, pursuant to the Uniform Prudent Management of Institutional Funds Act, Chapter 163, Texas Property Code, as amended, subject to the intent of a donor in a gift instrument, the Board of Regents may appropriate for expenditure or accumulate so much of the endowment as it determines is prudent for the uses, benefits, purposes, and duration for which the endowment is established. Notwithstanding the preceding sentence, the Board of Regents may not appropriate for expenditure in any year an amount greater than nine percent (9%) of the endowment, calculated on the basis of market values determined at least quarterly and averaged over a period of not less than three years immediately

preceding the year in which the appropriation for expenditure was made, so long as the fair market value of the endowment fund is at least \$450 million, otherwise the limit on the appropriation for expenditure in any year is 7%.

EXPENDITURE FROM UNDERWATER ENDOWMENTS

The Board, in managing and investing endowment assets, shall consider the charitable purposes of the institution and the purposes of the endowment fund. Subject to the intent of a donor expressed in an endowment gift instrument, the appropriation for expenditure from an endowment that is underwater in any year shall decrease incrementally and is eventually suspended when the market value of the endowment drops to a designated percentage of the endowment’s historical dollar value. Historical dollar value (HDV) is the aggregate value of contributions made to an endowment over time without regard to increases or decreases because of investment results. The declining spending rate from endowments that are underwater, and not otherwise expressly prohibited by a donor, is as follows:

Fund Value as a Percent of HDV	Spending rate
90 – 99.9%	75% of normal spending rate
80 – 89.9%	50% of normal spending rate
<80.0%	Suspend distributions

ASSET SELECTION AND ALLOCATION

It is understood that return enhancement assets (or equities), including both public and private equities, are to be the dominant asset class in the Endowment due to the superior long-term return offered by such assets. As such, equity assets may be thought of as the drivers of long-term Endowment return.

Although the long-term return from equity assets is superior, they have three primary drawbacks that must be addressed by investing in diversifying growth and risk reduction assets. The first is that periods of prolonged economic contraction (deflation) can be catastrophic. Although such periods are rare, the results of such periods are severe enough to warrant holding a portion of the Endowment in assets that are likely to retain value or appreciate in value during such periods. The goal of such holdings would be to provide liquidity to the Endowment and a measure of protection from market drawdowns.

The second drawback to an overreliance on return enhancement assets is the effects of an unexpected rise in the rate of inflation. Such rises have traditionally been problematic for most types of equity assets, and given the System’s stated goal of preserving purchasing power by achieving an attractive inflation adjusted return, some portion of the Endowment may be invested in assets that will appreciate in value during periods of unexpected inflation.

Lastly, equity assets are subject to greater degrees of risk. Risk takes many forms and is usually thought of in terms of volatility of investment returns. Volatile investment returns translate into a level of support for the System's programs that (even with the smoothing effect of the rolling three-year average market value payout rule) is variable over time. In order to control this variability to a tolerable level, some allocation to diversified growth assets that produce attractive returns, but in a more absolute (or less variable) pattern, may be warranted. It is understood that such absolute return assets will often return less than equity assets, but should provide some degree of volatility mitigation over the course of a market cycle.

After providing for the three broad categories noted above, the remainder of the Endowment should be invested in equity assets, broadly defined and broadly diversified. Broad diversification is required not only to further smooth the pattern of returns, but to protect the endowment from the risks associated with undue concentration in any one type of equity asset. Although other forms of diversification may be considered, it is understood that the Endowment's equity assets will be diversified by style (growth versus value), geography (domestic versus foreign), and market capitalization (large-cap versus small).

Current policy targets and ranges for the Endowment can be found in Appendix A.

ALTERNATIVE INVESTMENT RISKS

For the purposes of this section, "alternative investments" refers to investments in Private Equity, Private Debt, and Private Real Assets, as well as other investment types employing leverage, short sales, or illiquidity. The investments are made in the Endowment in order to improve diversification, reduce overall volatility, and enhance return. However, the Endowment Management Committee recognizes that these investments also present additional risks beyond those posed by investments in traditional marketable securities such as stocks and bonds. Among these risks are:

1. *Liquidity Risk*: most alternative investments impose restrictions on redemptions or require multi-year locks.
 - a. This risk is mitigated by imposing restrictions on the amount of the Endowment that may be allocated to alternative investments as detailed

- above. In addition, the Endowment Management Committee will review at least annually the level of portfolio liquidity across all asset classes in order to ensure that there is sufficient liquidity to meet all obligations.
2. *Non-regulation risk:* Historically, alternative managers have been exempt from registration with the SEC, which has allowed them to employ strategies (such as short sales and use of leverage) forbidden by most traditional investment managers, as well as to avoid disclosing specific details of their investment practices or portfolio holdings.
 - a. With the passage of the Dodd-Frank Act of 2010, almost all alternative investment managers will be required to register with the SEC under the Investment Advisers Act of 1940. This Act will require registered managers to file documents with the SEC and for public record describing the nature of the business, fees charged, types of clients, and details on compliance policies. It will also provide to investors a greater level of detail into portfolio strategy and investment.
 - b. Venture capital managers will, however, remain exempt from the Investment Advisers Act and will therefore remain unregistered with the SEC.
 - i. This risk will be mitigated by performing detailed due diligence on these managers and monitoring them regularly as described below, as well as by diversifying manager risk through multiple direct and fund-of-fund investments.
 3. *Transparency Risk:* alternative managers are not required to disclose portfolio holding details to the same extent that traditional marketable managers are, and are often reluctant to do so in order to preserve their perceived advantage over other investors.
 - a. This risk will be mitigated somewhat by the Dodd-Frank Act and the increased transparency provided by the requirement to file Form ADV with the SEC. Beyond that, however, the Endowment Management Committee, staff, and any outside advisors shall emphasize those managers who will provide at least the following level of detail into their investment portfolios:
 - i. Number of short and long positions
 - ii. The use of leverage
 - iii. Net market exposure
 4. *Investment Strategy Risk:* alternatives often employ sophisticated and potentially riskier strategies, and may use leverage.
 - a. This risk will be mitigated by intensive due diligence and monitoring of potential alternative managers described below. An emphasis will be placed on those managers who have extensive experience in employing these strategies, a demonstrated ability to consistently employ them effectively, and an established track record of superior performance.
 5. *Foreign Currency Risk:* changes in exchange rates could adversely affect fair value of the Endowment Fund.
 - a. The Endowment Management Committee recognizes that exposure to foreign currency acts as a hedge against a declining or collapsing dollar. In this way, such investments help to reduce risk in the portfolio. However,

the Committee will review the level of exposure to foreign currencies periodically in order to ensure that there are no unintended risks in the portfolio.

The following principles shall guide the selection of alternative investment managers:

- Diversify across managers to mitigate systematic and organizational risk, but avoid over-diversification.
- Diversify by strategy and geography to decrease correlations within the program.
- Emphasize qualitative evaluation of managers, as a manager's quantitative characteristics may change over time and in different market conditions.
- Discourage the use of significant leverage, and emphasize managers with a demonstrated skill in generating returns on assets as opposed to returns on equity.
- Avoid strategies that are trading oriented, highly complex, or quantitatively driven.

In addition, the investment manager due diligence process shall include the following functions, to be performed by some combination of outside consultants/advisors and internal staff:

- Background checks
 - o Reference checks
 - o News searches
 - o Industry consultation
- Review of vendor relationships
 - o Prime brokers
 - o Auditors
 - o Fund administrators
 - o Legal counsel
- Operational review
 - o On site visits
 - o Procedural
 - o Organizational

Monitoring of the overall program-level and manager-level exposures and investment results shall be administered in accordance with the following schedule by some combination of outside consultants/advisors and internal staff:

Monthly (For Long/Short Equity and Absolute Return Managers)

- Reports of performance and asset allocation.
- Proactive contact with investment managers whose performance falls outside of the expected range.

Quarterly or Semi-Annually

- Calls with investment managers.
- For long/short equity and absolute return managers, detailed performance reports and analysis providing information such as top long positions, net and gross exposures, exposure by strategy and geography, and organizational changes.

Annually

- Diligence meetings with managers and attendance at annual meetings.

The Endowment Management Committee reviews and recommends to the Board the above asset allocation long-term targets and ranges, and the actual allocation of assets will be adjusted through additions and withdrawals of funds among managers and investment media to conform to these targets insofar as practical.

REBALANCING

The Committee recognizes the importance of periodically rebalancing the Endowment's asset allocation, namely to ensure that variation in returns among assets do not create outsized deviations from target allocations that cause Endowment performance to diverge from expected policy performance. To the extent possible, and in order to control transaction costs, the Endowment will utilize naturally occurring cash movement opportunities to rebalance the Endowment portfolio. Such naturally occurring opportunities include:

- The sourcing of cash for spending needs (withdrawals)
- The infusion of cash (contributions) into the existing portfolio
- Manager changes (partial or complete subscriptions or redemptions)
- Other cash transactions (i.e., dividends, interest income, return on capital, etc.)

In recognition that market action may force portfolio allocations outside of their allowable ranges in between Endowment Management Committee meetings, authority is delegated to the Treasurer to rebalance the portfolio in order to bring it back into compliance with the Investment Policy. More generally, the Treasurer, in conjunction with the investment consultant, will closely monitor asset allocation, and will periodically rebalance the portfolio, within allowable ranges, in light of major market movements or material changes in relative asset class valuations, in an effort to control risk and enhance long-term return. Further, with the assistance of the investment consultant, the Treasurer may rebalance up to 2.0% of the Endowment Fund intra-meeting to raise cash for meeting capital calls as well as to invest any cash inflows into the Endowment based on portfolio targets. Any rebalancing must occur across previously approved managers already held within the portfolio.

Any rebalancing actions taken by the Treasurer and investment consultant shall be communicated to the Chair of the Endowment Management Committee and to the Committee by the Senior Vice Chancellor for Administration and Finance or designee in a timely manner, but in any case no later than the next Committee meeting.

The objective of this rebalancing policy is to improve the compound return of the portfolio and to ensure that it is invested in accordance with long-term asset allocation targets. It is not the intention of this policy to force the University to take any action that may endanger the safety or impair the long-term return of the portfolio simply in order to remain in compliance with allowable ranges.

A clear illustration of such a scenario might be a market correction that reduces the value of the portfolio's marketable assets to an extent that forces the private investment allocation (the valuations of which lag those of marketable securities) beyond the allowable limits prescribed above. In order to stay in compliance in such a scenario, the University may be forced to sell interests in its private investment portfolio on the secondary market at a loss, impairing the overall Endowment's ability to recover from a correction of that magnitude.

Therefore, in the event of market action that forces any allocation outside its allowable ranges, the chair of the Endowment Management Committee, in conjunction with the Board chair, with the advice of staff and investment consultant, may temporarily waive the allocation limits imposed above if it is determined that remaining in compliance may cause harm to the long-term return potential of the endowment.

INVESTMENT MANAGEMENT

The endowment of the System will be managed primarily by external investment management organizations. Investment managers have discretion to manage the assets in each portfolio to best achieve the investment objectives, within the policies and requirements set forth in this statement, the investment manager agreement with the System including the guidelines for each investment manager, and subject to the usual standards of fiduciary prudence.

Each active investment manager with whom the System has a separate account will be provided with written statements of investment objectives and guidelines as part of the investment management contract that will govern his or her portfolio. These objectives shall describe the role the investment manager is expected to play within the manager structure, the objectives and comparative benchmarks that will be used to evaluate performance, and the allowable securities that can be used to achieve these objectives. Each manager will report performance quarterly, and if applicable monthly, consistent with these objectives.. These statements will be consistent with the Statement of Investment Objectives and Policies for the overall endowment as set forth herein. Investment managers will be provided with a copy of the Statement of Investment Objectives and Policies.

Additionally, each manager will be expected to use best efforts to realize the best execution price when trading securities, and the settlement of all transactions (except investment pool funds and mutual funds) shall be done on a delivery versus payment basis.

SECURITIES LENDING

Securities owned by the endowment but held in custody by the endowment custodian may be lent to other parties through a contract between the University of Houston System and the custodian pursuant to a written agreement approved by the Board of Regents. Managers may not enter into securities lending agreements without the consent of the Board of Regents. The System recognizes, however, that, for those investments placed in

commingled vehicles, the Board cannot dictate whether or not the manager will engage in securities lending. Therefore, System and its investment consultant shall make every effort to limit investment to those managers who will not engage in securities lending. The limited partnerships of marketable and non-marketable alternative investments are excluded from this limitation.

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REVIEW PROCEDURES

A. Performance Measurement

The Endowment Management Committee will review quarterly the performance of the endowment and each investment manager's portfolio relative to the objectives and guidelines described herein. The investment performance review will include comparisons with unmanaged market indices. A time-weighted return formula (that minimizes the effect of contributions and withdrawals) will be utilized for the overall endowment, although it is understood that individual managers may be evaluated using a dollar-weighted methodology, where appropriate.

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The Endowment Management Committee shall review this Policy at least once a year to determine if modifications are necessary or desirable. If substantive modifications are made, they shall be promptly communicated to responsible parties.

APPENDIX A

Current Policy Targets, Ranges, and Benchmarks

Asset Class	LT Target	Range	Benchmark
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<i>Non-U.S. Developed Markets Equity</i>	15%	5% to 19%	MSCI EAFE
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<i>Private Equity</i> ¹	22%	17% to 32 27%	C A Global All PE (Qtr Lag)
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<i>Private Real Assets</i> ²	6%	3% to 9%	C A Global Real Assets w/ RE (Qtr Lag)
Marketable Real Assets	3%	1% to 7%	25% Barclays US TIPS /25% MSCI World Natural Resources /25% MSCI U.S. REIT /25% Bloomberg Commodity TR
Diversifying Growth Assets	5%	0% to 10%	
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¹ Private Equity: Managers to be considered for inclusion in this category include private equity and other related partnership funds with similar return objectives subject to multi-year lock-ups. Unfunded commitments plus NAV of Private Equity investments should not exceed 45% of the Endowment. If this limit is reached, it will be evaluated by the Board to determine if the limit remains appropriate.

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UNIVERSITY OF HOUSTON SYSTEM ENDOWMENT FUND
STATEMENT OF INVESTMENT OBJECTIVES AND POLICIES
Approved by the Board of Regents

February 23, 2023

PREFACE

The University of Houston System Board of Regents is charged with the fiduciary responsibility for preserving and augmenting the value of the endowment, thereby sustaining its ability to generate support for both current and future generations of students. As part of a commitment to long-range financial equilibrium, the Regents have adopted the broad objective of investing endowment assets so as to preserve both their real value and the long-range purchasing power of endowment income so as to keep pace with inflation and evolving university needs, while generally performing above the average of the markets in which the assets are invested. Pursuant to Board Bylaw, the Endowment Management Committee has been established as a standing committee to assist the Board in fulfilling its fiduciary responsibilities.

To achieve its investment objectives the University of Houston System retains independent investment managers each of whom plays a part in meeting the System's goals over a variety of capital market cycles. The Endowment Management Committee shall:

- a) Review and recommend to the Board changes to investment policies;
- b) Review and recommend to the Board the university advancement assessment rate;
- c) Review and recommend to the Board asset allocation long-term targets and ranges;
- d) Review and recommend to the Board external investment consultants;
- e) Monitor, evaluate, hire or terminate external investment managers;
- f) Establish investment manager guidelines;
- g) Monitor the actual allocation of assets through additions and withdrawals of funds among managers and investment media to conform to the long-term targets insofar as practical; and
- h) Oversee the results of the independent managers and report periodically to the Board and the university community.

FORWARD

This policy is intended to be ongoing until the next review is completed. Comprehensive reviews are to be completed every five years.

In addition to complying with the duty of loyalty imposed by Texas state law, each person responsible for making or retaining each and all investments and in acquiring, investing, reinvesting, exchanging, retaining, selling, supervising and managing System funds shall do so in good faith and with the care an ordinarily prudent person in a like position would exercise under similar circumstances. It is the general practice of the University of Houston System to pool endowment resources. For investment purposes however, the assets are

managed in separate endowment fund accounts. The following statement sets out explicit policies for the pooled endowment but would apply to non-pooled holdings as well. The Regents seek superior investment returns through professional management without assuming imprudent risks. In managing and investing the System's endowment assets, the following factors, if relevant, must be considered:

- a) general economic/capital market conditions;
- b) the possible effect of inflation or deflation;
- c) the expected tax consequences, if any, of investment decisions or strategies;
- d) the role that each investment or course of action plays within the overall investment portfolio;
- e) the expected return based on levels of liquidity and investment risk that are prudent and reasonable under present circumstances, and such circumstances may change over time;
- f) the expected total return from income and the appreciation of investments;
- g) other resources of the institution;
- h) the needs of the institution and the fund to make distributions and to preserve capital; and
- i) an asset's special relationship or special value, if any, to the charitable purposes of the institution.

Management and investment decisions about an individual asset must be made not in isolation but rather in the context of the System endowment's portfolio of investments as a whole and as part of an overall investment strategy having risk and return objectives reasonably aligned with the endowment fund's stated goals and objectives.

FINANCIAL OBJECTIVES

The primary long-term financial objective for the University endowment is to preserve and enhance the real (inflation-adjusted) purchasing power of endowment assets and income after accounting for endowment spending, inflation, and costs of portfolio management. Costs to manage and administer the endowment assets should be appropriate and reasonable in relation to the assets, the purposes of the endowment, and the skills of investment consultant(s) and investment manager(s) to whom investment management functions are delegated. Performance of the overall endowment against this objective is measured over rolling periods of five years.

INVESTMENT OBJECTIVES

In order to meet the financial objective stated above, the primary long-term investment objective of the endowment is to earn a total rate of return that exceeds the spending rate plus university advancement assessment fee, if any, plus the costs of managing the investment fund, and expressed in real (or inflation-adjusted) terms. Given the current System spending rate of 5.1% (which includes 4% payout and 1.1% university advancement assessment effective FY), the objective of this fund will be to earn a real (inflation adjusted) return of 5.31 when measured over rolling periods of at least five years. It is also understood

that due to market conditions there may be five-year periods where this objective is exceeded and purchasing power is enhanced, as well as five-year periods where the objective is not met and purchasing power is diminished. The medium-term objective for the endowment is to outperform each of the capital markets in which assets are invested, measured over rolling periods of three to five years or complete market cycles, with emphasis on whichever measure is longer. In addition, the performance of the overall endowment is expected to be consistently in at least the second quartile of the university's peer group, as measured by the NACUBO Study of Endowments over rolling five-year time periods, as well as comparison annually to a peer group provided by an outside advisor. Thus, the Endowment Management Committee is responsible for allocating assets to segments of the market and to managers who will provide superior performance when compared with both the median performance of other educational endowments and with capital markets generally.

Finally, the total return of the University's investment portfolio should be evaluated against the return of a composite index consisting of appropriate benchmarks weighted according to the Endowment Management Committee's asset allocation targets.

INVESTMENT MANAGERS

In accordance with Board policy, hiring of investment consultants requires approval of the Board. Hiring of investment managers requires Endowment Management Committee approval except, when on the recommendation of the committee staff and the investment consultant, the chair of the Endowment Management Committee and the chair of the Finance and Administration Committee jointly determine that time is of the essence and immediate action in lieu of a called committee meeting is necessary to hire or terminate an investment manager, the recommended change can then be made. The chair of the Endowment Management Committee will have the staff immediately report any such action taken to the members of the Endowment Management Committee and the Chairman of the Board of Regents after such action is taken.

Managers of marketable securities are expected to produce a cumulative annualized total return net of fees and commissions that exceeds an appropriate benchmark index over moving three to five-year periods, and should be above a median for active investment managers using similar investment philosophies over the same time periods. At their discretion, managers may hold cash reserves and fixed income securities up to 25% of portfolio market value with the understanding that their benchmark will not be adjusted to reflect cash holdings. Managers who wish to exceed these limits should secure prior approval from the Treasurer. The Treasurer, in turn, shall seek approval from the Senior Vice Chancellor for Administration and Finance or designee.

ENDOWMENT PAYOUT POLICY

The Regents of the University of Houston System have established an endowment payout policy which attempts to balance the long-term objective of maintaining the purchasing power of the endowment with the goal of providing a reasonable, predictable, stable, and sustainable level of income to support current needs. Payout is derived from interest, dividends and realized gains, net of portfolio management fees. The historical rate of payout has been 4 to 5 percent. Going forward, the endowment will maintain a payout rate of approximately 4% to 5%, with any change to this range to be approved by the Board. The payout rate will be based as a percentage of the fiscal year end market value average over rolling twelve quarter periods. If an endowment has been in existence less than twelve quarters, the average will be based on the number of quarters in existence.

UNIVERSITY ADVANCEMENT ASSESSMENT

The System will annually assess a reasonable fee against the earnings of specified endowment funds to offset expenses associated with gift acquisition and fundraising at the component universities. The Board shall annually review and approve the fee. The fee will be based as a percentage of the fiscal year end market value averaged over rolling twelve quarter periods. If an endowment has been in existence less than twelve quarters, the average will be based on the number of quarters in existence.

APPROPRIATION FOR EXPENDITURE

The endowment payout and the University Advancement Assessment fee constitute the appropriation for annual expenditure. In making a determination to appropriate or accumulate, the institution shall act in good faith, with the care that an ordinarily prudent person in a like position would exercise under similar circumstances, and shall consider, if relevant, the following factors:

- a) the duration and preservation of the endowment fund;
- b) the purposes of the institution and the endowment fund;
- c) general economic conditions;
- d) the possible effect of inflation or deflation;
- e) the expected total return from income and the appreciation of investments;
- f) other resources of the institution; and
- g) the investment policy of the institution.

Generally, pursuant to the Uniform Prudent Management of Institutional Funds Act, Chapter 163, Texas Property Code, as amended, subject to the intent of a donor in a gift instrument, the Board of Regents may appropriate for expenditure or accumulate so much of the endowment as it determines is prudent for the uses, benefits, purposes, and duration for which the endowment is established. Notwithstanding the preceding sentence, the Board of Regents may not appropriate for expenditure in any year an amount greater than nine percent (9%) of the endowment, calculated on the basis of market values determined at least quarterly and averaged over a period of not less than three years immediately

preceding the year in which the appropriation for expenditure was made, so long as the fair market value of the endowment fund is at least \$450 million, otherwise the limit on the appropriation for expenditure in any year is 7%.

EXPENDITURE FROM UNDERWATER ENDOWMENTS

The Board, in managing and investing endowment assets, shall consider the charitable purposes of the institution and the purposes of the endowment fund. Subject to the intent of a donor expressed in an endowment gift instrument, the appropriation for expenditure from an endowment that is underwater in any year shall decrease incrementally and is eventually suspended when the market value of the endowment drops to a designated percentage of the endowment’s historical dollar value. Historical dollar value (HDV) is the aggregate value of contributions made to an endowment over time without regard to increases or decreases because of investment results. The declining spending rate from endowments that are underwater, and not otherwise expressly prohibited by a donor, is as follows:

Fund Value as a Percent of HDV	Spending rate
90 – 99.9%	75% of normal spending rate
80 – 89.9%	50% of normal spending rate
<80.0%	Suspend distributions

ASSET SELECTION AND ALLOCATION

It is understood that return enhancement assets (or equities), including both public and private equities, are to be the dominant asset class in the Endowment due to the superior long-term return offered by such assets. As such, equity assets may be thought of as the drivers of long-term Endowment return.

Although the long-term return from equity assets is superior, they have three primary drawbacks that must be addressed by investing in diversifying growth and risk reduction assets. The first is that periods of prolonged economic contraction (deflation) can be catastrophic. Although such periods are rare, the results of such periods are severe enough to warrant holding a portion of the Endowment in assets that are likely to retain value or appreciate in value during such periods. The goal of such holdings would be to provide liquidity to the Endowment and a measure of protection from market drawdowns.

The second drawback to an overreliance on return enhancement assets is the effects of an unexpected rise in the rate of inflation. Such rises have traditionally been problematic for most types of equity assets, and given the System’s stated goal of preserving purchasing power by achieving an attractive inflation adjusted return, some portion of the Endowment may be invested in assets that will appreciate in value during periods of unexpected inflation.

Lastly, equity assets are subject to greater degrees of risk. Risk takes many forms and is usually thought of in terms of volatility of investment returns. Volatile investment returns translate into a level of support for the System's programs that (even with the smoothing effect of the rolling three-year average market value payout rule) is variable over time. In order to control this variability to a tolerable level, some allocation to diversified growth assets that produce attractive returns, but in a more absolute (or less variable) pattern, may be warranted. It is understood that such absolute return assets will often return less than equity assets, but should provide some degree of volatility mitigation over the course of a market cycle.

After providing for the three broad categories noted above, the remainder of the Endowment should be invested in equity assets, broadly defined and broadly diversified. Broad diversification is required not only to further smooth the pattern of returns, but to protect the endowment from the risks associated with undue concentration in any one type of equity asset. Although other forms of diversification may be considered, it is understood that the Endowment's equity assets will be diversified by style (growth versus value), geography (domestic versus foreign), and market capitalization (large-cap versus small).

Current policy targets and ranges for the Endowment can be found in Appendix A.

ALTERNATIVE INVESTMENT RISKS

For the purposes of this section, "alternative investments" refers to investments in Private Equity, Private Debt, and Private Real Assets, as well as other investment types employing leverage, short sales, or illiquidity. The investments are made in the Endowment in order to improve diversification, reduce overall volatility, and enhance return. However, the Endowment Management Committee recognizes that these investments also present additional risks beyond those posed by investments in traditional marketable securities such as stocks and bonds. Among these risks are:

1. *Liquidity Risk*: most alternative investments impose restrictions on redemptions or require multi-year locks.
 - a. This risk is mitigated by imposing restrictions on the amount of the Endowment that may be allocated to alternative investments as detailed

- above. In addition, the Endowment Management Committee will review at least annually the level of portfolio liquidity across all asset classes in order to ensure that there is sufficient liquidity to meet all obligations.
2. *Non-regulation risk*: Historically, alternative managers have been exempt from registration with the SEC, which has allowed them to employ strategies (such as short sales and use of leverage) forbidden by most traditional investment managers, as well as to avoid disclosing specific details of their investment practices or portfolio holdings.
 - a. With the passage of the Dodd-Frank Act of 2010, almost all alternative investment managers will be required to register with the SEC under the Investment Advisers Act of 1940. This Act will require registered managers to file documents with the SEC and for public record describing the nature of the business, fees charged, types of clients, and details on compliance policies. It will also provide to investors a greater level of detail into portfolio strategy and investment.
 - b. Venture capital managers will, however, remain exempt from the Investment Advisers Act and will therefore remain unregistered with the SEC.
 - i. This risk will be mitigated by performing detailed due diligence on these managers and monitoring them regularly as described below, as well as by diversifying manager risk through multiple direct and fund-of-fund investments.
 3. *Transparency Risk*: alternative managers are not required to disclose portfolio holding details to the same extent that traditional marketable managers are, and are often reluctant to do so in order to preserve their perceived advantage over other investors.
 - a. This risk will be mitigated somewhat by the Dodd-Frank Act and the increased transparency provided by the requirement to file Form ADV with the SEC. Beyond that, however, the Endowment Management Committee, staff, and any outside advisors shall emphasize those managers who will provide at least the following level of detail into their investment portfolios:
 - i. Number of short and long positions
 - ii. The use of leverage
 - iii. Net market exposure
 4. *Investment Strategy Risk*: alternatives often employ sophisticated and potentially riskier strategies, and may use leverage.
 - a. This risk will be mitigated by intensive due diligence and monitoring of potential alternative managers described below. An emphasis will be placed on those managers who have extensive experience in employing these strategies, a demonstrated ability to consistently employ them effectively, and an established track record of superior performance.
 5. *Foreign Currency Risk*: changes in exchange rates could adversely affect fair value of the Endowment Fund.
 - a. The Endowment Management Committee recognizes that exposure to foreign currency acts as a hedge against a declining or collapsing dollar. In this way, such investments help to reduce risk in the portfolio. However,

the Committee will review the level of exposure to foreign currencies periodically in order to ensure that there are no unintended risks in the portfolio.

The following principles shall guide the selection of alternative investment managers:

- Diversify across managers to mitigate systematic and organizational risk, but avoid over-diversification.
- Diversify by strategy and geography to decrease correlations within the program.
- Emphasize qualitative evaluation of managers, as a manager's quantitative characteristics may change over time and in different market conditions.
- Discourage the use of significant leverage, and emphasize managers with a demonstrated skill in generating returns on assets as opposed to returns on equity.
- Avoid strategies that are trading oriented, highly complex, or quantitatively driven.

In addition, the investment manager due diligence process shall include the following functions, to be performed by some combination of outside consultants/advisors and internal staff:

- Background checks
 - o Reference checks
 - o News searches
 - o Industry consultation
- Review of vendor relationships
 - o Prime brokers
 - o Auditors
 - o Fund administrators
 - o Legal counsel
- Operational review
 - o On site visits
 - o Procedural
 - o Organizational

Monitoring of the overall program-level and manager-level exposures and investment results shall be administered in accordance with the following schedule by some combination of outside consultants/advisors and internal staff:

Monthly (For Long/Short Equity and Absolute Return Managers)

- Reports of performance and asset allocation.
- Proactive contact with investment managers whose performance falls outside of the expected range.

Quarterly or Semi-Annually

- Calls with investment managers.
- For long/short equity and absolute return managers, detailed performance reports and analysis providing information such as top long positions, net and gross exposures, exposure by strategy and geography, and organizational changes.

Annually

- Diligence meetings with managers and attendance at annual meetings.

The Endowment Management Committee reviews and recommends to the Board the above asset allocation long-term targets and ranges, and the actual allocation of assets will be adjusted through additions and withdrawals of funds among managers and investment media to conform to these targets insofar as practical.

REBALANCING

The Committee recognizes the importance of periodically rebalancing the Endowment's asset allocation, namely to ensure that variation in returns among assets do not create outsized deviations from target allocations that cause Endowment performance to diverge from expected policy performance. To the extent possible, and in order to control transaction costs, the Endowment will utilize naturally occurring cash movement opportunities to rebalance the Endowment portfolio. Such naturally occurring opportunities include:

- The sourcing of cash for spending needs (withdrawals)
- The infusion of cash (contributions) into the existing portfolio
- Manager changes (partial or complete subscriptions or redemptions)
- Other cash transactions (i.e., dividends, interest income, return on capital, etc.)

In recognition that market action may force portfolio allocations outside of their allowable ranges in between Endowment Management Committee meetings, authority is delegated to the Treasurer to rebalance the portfolio in order to bring it back into compliance with the Investment Policy. More generally, the Treasurer, in conjunction with the investment consultant, will closely monitor asset allocation, and will periodically rebalance the portfolio, within allowable ranges, in light of major market movements or material changes in relative asset class valuations, in an effort to control risk and enhance long-term return. Further, with the assistance of the investment consultant, the Treasurer may rebalance up to 2.0% of the Endowment Fund intra-meeting to raise cash for meeting capital calls as well as to invest any cash inflows into the Endowment based on portfolio targets. Any rebalancing must occur across previously approved managers already held within the portfolio.

Any rebalancing actions taken by the Treasurer and investment consultant shall be communicated to the Chair of the Endowment Management Committee and to the Committee by the Senior Vice Chancellor for Administration and Finance or designee in a timely manner, but in any case no later than the next Committee meeting.

The objective of this rebalancing policy is to improve the compound return of the portfolio and to ensure that it is invested in accordance with long-term asset allocation targets. It is not the intention of this policy to force the University to take any action that may endanger the safety or impair the long-term return of the portfolio simply in order to remain in compliance with allowable ranges.

A clear illustration of such a scenario might be a market correction that reduces the value of the portfolio's marketable assets to an extent that forces the private investment allocation (the valuations of which lag those of marketable securities) beyond the allowable limits prescribed above. In order to stay in compliance in such a scenario, the University may be forced to sell interests in its private investment portfolio on the secondary market at a loss, impairing the overall Endowment's ability to recover from a correction of that magnitude.

Therefore, in the event of market action that forces any allocation outside its allowable ranges, the chair of the Endowment Management Committee, in conjunction with the Board chair, with the advice of staff and investment consultant, may temporarily waive the allocation limits imposed above if it is determined that remaining in compliance may cause harm to the long-term return potential of the endowment.

INVESTMENT MANAGEMENT

The endowment of the System will be managed primarily by external investment management organizations. Investment managers have discretion to manage the assets in each portfolio to best achieve the investment objectives, within the policies and requirements set forth in this statement, the investment manager agreement with the System including the guidelines for each investment manager, and subject to the usual standards of fiduciary prudence.

Each active investment manager with whom the System has a separate account will be provided with written statements of investment objectives and guidelines as part of the investment management contract that will govern his or her portfolio. These objectives shall describe the role the investment manager is expected to play within the manager structure, the objectives and comparative benchmarks that will be used to evaluate performance, and the allowable securities that can be used to achieve these objectives. Each manager will report performance quarterly, and if applicable monthly, consistent with these objectives.. These statements will be consistent with the Statement of Investment Objectives and Policies for the overall endowment as set forth herein. Investment managers will be provided with a copy of the Statement of Investment Objectives and Policies.

Additionally, each manager will be expected to use best efforts to realize the best execution price when trading securities, and the settlement of all transactions (except investment pool funds and mutual funds) shall be done on a delivery versus payment basis.

SECURITIES LENDING

Securities owned by the endowment but held in custody by the endowment custodian may be lent to other parties through a contract between the University of Houston System and the custodian pursuant to a written agreement approved by the Board of Regents. Managers may not enter into securities lending agreements without the consent of the Board of Regents. The System recognizes, however, that, for those investments placed in

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**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Endowment Management Committee

ITEM: Annual review and approval of the UH System Investment Policy for Non-Endowed Funds.

DATE PREVIOUSLY SUBMITTED: February 24, 2022

SUMMARY:

In accordance with Section VI of the UH System Investment Policy for Non-Endowed Funds, the Endowment Management Committee shall review this policy at least once a year. There are no recommended changes to the policy during this review period.

SUPPORTING DOCUMENTATION: UH System Investment Policy for Non-Endowed Funds – redlined copy

FISCAL NOTE: None

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item

COMPONENT: University of Houston System



SENIOR VICE CHANCELLOR Raymond S. Bartlett



DATE



CHANCELLOR Renu Khator



DATE

UNIVERSITY OF HOUSTON SYSTEM
INVESTMENT POLICY FOR NON-ENDOWED FUNDS

Approved by the Board of Regents

February 23~~4~~, 2023~~2~~

I. INVESTMENT AUTHORITY AND SCOPE OF POLICY

A. General Statement

All non-endowed financial assets of the University of Houston System are to be invested in a manner that will provide the highest investment return with the maximum security while meeting the daily cash flow demands of the System and conforming to all state statutes governing investment of such funds. This investment policy applies to all non-endowed financial assets of all funds of the UH System at the present time and any funds to be created in the future.

B. Investment Officer

The System Treasurer may invest funds that are not immediately required to pay obligations of the System. The Board shall designate by resolution one or more additional officers or employees as investment officers. The Endowment Management Committee may also hire an Investment Advisor to assist with the managing and monitoring of non-endowed assets, as well as, appoint one or more investment managers to invest the System's funds under the terms of this policy.

If an investment officer has a personal business relationship with an entity or is related within the second degree by affinity or consanguinity to an individual seeking to sell an investment to the System, the investment officer must file a statement disclosing that personal business interest or relationship with the Texas Ethics Commission.

C. Quality and Capability of Investment Management

The System will provide periodic training in investments for the System Investment Officers through courses and seminars offered by professional organizations and associations in order to insure the quality, capability and currency of the System Investment Officers in making investment decisions.

II. INVESTMENT OBJECTIVES

There are several key objectives which govern the investment philosophy and management of the System's non-endowed funds:

A. Safety and Maintenance of Adequate Liquidity

Safety of principal is a primary objective in any investment transaction involving non-endowed financial assets. The System's investment portfolio must be structured in conformance with an asset/liability management plan that provides for liquidity necessary to pay obligations as they become due.

B. Diversification

The System will diversify its portfolio to eliminate the risk of loss resulting from over concentration of assets in a specific maturity, a specific issuer or a specific class of investments.

C. Yield

The System seeks to earn the maximum rate of return allowed on its investments within constraints imposed by its safety and liquidity objectives, and state and federal law governing investment of public funds.

D. Maturity

Portfolio maturities will be structured to meet the obligations of the System first and then to achieve the highest return of interest. When the System has funds that will not be needed to meet current-year obligations, maturity restraints will be imposed based upon investment strategy.

III. ASSET ALLOCATION AND IMPLEMENTATION

The non-endowed funds will be allocated into two tiers of liquidity to better reflect the actual liquidity requirements of these assets. The approved liquidity tiers and target allocation to each tier is as follows:

1. 50% allocated to a Cash Pool with an average one-year time horizon; designed to meet the annual operating needs of the system. The benchmark for this pool will be the Merrill Lynch 91-Day T-Bill Index.
2. 50% allocated to a Liquidity Pool with an average horizon of one to five years, designed to serve as a margin of safety in the unlikely event that the cash pool is insufficient to meet spending needs. The benchmark for this pool will be the ICE BofA AAA-A US Govt/Corp Index.

A customized Total Portfolio Benchmark will be employed to measure the overall performance of the portfolio. This benchmark will blend the returns of the two benchmarks specified above, weighted according to the target allocation for each respective tier.

Policy targets and allowable ranges for the Non-Endowed Funds are as follows:

	Target Allocation	Allowable Range
Cash Pool	50%	30%% to 100%
Liquidity	50%	0% to 70%

A. Guidelines for the Cash Pool

In order to meet all cash flow requirements for the System, the Cash Pool shall be continuously invested in readily available funds such as money market mutual funds, bank deposits, overnight repurchase agreements or securities with an original maturity not greater than 90 days, to ensure that appropriate liquidity is maintained to meet the University's obligations. Safety and liquidity are the primary objectives of the Cash Pool. The following investments are permitted:

- a. Commercial bank accounts (FDIC insured or in institutions with a long-term rating no lower than A).
- b. Money market mutual funds rated AAA and meeting diversification, quality and maturity requirements of Rule 2a-7 of the Investment Company Act of 1940, or any successor rule. Funds shall be open-ended, no-load funds.
- c. Certificate of deposit issued in the U.S. by a U.S. financial institution rated with a short-term rating no lower than A-1, F-1 or P-1.
- d. U.S. Treasury securities and U.S. Federal Agency securities.
- e. Repurchase and reverse repurchase agreements with a term to maturity of one day, with counterparties having a short-term or counterparty rating of A-1, F-1 or P-1 provided the contract is fully secured by deliverable U.S. Treasury or federal agency obligations, having a market value at all times of at least 102 percent of the amount of the contract, with securities free and clear of any lien and held by an independent third-party custodian acting solely as agent for the University, provided such third party is not the seller under the repurchase agreement. The contract will include a perfected first security interest under the Uniform Commercial Code.

B. Guidelines for the Liquidity Pool

The Liquidity Pool represents non-endowed funds that do not need to be readily available to meet the System's operating needs. Recognizing that this pool will not be accessed on a regular basis and instead serves as a margin of safety in the unlikely event that the cash pool is insufficient to meet spending needs, safety and return are the objectives of this pool. Funds in this pool will be invested in marketable, publicly traded fixed income securities and mutual funds with an average duration of one to five years. In order to achieve the dual goal of protection of principal as well as yield, the Liquidity Pool will be invested with managers who pursue investments across government bonds and corporate credit as well as with managers who pursue absolute return oriented fixed income mandates. In order to appropriately manage risk and return, the following guidelines will be implemented.

Liquidity Pool	Target Allocation	Allowable Range
Short-Duration Government Credit	50%	40-100%
Short-Duration Credit	20%	0-30%
Core Fixed Income Plus	15%	0-25%
Absolute Return	15%	0-25%

C. Guidelines for Investment Managers

Hiring of investment managers requires Endowment Management Committee approval except, when on the recommendation of the committee staff and the investment consultant, the chair of the Endowment Management Committee and the chair of the Finance and Administration Committee jointly determine that time is of the essence and immediate action in lieu of a called committee meeting is necessary to hire or terminate an investment manager, the recommended change can then be made. The chair of the Endowment Management Committee will have the staff immediately report any such action taken to the members of the Endowment Management Committee and the Chairman of the Board of Regents after such action is taken.

Should the University engage an investment manager to manage a separately managed account for the System, detailed investment management guidelines will be agreed upon and should conform to the guidelines set forth in this document. Although the System cannot dictate investment policy to pooled funds or mutual funds, it is expected that pooled or mutual managers that conform to the investment guidelines found in the Guidelines for the Cash Pool and Liquidity Pool will be selected.

D. Guidelines for Rebalancing

Given the difference in expected return among these two pools, and the regular use of funds from the cash pool for operational purposes, these pools may need to be rebalanced occasionally. The Endowment Management Committee should consider rebalancing a pool when it exceeds a five percent over-or-underweight relative to its allowable ranges.

Between meetings of the Committee, should the exposure for any pool reach a level of 5% or more beyond the uppermost limit or 5% below the lower end of the specified range as measured at the end of the month, the Treasurer shall consult with the System’s Investment Advisor and make a recommendation to the Senior Vice Chancellor for Administration and Finance or designee as to the appropriate rebalancing actions to take. By mutual agreement, those parties may then proceed to take what rebalancing actions they deem to be reasonable and practical. Any rebalancing actions taken shall be communicated to the entire Committee by the Senior Vice Chancellor for Administration and Finance in a timely matter but in any case, no later than the next Committee meeting.

In addition to rebalancing between the Cash and Liquidity Pools, from time to time the System Treasurer, together with the Investment Advisor, may evaluate the aggregate amount of non-endowed funds to determine if there is excess liquidity held across non endowed funds. In the

event that the Treasurer determines excess liquidity exists, some portion of non-endowed funds may be invested alongside the University's endowment or Long-Term Investment Pool (LTIP). Such funds would only be invested in the LTIP if it is determined that such excess liquidity is not needed to meet the short term or intermediate term operating needs of the System. Such investment in the LTIP requires approval by the Endowment Management Committee.

IV. INVESTMENT REPORTING AND PERFORMANCE EVALUATION

Not less than quarterly, the System shall provide to the Endowment Management Committee a written report of the System's investment activity for the preceding reporting period.

V. OTHER INVESTMENT GUIDELINES

A. A Standard of Care

Investments shall be made with judgment and care, under prevailing circumstances, that a person of prudence, discretion, and intelligence would exercise in the management of the person's own affairs, not for speculation, but for investment, considering the probable safety of capital and the probable income to be derived. Investment of funds shall be governed by the following investment objectives, in order of priority: preservation and safety of principal; liquidity; and yield. In determining whether an investment officer has exercised prudence with respect to an investment decision, the determination shall be made taking into consideration:

1. The investment of all funds, or funds under the System's control, over which the officer had responsibility rather than a consideration as to the prudence of a single investment; and
2. Whether the investment decision was consistent with the written investment policy of the System.

B. Collateral or Insurance

The System Investment Officer shall ensure that all System funds held as bank deposits are fully collateralized or insured consistent with federal and state law. Acceptable forms of insurance or collateral, as shall be stipulated in the System's Bank Depository Contract, are as follows:

1. United States FDIC insurance coverage; or
2. Obligations of the United States or its agencies and instrumentalities.

C. Safekeeping

All purchased securities shall be held in safekeeping by the System, or a System account in a third-party financial institution, or with the Federal Reserve Bank. All pledged securities as collateral by the Depository Bank shall be held in safekeeping by the System, or a System account in a third-party financial institution, or with a Federal Reserve Bank.

D. Securities Lending

Securities owned by the System and held in custody by the System's custodian may only be lent to other parties through a contract between the System and the custodian pursuant to a written agreement approved by the Board of Regents. Neither custodians nor investment managers may enter into securities lending agreements without the consent of the Board of Regents. The System recognizes, however, that, for those investments placed in mutual funds, the Board cannot dictate whether or not the fund will engage in securities lending.

Therefore, the System and its Investment Advisor shall make every effort either to avoid mutual funds that participate in securities lending, or to otherwise limit investment to those managers who will not engage in securities lending.

VI. Review and Modification of Policy

The Endowment Management Committee shall review this Policy at least once a year to determine if modifications are necessary or desirable. If substantive modifications are made, they shall be promptly communicated to responsible parties.

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Audit and Compliance

ITEM: Report on University of Houston System, Board of Regents' Policies on Internal Audit, Institutional Compliance, and Identity Theft Prevention

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

The Audit & Compliance Committee Planner, item number 3.03, requires an annual review of the Board of Regents' policies on Internal Audit, Institutional Compliance and Identity Theft Prevention Program. One minor change is recommended.

SUPPORTING DOCUMENTATION: Board of Regents' Policies on Internal Audit, Institutional Compliance and Identity Theft

FISCAL NOTE:

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item

COMPONENT: University of Houston System



1-30-23

CHIEF AUDIT EXECUTIVE

Phillip W. Hurd

DATE



CHANCELLOR

Renu Khator

DATE

2/16/23

SECTION V – AUDIT AND COMPLIANCE

41 AUDIT AND COMPLIANCE

41.01 Internal Auditing

To develop a framework for the implementation of the internal audit function within the System, and to define the scope of the internal audit function as an effective management tool for use by the Chancellor and the Board in evaluating the System’s fiscal integrity and compliance with the Texas Internal Auditing Act, Texas Government Code, Section 2102, applicable state and federal laws and with approved Board policies, the Board adopts the following policy (which serves as the Internal Audit Charter):

41.01.1 Purpose and Mission

- A. A primary responsibility of the Board is to ensure the legal and fiscal integrity of the System. To that end, the Board directs the Department of Internal Auditing to perform those audit activities necessary to assure that the System’s resources are being properly managed and accounted for and that the institution is complying with approved policies and statutory requirements.
- B. Internal audits are resource tools for management and enable the System to monitor the effectiveness with which policies are followed, objectives met, and control Systems function.
- C. Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve the System’s operations. The mission of Internal Auditing is to enhance and protect organizational value by providing risk-based and objective assurance, advice, and insight. It helps the System accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes, including those related to contracts.
- D. In carrying out their duties and responsibilities, members of the Department of Internal Auditing will have full, free, and unrestricted access to all System activities, records, property, and personnel. The Department of Internal Auditing may also request access to the financial records of private support organizations and foundations chartered for the benefit of the University of Houston System or any part thereof.

41.01.2 Authority

- A. The Chief Audit Executive will report directly to the chair of the Audit and Compliance Committee of the Board, and have access to the Chancellor.

- B. The Board is responsible for the employment, evaluation, dismissal, and remuneration of the Chief Audit Executive; however, the Chancellor has the authority to make recommendations to the Board on the employment, evaluation, dismissal, and remuneration of the Chief Audit Executive.
- C. The Department of Internal Auditing will govern itself by adherence to the mandatory elements of The Institute of Internal Auditors' International Professional Practices Framework, including the Core Principles for the Professional Practice of Internal Auditing, the Code of Ethics, the *International Standards for the Professional Practice of Internal Auditing (Standards)*, and the Definition of Internal Auditing. The Department of Internal Auditing will also perform its duties in accordance with generally accepted government auditing standards.
- D. The Chief Audit Executive will report periodically to senior management and the audit and compliance committee regarding:
- The Department of Internal Auditing's purpose, authority, and responsibility.
 - The Department of Internal Auditing's plan and performance relative to its plan.
 - The Department of Internal Auditing's conformance with The IIA's Code of Ethics and Standards, and action plans to address any significant conformance issues.
 - Significant risk exposures and control issues, including fraud risks, governance issues, and other matters requiring the attention of, or requested by, the audit and compliance committee.
 - Results of audit engagements or other activities.
 - Resource requirements.
 - Any response to risk by management that may be unacceptable to the University of Houston System.
- E. The Core Principles for the Professional Practice of Internal Auditing are:
- Demonstrates integrity.
 - Demonstrates completeness and due professional care.
 - Is objective and free from undue influence (independent).
 - Aligns with the strategies, objectives, and risks of the organization.
 - Is appropriately positioned and adequately resourced.
 - Demonstrates quality and continuous improvement.
 - Communicates effectively.
 - Provides risk-based assurance.
 - Is insightful, proactive, and future-focused.
 - Promotes organizational improvement.

41.01.3 The Internal Auditing Process

- A. In August of each year, the Department of Internal Auditing will present to the Audit and Compliance Committee an annual internal audit plan and risk assessment for the Board's review and approval. This plan will include a summary of the resources

dedicated to the Internal Audit program in order for the board to determine if adequate resources exist to ensure that risks identified in the risk assessment are adequately covered within a reasonable time frame. The plan will include risk-based testing of contract administration.

- B. The Chief Audit Executive will meet with the Chancellor on a regular basis to review audits performed, audits in progress, future audits, and special investigations.
- C. The Chief Audit Executive will meet with the chair of the Audit and Compliance Committee on a regular basis to review audits performed, audits in progress, future audits, and special investigations.
- D. Internal Audit reports will be distributed to the Chancellor, members of the Board of Regents, the State Auditor, the Governor's Office of Budget, Planning and Policy, and the Legislative Budget Board, as required by the Texas Government Code, Section 2102.009.
- E. Internal Audit's written responses to the State Auditor's Office's requests of Internal Audit to investigate reports of suspected fraud, waste, abuse and/or ineffective operations at the University of Houston System will be distributed to the Chair of the Audit and Compliance Committee and the Chancellor.

41.01.4 Independence and Objectivity

- A. The Chief Audit Executive will ensure that the Department of Internal Auditing remains free from all conditions that threaten the ability of internal auditors to carry out their responsibilities in an unbiased manner, including matters of audit selection, scope, procedures, frequency, timing, and report content. If the Chief Audit Executive determines that independence or objectivity may be impaired in fact or appearance, the details of impairment will be disclosed to appropriate parties.
- B. Internal audit personnel will maintain an unbiased mental attitude that allows them to perform engagements objectively and in such a manner that they believe in their work product, that no quality compromises are made, and that they do not subordinate their judgement on audit matters to others.
- C. The Department of Internal Auditing will be free of all operational and management responsibilities that would impair the ability to make independent reviews of all aspects of the System.
- D. Internal audit personnel will disclose any impairment of independence or objectivity, in fact or appearance, to appropriate parties.
- E. The Chief Audit Executive will confirm to the Audit and Compliance Committee, at least annually, the organizational independence of the Department of Internal Auditing.

- F. The Chief Audit Executive will disclose to the Audit and Compliance Committee any interference and related implications in determining the scope of internal auditing, performing work, and/or communicating results.
- G. Where the Chief Audit Executive has or is expected to have roles and/or responsibilities that fall outside of internal auditing, safeguards will be established to limit impairments to independence or objectivity.

41.01.5 Scope of Internal Auditing

The internal audit activity evaluates and contributes to the improvement of the System’s risk management, control and governance systems by addressing the following objectives:

- A. **Risk Management:** Internal audit activity will assist the System by identifying and evaluating significant exposures to risk and contributing to the improvement of risk management and control systems.
- B. **Control:** Internal audit activity will assist the System in maintaining effective controls by evaluating their effectiveness and efficiency and by promoting continuous improvement.
- C. **Governance:** Internal audit activity will contribute to the System’s governance process by evaluating and improving the process through which 1. values and goals are established and communicated, 2. the accomplishment of goals is monitored, 3. accountability is ensured, and 4. values are preserved.
- D. The internal audit activity will evaluate risk exposures and adequacy and effectiveness of controls relating to the System’s governance, operations and information systems regarding the:
 - Reliability and integrity of financial and operational information
 - Effectiveness and efficiency of operations
 - Safeguarding of assets
 - Compliance with policies, procedures, laws, regulations, and contracts
 - Achievement of strategic objectives
 - Results of operations or programs are consistent with established goals and objectives

Identified opportunities for improvement for these areas during the engagements will be communicated to the appropriate level of management.

- E. The Department of Internal Auditing will coordinate audit efforts with those of external CPA firms and the State Auditor’s Office.
- F. The Department of Internal Auditing will investigate reports of suspected defalcation fraud, misappropriation or other fiscal irregularities.

G. The Department of Internal Auditing will follow up on engagement findings and corrective actions, and report periodically to senior management and Audit and Compliance Committee any corrective actions not effectively implemented.

41.01.6 Quality Assurance and Improvement Program

A. The Department of Internal Auditing will maintain a quality assurance and improvement program that covers all aspects of the internal auditing activity. The program will include an evaluation of the Department of Internal Auditing's conformance with the *Standards* and an evaluation of whether internal auditors apply The IIA's Code of Ethics. The program will also assess the efficiency and effectiveness of the Department of Internal Auditing and identify opportunities for improvement.

B. The Chief Audit Executive will communicate to senior management and the Audit and Compliance Committee on the Department of Internal Auditing's quality assurance and improvement program, including results of internal assessments and external assessments.

Policy last reviewed ~~02/24/22~~ 02/23/23

Related Statutes, Policies, or Requirements

Texas Government Code § 321.0136 – *Investigation*

Texas Government Code, Chapter 2102 – *Texas Internal Auditing Act*

Texas Education Code § 51.9337 – *Purchasing Authority Conditional; Required Standards*

The Institute of Internal Auditors, International Standards for the Professional Practice of Internal Auditing and Code of Ethics - <http://www.theiia.org/guidance/standards-and-guidance/ippf/>.

U.S. Government Accountability Office, Government Auditing Standards (The Yellow Book) - <http://www.gao.gov/new.items/d07731g.pdf>.

System Administrative Memoranda (SAMs)

01.C.04 – *Reporting/Investigating Fraudulent Acts*

04.A.01 – *Audits by External Auditors*

04.A.02 – *Audits by Internal Auditing*

42 COMPLIANCE

42.01 Institutional Compliance

The Chancellor, as Chief Executive Officer of the System, is responsible for ensuring the implementation of an institutional compliance program for the System designed to promote ethical behavior and ensure compliance with all applicable policies, laws, and rules governing higher education, including research and health care to the extent applicable. Accordingly, the System-wide Compliance Officer prepares an executive summary of all institutional compliance activity of the component institutions.

42.01.1 System-Wide Compliance Officer

The University of Houston Chief Compliance Officer shall serve as the System-wide Compliance Officer and is responsible, and will be held accountable for, apprising the Chancellor and the Audit and Compliance Committee of the institutional compliance functions and activities at each of the component institutions as set out in Subparagraph B, below. The System-wide Compliance Officer provides institutional compliance assistance to the Chancellor and the Vice Chancellors in the exercise of their responsibilities.

A. Appointment: The System-wide Compliance Officer shall be appointed by the Chancellor. The System-wide Compliance Officer is the senior compliance official of The University of Houston System, provides assistance and advice covering all component compliance programs, and shall hold office without fixed term, subject to the pleasure of the Chancellor.

B. Duties and Responsibilities: The primary responsibilities of the System-wide Compliance Officer include developing an infrastructure for the effective operation of The University of Houston System Institutional Compliance Program; chairing the System-wide Compliance Officers Council; and prescribing the format for the annual risk-based compliance plan and the quarterly compliance status reports to be submitted by each component institution.

Policy last reviewed ~~02/24/22~~ 02/23/23

Related Statutes, Policies or Requirements

Texas Education Code § 51.971 – *Compliance Program*

42.02 Identity Theft Prevention Program

The Chancellor, as Chief Executive Officer of the System, is responsible for ensuring the implementation of an identity theft prevention program which adheres to the Federal Trade Commission's Red Flag Rule under sections 114 and 315 of the Federal Fair and Accurate Credit Transactions Act. At least annually, the System-wide compliance officer prepares an executive summary of all activities of the Identity Theft Prevention Programs of the component institutions.

Policy last reviewed ~~02/24/22~~ 02/23/23

Related Statutes, Policies, or Requirements

Federal Fair and Accurate Credit Transactions Act, Pub.L. 108-159.

Federal Trade Commission Red Flag Rule, 16 C.F.R. § 681.2.

System Administrative Memoranda (SAMs)
01.C.14 – *Identity Theft*

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Academic and Student Success

ITEM: Approval of a Bachelor of Science in Integrated Studies – University of Houston

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

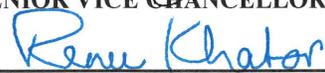
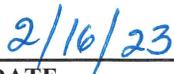
The University of Houston requests approval to establish a Bachelor of Science in Integrated Studies. The proposed degree will enable students to graduate with transferrable knowledge and skills highly desired by many employers and marketable across diverse industries and professions, including critical thinking, problem solving, oral and written communication skills, collaboration and teamwork, leadership, multicultural and diversity competencies, adaptability, and work ethic. As such, this type of undergraduate degree prepares graduates to enter the changing 21st century global marketplace with the well-rounded educational backgrounds that employers seek. According to the Texas Workforce Commission, employment in Texas is expected to grow by 1.7 million jobs by 2028 with 40.7% of these jobs requiring some form of postsecondary education and training. To ensure the prosperity of the state going forward, it is essential to achieve the *Building a Talent Strong Texas* goal that, “at least 60 percent of Texans ages 25-64 have a postsecondary credential of value by 2030.” Whereas the goal of proposing a new academic program is typically to fill an unmet need with a program that does not exist regionally, this program addresses an unmet need among University of Houston students. Degrees of this nature are widely available across the state of Texas including UH-Downtown and UH-Victoria. The program expects to generate revenue in its first year of operation.

SUPPORTING DOCUMENTATION: Program Description and Financial Pro Forma

FISCAL NOTE: None

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item

COMPONENT: University of Houston

 _____ PRESIDENT	Renu Khator	 _____ DATE
 _____ SENIOR VICE CHANCELLOR	Diane Z. Chase	2/15/2023 _____ DATE
 _____ CHANCELLOR	Renu Khator	 _____ DATE

BACHELOR OF SCIENCE IN INTEGRATED STUDIES

UNIVERSITY OF HOUSTON

Congruence with System Goals and University Mission

In support of the University of Houston (UH) System mission to provide, “access to comprehensive higher education programs and services to the diverse community of students in the Houston metropolitan area and beyond,” student success is a key goal. As such, the UH System is committed to providing access, making student success a priority, and developing transfer pathways. Consistent with UH System goals, student success is central to the UH mission focused on connecting potential with opportunity toward the vision of building a top 50 public university. The UH Strategic Plan, “Together, We Rise, Together, We Soar,” outlines a roadmap for achieving this vision with an emphasis on student success as articulated in Goal 1.

The primary goal of the proposed Bachelor of Science (B.S.) in Integrated Studies is to provide students with a flexible option for completing an undergraduate degree in a timely manner while obtaining marketable skills. The degree will allow students to strategically combine different areas of study incorporating courses across multiple disciplines, resulting in a reduction in excess credit along with increased retention and graduation rates for both first-time-in-college and transfer populations. Students in this degree program will synthesize skills with career goals aligned to the real-world job market, allowing them to be competitive in the marketplace or for subsequent graduate study.

Program Description

The proposed B.S. in Integrated Studies is a four-year degree comprised of 120 credit hours and consists of four curriculum areas including: Texas Core Curriculum, multiple concentration areas, bachelor of science special requirements, and electives. It will integrate coursework from a range of academic disciplines to allow graduates to complete a degree with the skillset to participate in the workforce or advance to graduate study.

This is designed for students interested in a degree that utilizes coursework across multiple disciplines to pursue diverse career paths. To earn this degree, students are required to have a cumulative grade point average of at least 2.0, complete a minimum of 36 upper division credit hours, and meet the university’s residency requirements as well as all other requirements for a Bachelor of Science degree.

Student and Job Market Demand

The proposed B.S. in Integrated Studies degree aims to provide a flexible degree option enabling first-time-in-college (FTIC) and transfer students to graduate in a timely manner without accumulating excess credit. Completion data from institutions with enrollment comparable to UH indicates a demand for flexible degree programs. From 2017-2021, 1,743 students graduated with a B.S. in University Studies from UT Arlington while there were 1,238 graduates with B.S. and B.A. degrees from Texas Tech University. Strong demand is also anticipated at UH from both FTIC and transfer student populations.

A general studies degree such as the B.S. in Integrated Studies intends to offer flexible degree attainment for students with a wide range of professional interests. This proposed degree will enable students to graduate with transferrable knowledge and skills including critical thinking, problem solving, communication, teamwork, leadership, and work ethic. Such skills are marketable across many industries and professions.

BACHELOR OF SCIENCE IN INTEGRATED STUDIES UNIVERSITY OF HOUSTON

The pandemic crisis has created a unique time of transition that can be an invitation to reflect on career goals and purpose. More than ever, employers are looking for transferable skills in addition to experience. Workers across multiple industries must reimagine their role in rapidly changing employment conditions, which may involve reimagining a future with a completed bachelor's degree.

Program Duplication

Whereas the goal of proposing a new academic program is typically to fill an unmet need with a program that does not exist regionally, this B.S. in Integrated Studies addresses an unmet need among University of Houston students.

State of Texas. Degrees of this nature are widely available across the state of Texas. Notable examples include:

- Lamar University: B.S./B.A. in University Studies
- Prairie View A&M University: B.S./B.A. in General Studies
- Stephen F. Austin State University: B.S. in General Studies
- Tarleton State University: B.S. in General Studies
- Texas A&M University-Corpus Christi: B.S./B.A. in University Studies
- Texas Tech University: B.S./B.A. in University Studies
- University of North Texas: B.S./B.A. in Integrative Studies
- UT Arlington: B.S. in University Studies
- UT Dallas: B.S./B.A. in Interdisciplinary Studies

UH System. Other UH System schools offer flexible degree programs including the following:

- UH Downtown: B.S. in Interdisciplinary Studies
- UH Victoria: B.S./B.A. in University Studies

UH programs. The B.S. in Liberal Studies major, offered in the College of Liberal Arts and Social Sciences (CLASS), employs a degree plan structured around three minors. Although Liberal Studies is interdisciplinary in approach, the express intent of the program is the study of liberal arts, and as such, the major requires two of the three minors to be located in CLASS. It is possible that some of the stop-out students who are attracted back to UH by the Integrated Studies option would be good candidates for the Liberal Studies program, and so the programs will work in tandem to advise and refer students accordingly.

Faculty Resources

The B.S. in Integrated Studies degree will be comprised of courses already offered by other degree-granting programs at the University of Houston. As such, no additional faculty resources are anticipated.

State or National Need

Employment in Texas is expected to grow by 1.7 million jobs by 2028 with 40.7% of these jobs requiring some form of postsecondary education and training. To ensure the prosperity of the state going forward, it is essential to achieve the *Building a Talent Strong Texas* goal that, “at least 60 percent of Texans ages 25-64 have a postsecondary credential of value by 2030.”

PRO FORMA FOR BS in Integrated Studies

		Operating Years							
		Year 0	FY2024	FY2025	FY2026	FY2027	FY2028		
			Fall23	Fall24	Fall25	Fall26	Fall27		
Enrollments									
Cohort 1			50	45	40	35			
Cohort 2				50	45	40	35		
Cohort 3					50	45	40		
Cohort 4						50	45		
Cohort 5							50		
Cohort 6									
Total			50	95	135	170	170		
Expenses									
Faculty (9 month)		Salary	% effort	Year 0	FY2024	FY2025	FY2026	FY2027	FY2028
Program Director, Donna Smith - 1		62,424	5%		3,121	3,184	3,247	3,312	3,378
Adjuncts - 2		1,667	100%		1,667	1,700	1,734	1,769	1,804
Adjuncts - 3		1,667	100%		1,667	1,700	1,734	1,769	1,804
Position 4		-	-		-	-	-	-	-
Position 5		-	-		-	-	-	-	-
Position 6		-	-		-	-	-	-	-
Adjuncts		-	-		-	-	-	-	-
Subtotal		65,758	205%	-	6,455	6,584	6,716	6,850	6,987
Faculty FTE					0.11	0.11	0.11	0.11	0.11
Staff (12 month)									
Student Success Advocate 2, Nina Howard - 1		71,419	10%		7,142	7,285	7,430	7,579	7,731
Student Success Advocate 1, Lateki Lewis - 2		51,730	100%		51,730	52,765	53,820	54,896	55,994
Position 3		-	-		-	-	-	-	-
Position 4		-	-		-	-	-	-	-
Position 5		-	-		-	-	-	-	-
Position 6		-	-		-	-	-	-	-
Graduate Students		-	-		-	-	-	-	-
Subtotal		123,149	110%	-	58,872	60,049	61,250	62,475	63,725
Staff FTE					1.10	1.10	1.10	1.10	1.10
Total Salaries		-	-	-	65,327	66,634	67,966	69,326	70,712
Benefits @ 20.5%		-	-	-	13,392	13,660	13,933	14,212	14,496
Total Personnel		-	-	-	78,719	80,294	81,899	83,537	85,208
Non-Personnel									
Marketing/Recruiting				5,000	5,000	5,000	5,000	5,000	5,000
Scholarships & Tuition Assistantships						-	-	-	-
Annual maintenance & operations						-	-	-	-
Library and Information Technology						-	-	-	-
Accreditation						-	-	-	-
Facilities						-	-	-	-
Laboratory and other equipment						-	-	-	-
Other						-	-	-	-
Total Non-Personnel				5,000	5,000	5,000	5,000	5,000	5,000
Allocated to university operations	10%				51,399	97,659	140,239	176,218	177,526
Total Annual Expense				\$ 5,000	\$ 135,119	\$ 182,952	\$ 227,138	\$ 264,756	\$ 267,734
Revenue									
Formula Funding Generated					-	-	143,603	143,603	272,177
Statutory Tuition Applied to Formula					-	-	(129,000)	(129,000)	(244,500)
Subtotal: State General Revenue					-	-	14,603	14,603	27,677
UH Tuition and Fees					578,385	1,098,932	1,561,640	1,966,509	1,966,509
Allocated to set aside per student					(64,391)	(122,342)	(173,855)	(218,929)	(218,929)
Total Revenue from Enrollment					513,994	976,589	1,402,387	1,762,183	1,775,258
Philanthropy and other External Revenue					-	-	-	-	-
Net Revenue					513,994	976,589	1,402,387	1,762,183	1,775,258
Net Annual Gain/(Loss)				(5,000)	\$ 378,876	\$ 793,637	\$ 1,175,249	\$ 1,497,427	\$ 1,507,524
Cumulative Gain/(Loss)				(5,000)	\$ 373,876	\$ 1,167,512	\$ 2,342,761	\$ 3,840,189	\$ 5,347,712

College Business Administrator Signature: _____

Date: _____

Daniel Chang, Program Director, Office of the Provost Signature: _____

Date: _____

Vivianne Do, Executive Director, Office of the Provost Signature: _____

Date: _____

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Academic and Student Success

ITEM: Approval of a Bachelor of Science in Atmospheric Science – University of Houston

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

The University of Houston requests approval to establish a Bachelor of Science in Atmospheric Science. The proposed degree is designed to offer fundamental education in the physics of the atmosphere including dynamics, thermodynamics, radiation, mesoscale meteorology, and remote sensing of the atmosphere and robust training in mathematics. This degree program meets the occupational GS-1340 position requirements to become a Meteorologist with the National Weather Service (NWS) and the National Oceanic and Atmospheric Administration (NOAA). According to the Texas Workforce Commission, the number of workers employed in the category Atmospheric and Space scientists is expected to grow by 30.95% by 2028 in the Gulf Coast Region. There are currently three Texas institutions offering a B.S. degree in Atmospheric Science or Meteorology: Texas A&M, College Station, Texas A&M, Corpus Christi, and University of the Incarnate Word, San Antonio. The program expects to generate revenue starting in its fourth year.

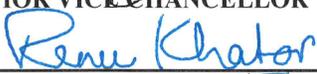
SUPPORTING

DOCUMENTATION: Program Description and Financial Pro Forma

FISCAL NOTE: None

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item

COMPONENT: University of Houston

		<u>2/16/23</u>
PRESIDENT	Renu Khator	DATE
		<u>2/15/2023</u>
SENIOR VICE CHANCELLOR	Diane Z. Chase	DATE
		<u>2/16/23</u>
CHANCELLOR	Renu Khator	DATE

BACHELOR OF SCIENCE IN ATMOSPHERIC SCIENCE UNIVERSITY OF HOUSTON

Congruence with System Goals and University Mission

The envisaged Bachelor of Science (B.S.) in Atmospheric Science is well aligned with the UH System Goals. Together with the existing master's and doctoral degree programs in Atmospheric Science, it completes a full range of educational programs in this field at the University of Houston. It will (i) foster innovative research in Houston's areas of strength: energy, infrastructure, health, and data sciences, (ii) support sustainable solutions for local, national and global challenges, (iii) contribute to infrastructure and networks to promote interdisciplinary and inter-institutional research, (iv) support faculty and staff to compete for research honors and recognitions at the highest level, and (v) build an immersive culture of research and innovation for all students.

Program Description

The proposed degree is 120 semester credit hours and will offer similar fundamental education in the physics of the atmosphere including dynamics, thermodynamics, radiation, mesoscale meteorology, and remote sensing of the atmosphere and robust training in mathematics like the other peer programs in Texas and nationally. This B.S. degree program meets the occupational GS-1340 position requirements to become a Meteorologist with the National Weather Service (NWS) and the National Oceanic and Atmospheric Administration (NOAA).

In addition to the suite of fundamental coursework, the B.S. degree in Atmospheric Science at will offer students an opportunity to obtain a holistic education in the fields of meteorology, physics, geology, chemistry and biology, which allows students to develop the tools necessary for understanding the complex interrelation between terrestrial compartments and their interplay that shapes atmospheric conditions. They will gain insights into the interaction between life and the atmosphere, and how to protect this sensitive equilibrium. The program includes courses that align with the overarching atmospheric research at the University of Houston, which includes air chemistry, air quality and climate modeling, and tropical meteorology.

Student and Job Market Demand

The strong increase in the student enrollment in GEOL 1302 (Introduction to Climate Change) and GEOL 1350 (Introduction to Meteorology) reflect the increased interest of students in this field. The Department of Earth and Atmospheric Science already has successful graduate programs in Atmospheric Science. Our department receives many enquiries about a B.S. degree in Atmospheric Science. Unfortunately, those students currently end up going to other universities.

According to the Texas Workforce Commission, the number of workers employed in the category Atmospheric and Space scientists is expected to grow by 30.95% by 2028 in the Gulf Coast Region. Positions like Weather Forecaster with the National Weather Service or Weather Officers with military services would require classes, which the envisaged BS degree program in Atmospheric Science would provide. Other potential employers include private meteorological consulting and weather forecasting companies, weather equipment manufacturers, air quality consulting firms, airlines, insurance companies, ocean shipping firms, TV stations, energy trading companies, and agricultural firms. Our envisaged program would also prepare students for graduate studies.

BACHELOR OF SCIENCE IN ATMOSPHERIC SCIENCE UNIVERSITY OF HOUSTON

Program Duplication

There are currently three Texas institutions offering a BS degree in Atmospheric Science or Meteorology:

- Texas A&M, College Station, BS Meteorology
- Texas A&M, Corpus Christi, BS Atmospheric Science
- University of the Incarnate Word, San Antonio, BS Meteorology, BS in Broadcast Meteorology

Texas A&M, College Station offers a curriculum in meteorology emphasizing weather and weather forecasting, but also includes courses in climatology, atmospheric chemistry, cloud physics and remote sensing of the atmosphere with radar and satellites. Texas A&M, Corpus Christi provides students with an in-depth knowledge of the physical characteristics, motions and processes of air; as well as the interactions of this protective layer with the underlying oceans and continents. The University of the Incarnate Word, San Antonio, offers two programs: (1) a B.S. in Meteorology as a 132-hour interdisciplinary degree program that prepares students for entering professional careers as well as graduate programs in weather modeling and forecasting, air pollution studies, broadcast meteorology, hydrology, Geographic Information Systems (GIS) applications in meteorology, and education; and (2) a B.S. in Broadcast Meteorology which is a 129- hour degree program that integrates meteorological studies in forecasting, climatology, and satellite, radar, and synoptic meteorology, with higher mathematics, video production and advanced communications. The program prepares students for work in the field and in front (or behind) the camera.

Texas Tech University offers an Undergraduate Minor in Atmospheric Science, which includes a total of 18 hours and includes the following courses as required courses: Introduction to Atmospheric Science, Atmospheric Science Laboratory, Weather, Climate, and Human Activities, Severe and Hazardous Weather, and General Meteorology.

Faculty Resources

Currently, the college has four full-time faculty members due to a recent passing. It is anticipated that the number of faculty will increase as the program matures.

State or National Need

On the state and national level there is an increased demand in expertise in atmosphere and climate for emergency preparedness and response, and to address environmental and societal challenges of great concern under changing climate conditions (e.g. impact of extreme single meteorological events and long-term atmospheric changes on energy resources and public health).

PRO FORMA FOR BS in Atmospheric Science

FY2024		Operating Years							
		Year 0	FY2024	FY2025	FY2026	FY2027	FY2028		
			Fall23	Fall24	Fall25	Fall26	Fall27		
Enrollments									
Cohort 1			6	6	6	6			
Cohort 2				7	7	7	7		
Cohort 3					8	8	8		
Cohort 4						9	9		
Cohort 5							10		
Cohort 6									
Total			6	13	21	30	34		
Expenses									
Faculty (9 month)		Salary	% effort	Year 0	FY2024	FY2025	FY2026	FY2027	FY2028
Yunsoo Choi (Associate Professor)		102,749	20%		20,550	20,961	21,380	21,808	22,244
Xun Jiang (Professor)		107,874	20%		21,575	22,006	22,446	22,895	23,353
Bernhard Rappenglueck (Professor)		119,516	20%		23,903	24,381	24,869	25,366	25,873
Yuxuan Wang (Associate Professor)		98,735	20%		19,747	20,142	20,545	20,956	21,375
Replacement Junior Faculty (Assistant Profe		75,000	20%		15,000	15,300	15,606	15,918	16,236
Replacement Junior Faculty (Assistant Profe		75,000	20%		15,000	15,300	15,606	15,918	16,236
Adjuncts				-	-	-	-	-	-
Subtotal		578,873	120%	-	115,775	118,090	120,452	122,861	125,318
Faculty FTE					1.20	1.20	1.20	1.20	1.20
Staff (12 month)									
Karen Maldonado (Academic Advisor)		51,000	20%		10,200	10,404	10,612	10,824	11,041
Position 2					-	-	-	-	-
Position 3					-	-	-	-	-
Position 4					-	-	-	-	-
Position 5					-	-	-	-	-
Position 6					-	-	-	-	-
Graduate Students					-	-	-	-	-
Subtotal		51,000	20%	-	10,200	10,404	10,612	10,824	11,041
Staff FTE					0.20	0.20	0.20	0.20	0.20
Total Salaries				-	125,975	128,494	131,064	133,685	136,359
Benefits @ 20.5%				-	25,825	26,341	26,868	27,405	27,954
Total Personnel				-	151,799	154,835	157,932	161,091	164,312
Non-Personnel									
Marketing/Recruiting				500	500	500	500	500	500
Scholarships & Tuition Assistantships					-	-	-	-	-
Annual maintenance & operations					5,000	5,000	5,000	5,000	5,000
Library and Information Technology					-	-	-	-	-
Accreditation					-	-	-	-	-
Facilities					-	-	-	-	-
Laboratory and other equipment					-	-	-	-	-
Other					-	-	-	-	-
Total Non-Personnel				500	5,500	5,500	5,500	5,500	5,500
Allocated to university operations	10%				6,168	13,364	23,176	32,428	38,617
Total Annual Expense				\$ 500	\$ 163,467	\$ 173,699	\$ 186,608	\$ 199,019	\$ 208,429
Revenue									
Formula Funding Generated					-	-	35,383	35,383	81,653
Statutory Tuition Applied to Formula					-	-	(19,500)	(19,500)	(45,000)
Subtotal: State General Revenue					-	-	15,883	15,883	36,653
UH Tuition and Fees					69,406	150,380	242,922	347,031	393,302
Allocated to set aside per student					(7,727)	(16,742)	(27,044)	(38,634)	(43,786)
Total Revenue from Enrollment					61,679	133,638	231,761	324,280	386,169
Philanthropy and other External Revenue					-	-	-	-	-
Net Revenue					61,679	133,638	231,761	324,280	386,169
Net Annual Gain/(Loss)				(500)	\$ (101,788)	\$ (40,061)	\$ 45,153	\$ 125,261	\$ 177,740
Cumulative Gain/(Loss)				(500)	\$ (102,288)	\$ (142,349)	\$ (97,196)	\$ 28,065	\$ 205,805

College Business Administrator Signature: _____ Date: _____
 Daniel Chang, Program Director, Office of the Provost Signature: _____ Date: _____
 Vivianne Do, Executive Director, Office of the Provost Signature: _____ Date: _____

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Academic and Student Success

ITEM: Approval of the merger of the Cullen College of Engineering and the College of Technology – University of Houston

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

The University of Houston requests approval to merge two colleges: the Cullen College of Engineering and the College of Technology. The merged college will be named the Cullen College of Engineering (CCE). Within the CCE, there will be a Technology Division that will house the four departments currently in Technology.

SUPPORTING DOCUMENTATION:

FISCAL NOTE: None

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item

COMPONENT: University of Houston

		<u>2/16/23</u>
PRESIDENT	Renu Khator	DATE
		<u>2/15/2023</u>
SENIOR VICE CHANCELLOR	Diane Z. Chase	DATE
		<u>2/16/23</u>
CHANCELLOR	Renu Khator	DATE

University of Houston Cullen College of Engineering and College of Technology Proposed Merger and Renaming

The University of Houston requests approval to merge two colleges: the Cullen College of Engineering and the College of Technology. The merged college will be named the Cullen College of Engineering.

Why Merge?

Aligned with the goals of our strategic plan to become a Top 50 public university, the University of Houston explored the possibility of creating a single college to house our current and future academic programs in the engineering and technology disciplines. A review of the top 100 universities ranked by U.S. News & World Report revealed that in those institutions with academic programs in both the *Engineering Technologies* and *Engineering Related Fields*, these programs were housed within a single college commonly named the College of Engineering.

In merging the Cullen College of Engineering and the College of Technology, the University seeks to create additional opportunities and benefits for students and faculty through leveraging joint resources, reducing duplication, and increasing alignment with the needs of employers. A unified “institutional brand” for all UH engineering and technology programs will also make the University more easily recognizable at the state, national, and international levels. For example, combining engineering and technology programs in 2021 would have ranked UH the third largest in the State of Texas surpassed only by Texas A&M University and The University of Texas at Austin. Total enrollment for all programs impacted by the proposed merger exceeded 9,000 in Fall 2021.

Student Benefits: A merged college is expected to contribute to enrollment growth in both undergraduate and graduate programs by providing students with a wide array of degree program options. Synergies gained by the development of multiple completion pathways and the sharing of common courses will also help enhance retention and graduation rates for programs, departments, and the merged college. The merger will also allow for the development of new programs that incorporate both the theoretical and practical views of the discipline. Students will further benefit through access to combined career resources leading to greater employment opportunities for graduates.

Consultative Review Process

To explore a potential merger of the Cullen College of Engineering and the College of Technology, we engaged in a collaborative review process guided by the following principles: (1) the university’s commitment toward student success and national competitiveness must be maintained; (2) the change has to make programs in both colleges stronger; and (3) the process should be transparent and inclusive.

We began with meetings of upper administration, college deans, and college leadership teams. Based on the feedback from both colleges, it was determined the question was worthy of further

exploration and required wider input. A cross-college task force was then formed and charged with gathering input from relevant stakeholders and completing a SWOT analysis. At the conclusion of the analysis, the decision was in favor of a merged entity. With this decision, multiple town hall meetings were held to seek additional input from the UH community. A transition committee was then formed to identify implementation considerations related to governance, faculty and staff advancement, student success, and branding.

Administrative Structure

The merged college will be named the Cullen College of Engineering. The College of Technology will reside within the Cullen College of Engineering as a Technology Division which will house the four departments currently in Technology:

- Construction Management
- Engineering Technology
- Human Development and Consumer Sciences
- Information and Logistics Technology

The seven departments within the current Cullen College of Engineering (Biomedical Engineering, Brookshire Chemical and Biomolecular Engineering, Civil and Environmental Engineering, Electrical and Computer Engineering, Industrial Engineering, Mechanical Engineering, and Petroleum Engineering) will not change.

Next Steps

If approved, we will work to ensure a smooth implementation of the proposed merger and realizing expected benefits. The process of accreditations in the two colleges is largely expected to remain the same with minor adjustments.

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Academic and Student Success

ITEM: Approval of Mission and Vision Statements – UH System, University of Houston, University of Houston Clear Lake, and University of Houston Victoria

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

Review and approval is being requested for the UH System, University of Houston, University of Houston Clear Lake, and the University of Houston Victoria mission and vision statements.

SUPPORTING DOCUMENTATION: Mission and Vision Statements

FISCAL NOTE: None

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item

COMPONENT: University of Houston System



SENIOR VICE CHANCELLOR Diane Z. Chase

2/15/2023

DATE



CHANCELLOR Renu Khator

2/20/23

DATE

University of Houston System Mission and Vision Statements

University of Houston System

Mission Statement

The University of Houston System provides, through the complementary missions of its four universities, access to comprehensive higher education programs and services to the diverse community of students in the Houston metropolitan area and beyond. The UH System's research and scholarship are globally significant, nationally competitive, and serve as an engine for economic development, while its public service activities enhance the quality of life in the region.

University of Houston

Mission Statement

Connecting Potential with Opportunity

The University of Houston draws strength from its diversity to transform lives and communities through education, research, service and innovation in a real world setting. UH is an engine for discovery, conversation and change that informs and leads local, state, national and global partnerships.

Vision Statement

Building a Top 50 Public University

University of Houston Clear Lake

Mission Statement

The University of Houston-Clear Lake places its highest priority on serving a diverse body of students in every aspect of their university experience. UHCL's teacher scholars provide high quality, student-centered undergraduate and graduate programs that prepare students to thrive in a competitive workplace and to make meaningful contributions to their communities. UHCL fosters critical thinking and lifelong learning through a strong legacy of vibrant community partnerships complementing its historical focus on teaching, research, creative activity, and service.

Vision Statement

The University of Houston-Clear Lake will lead as a learner-centered university dedicated to achieving national prominence in transformative education grounded in creative activities, innovative research, and community partnerships that serve regional, state, and global locations. UHCL launches your future!

University of Houston Victoria

Mission Statement

The University of Houston-Victoria (UHV), a dynamic destination institution serving Texas and the world, is dedicated to providing every student educational and leadership opportunities to become a successful professional and an engaged global citizen. Innovative educational activities challenge students to make meaningful connections between their learning and their lives in a complex world. University of Houston-Victoria promotes economic development and advances quality of life through teaching, research, and service excellence.

University of Houston System

Mission and Vision Statements

Vision Statement

UHV Core Values

- Academic excellence accessible to a diverse community.
- Continuous improvement and responsiveness to emerging issues.
- Freedom of inquiry and expression of truth in a culture of mutual respect, cooperation, and teamwork.
- The highest standards of ethics, integrity, and accountability.

Standing Goals

Goal 1: Teaching and Learning UHV will provide high-quality instruction and learning support in all degree programs, with an emphasis on outreach, collaboration, and responsiveness to the needs of the communities served by the institution.

Goal 2: Research, Scholarly Activities and External Grant Funding UHV will contribute through research and scholarly activities to the advancement of knowledge in academic and professional fields, in teaching and learning, and in professional communities— commensurate with UHV’s mission. This goal includes an increase in the number and amount of externally funded grants.

Goal 3: Community Engagement and Partnerships UHV will help to serve the regional needs for access to information resources and professional expertise. The university will collaborate with other educational, entrepreneurial, governmental, and non-profit entities in promoting the educational, economic, and cultural development of the region.

Goal 4: Enrollment Management and Student Services UHV will optimally shape the size and characteristics of the student body to ensure diversity and reflect the needs of the leaders of tomorrow, with an emphasis on student access and success, as well as student participation through athletics, student organizations and academic success initiatives.

Goal 5: Financial and Administrative Support Services UHV will demonstrate efficient and accountable stewardship of fiscal, human, and physical resources in its efforts to meet educational needs, to comply with oversight authorities, and to maintain public trust.

Goal 6: University Advancement and Development UHV will complement public support of the institution with private support; provide accurate and timely information to institutional constituencies; expand the donor base; enhance positive visibility within the region; and, build a strong alumni community.

Goal 7: Planning, Assessment, and Accountability UHV will maintain systematic processes for planning and budgeting, for institutional and employee assessment, and for professional development. UHV will strive for greater accountability and transparency to stakeholders.

Goal 8: Growth and Program Expansion UHV will continue to expand its reach and services as a destination campus in Victoria, as well as meet the growing regional needs of students in the Greater Houston area and online.

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Academic and Student Success

ITEM: Approval of Faculty Post Tenure Review Policies – University of Houston
Clear Lake and University of Houston Downtown

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

Review and approval is being requested for the University of Houston Clear Lake and the University of Houston Downtown Faculty Post Tenure Review Policies.

**SUPPORTING
DOCUMENTATION:**

FISCAL NOTE: None

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item

COMPONENT: University of Houston System



SENIOR VICE CHANCELLOR Diane Z. Chase

2/15/2023

DATE



CHANCELLOR Renu Khator

2/16/23

DATE

5.4 UNIVERSITY OF HOUSTON-CLEAR LAKE – POST-TENURE PERFORMANCE REVIEW

Approved by University Council April 9, 1998 Policy No. FSEC. 1998.001

Approved by UHS Board of Regents April 16, 1998

4.1 Purpose and Scope

5.0 Performance Standards

6.0 Criteria for Initiating an Enhanced Performance Evaluation

7.0 Enhanced Performance Evaluation Notification and Committee Formation

8.0 Enhanced Performance Evaluation Process

4.1 Purpose and Scope

All faculty at UHCL are required to undergo a comprehensive, annual faculty performance review appropriate to the type of faculty appointment, academic rank, academic discipline, and career stage of the individual faculty member. Tenured faculty members, however, typically hold roles and responsibilities in three overlapping professional domains—(1) teaching and educational activities, (2) research, scholarly, or artistic activities, and (3) service—consisting of work and commitments that span multiple annual performance review periods. As such, identification of performance issues in one or more of these professional domains during any single annual faculty performance review period may not accurately or fairly reflect the long-term performance and productivity of an individual tenured faculty member.

The Post-Tenure Performance Review policy establishes a process for evaluating the performance of tenured faculty over multiple annual review periods, identifying tenured faculty who exhibit a pattern of repeatedly failing to meet the minimum expectations for their contracted professional responsibilities, and providing those individuals with a clear path to return to the performance and productivity levels expected of them by their academic unit and the university. In addition, this policy details which faculty review bodies and academic administrators are responsible for keeping track of faculty performance and, if necessary, developing, implementing, monitoring, and evaluating any subsequent professional development plan. Finally, this policy describes the possible outcomes of Post-Tenure Performance Review's Enhanced Performance Evaluation process and the potential administrative actions that may be taken once that process is fully complete.

As prescribed in §51.942 of the Texas Education Code and defined in UHS BOR Policy 21.11, this policy and the procedures it describes are directed toward the professional development of the faculty member and grounded in three principal academic values: peer review, academic freedom, and due process.

4.2 Definitions

4.2.1 Annual Faculty Review [AFR]

AFR refers to the comprehensive annual evaluation of faculty performance in the three professional domains of (1) teaching and educational activities, (2) research, scholarly, or artistic activities, and (3) service. AFR yields annual ratings in each professional domain which, over multiple review periods, may indicate deficiencies in faculty performance that necessitate a mandatory enhanced performance evaluation and professional development plan.

4.2.2 Post-Tenure Performance Review [PTPR]

PTPR refers to the ongoing, comprehensive performance evaluation of tenured faculty. PTPR provides a uniform framework, process, and set of procedures to be followed for ensuring that the performance and productivity of a tenured faculty member over multiple annual review periods continues to satisfy expectations for their contracted professional responsibilities following the award of tenure. This includes monitoring comprehensive AFR reports, identifying when the outcomes of those AFR reports require a faculty member to undergo a supplemental Enhanced Performance Evaluation process, and conducting that process.

4.2.3 Enhanced Performance Evaluation [EPE]

EPE is a process within PTPR triggered (under conditions specified below) by repeated unsatisfactory performance in one or more of the three professional domains of (1) teaching and educational activities, (2) research, scholarly, or artistic activities, and (3) service. EPE is a peer review process that examines recorded deficits in faculty performance over multiple AFR periods and assists faculty in returning to acceptable levels of performance through the creation and completion of a professional development plan.

4.2.4 Professional Development Plan [PDP]

PDP refers to the written plan for addressing performance deficits identified through the EPE process, created in collaboration between the EPE committee, the tenured faculty member under review, and the tenured faculty member's Professional Development Plan Supervisor.

4.2.5 Professional Development Plan Supervisor [PDPS]

After the EPE Committee has created its initial recommendations for an EPE process, the PDPS works with the tenured faculty member and EPE Committee to supervise the creation and completion of the PDP.

The default PDPS will be the tenured faculty member's Department Chair. The tenured faculty member and their Department Chair, however, both have the right to request that their Dean appoint a substitute (either the Associate Dean or a different Department Chair in the college) for the PDPS role. This request may be made for any reason. If the tenured faculty member or their Department Chair wish to make such a substitution, they will submit their request to the Dean in writing within five working days after transmission of the EPE Committee's final recommendations. The Dean will appoint a substitute for the tenured faculty member's Department Chair within five working days of receiving such a request.

5.0 Performance Standards

Each college shall develop, maintain, and publish an AFR policy that clearly defines the performance and productivity expectations for all faculty within a 12-month period. College AFR policies will rate a faculty member's performance in the three separate professional domains of (1) teaching and educational activities, (2) research, scholarly, or artistic activities, and (3) service each year. The AFR policy must clearly define the performance and productivity standards for each rating designation. These standards should embrace the entire scope of faculty contributions in the three professional domains, and account for differences in faculty commitments and assignments within the college and university. College AFR policies and standards, moreover, must be consistent with standards for promotion and tenure, as well as the university's faculty workload policy.

The lowest possible rating on a college's AFR rating scale will be called "unsatisfactory." An "unsatisfactory" rating indicates that a faculty member has not met the minimum expectations for performance and productivity within a given professional domain during the 12-month review period.

6.0 Criteria for Initiating an EPE

The criteria used to initiate a mandatory EPE process will be based solely on the accumulated outcomes of the standard AFR.

Within each college, the Dean (or Dean's designee) will track submissions of AFR reports and each faculty member's AFR ratings. The Dean (or Dean's designee) will initiate a mandatory EPE process if a tenured faculty member meets one or more of the following conditions:

1. Following the award of tenure and, if applicable, conclusion of any prior EPE process, the faculty member receives:
 - a. "unsatisfactory" AFR ratings for Teaching and Educational Activities in two consecutive AFR periods, or
 - b. "unsatisfactory" AFR ratings for Research, Scholarly, or Artistic Activities in three consecutive AFR periods, or
 - c. "unsatisfactory" AFR ratings for Service in two consecutive AFR periods.
2. The faculty member fails to submit two AFR reports.

Within a given year, the Dean (or Dean's designee) shall not initiate an EPE process until the college's AFR appeals process has concluded and AFR ratings for the year are final.

For the purposes of triggering a mandatory EPE process, the accumulation of two or three "unsatisfactory" ratings in a single professional domain within two or three consecutive AFR periods (the number of ratings and periods depending on the professional domain, as prescribed

above) will indicate the potential of "incompetency" or "continuing or repeated substantial neglect of professional responsibilities" in the given professional domain, as contained in §51.942 of the Texas Education Code.

7.0 EPE Notification and Committee Formation

If a tenured faculty member's accumulated AFR ratings meet the criteria for triggering a mandatory EPE, the Dean (or Dean's designee) will formally notify the faculty member and Provost of this determination in writing within 30 calendar days of the conclusion of the college's AFR appeals process.

Once the Dean (or Dean's designee) initiates an EPE, an EPE faculty committee will form to oversee the administration of the EPE process. Committee membership can be determined in one of two ways by the tenured faculty member undergoing review:

1. The EPE committee can be set up in the same manner as a tenure committee in the college, or
2. The EPE committee can be set up as a seven-member committee with four of the members chosen based upon the procedures for selecting faculty members for a tenure committee in the college and one additional faculty member selected from each of the other three colleges or from other programs within the same college.

8.0 EPE Process

8.1 Determining Whether to Proceed with an EPE:

The EPE committee will review all relevant AFR materials generated in the previous three consecutive AFR cycles, including applicable policies, AFR reports submitted by the tenured faculty member, final AFR scores and evaluation narratives produced by the Department Chair, and any grievance materials related to disputed AFR scores and evaluation narratives generated during this three-year period in order to determine whether the criteria for triggering an EPE process have been appropriately met. The committee may request materials from additional years, if needed.

If the EPE committee determines that the criteria for initiating an EPE process have not been met, the committee will provide the Dean (or Dean's designee) with a detailed, written explanation for the basis of their determination. Any committee recommendation not to proceed with a mandatory EPE process must be reviewed by the Provost, who reserves the right to return the recommendation to the EPE committee for reconsideration along with a written rationale for why a reconsideration is justified.

After any reconsideration, if agreement between the EPE committee and the Provost cannot be reached concerning whether or not to move forward with the EPE process, the Provost will initiate a formal faculty grievance procedure, as specified in the UHCL Faculty Handbook §9.1.

If the decision has been made not to proceed with an EPE process, then the faculty member's EPE is complete and their future post-tenure performance review will be based on AFRs completed subsequent to this EPE.

8.2 Creating Initial Recommendations:

Once the decision has been made to proceed with an EPE process, the EPE committee will be responsible for creating a set of initial recommendations about how the overall process will be implemented. These recommendations will be based on relevant department, college, and university policies concerning performance and productivity expectations appropriate to the academic discipline, rank, and career stage of the tenured faculty member. The committee's initial recommendations will include the following elements:

1. Identification and description of the specific deficits to be addressed by the tenured faculty member during the EPE process;
2. Definition of specific, objective success measures that will be used to judge whether the tenured faculty member has successfully remediated the identified performance deficits;
3. Determination of a reasonable time period for the tenured faculty member to successfully accomplish the required remediation and complete the EPE process. A typical PDP will normally last from one to three calendar years (maximum), depending on the nature of the performance deficits to be addressed;
4. Identification of any resources that the tenured faculty member might reasonably expect to be provided to them in order to successfully remediate the performance deficits identified.

The committee chair will share the initial written recommendations with both the tenured faculty member and the Department Chair so both parties may provide feedback to the committee to correct any matters of fact, provide any additional pertinent information, or address any questions or concerns they may have. Feedback from the tenured faculty member or Department Chair must be provided to the committee within five working days of receiving the initial recommendations, although either party may choose to omit this step by informing the committee chair of their decision in writing.

After the committee has considered any feedback or suggested modifications to their initial recommendations, the committee will provide their final recommendations to the tenured faculty member and the Department Chair for comment. The committee's final recommendations shall include a rationale for why the committee decided to incorporate or not incorporate any suggested modifications from either party into their final recommendations. After a comment period of five working days, the committee will then formally submit their final recommendations and any comments received to the Dean for review and approval. The final committee recommendations approved by the Dean shall be transmitted to the tenured faculty member, the Department Chair, and the Provost.

8.3 Creating the PDP

After transmission of the EPE Committee's final recommendations, the tenured faculty member and their Department Chair both have the right to request that their Dean appoint a substitute (either the Associate Dean or a different Department Chair in the college) for the PDPS role. This request may be made for any reason. If the tenured faculty member or their Department Chair wish to make such a substitution, they will submit their request to the Dean in writing within five working days after transmission of the EPE Committee's final recommendations. The Dean will appoint a substitute for the tenured faculty member's Department Chair within five working days of receiving such a request.

Based on the final approved recommendations developed by the EPE committee, the PDPS, who will be responsible for overseeing a tenured faculty member's PDP, shall work collaboratively with the tenured faculty member to jointly develop a detailed, written PDP designed to address the performance issues identified by the EPE committee. The specific contents of any particular PDP are expected to differ depending on the circumstances surrounding each individual case. However, in order to ensure that there is no ambiguity as to expectations, responsibilities, and outcomes required for the tenured faculty member to successfully complete their PDP, the PDP shall at a minimum contain the following elements that explicitly map back to the final approved recommendations from the EPE committee:

1. A detailed description of the specific steps or actions to be undertaken by the tenured faculty member relative to remediating their performance during the course of their PDP;
2. A list of explicit outcomes and/or success metrics which the faculty member must meet in order to successfully complete the terms of the PDP;
3. An overall timeline for executing the PDP, including any specific deadlines for completion of individual remediation steps or actions required during the course of the PDP, and a final date by which the PDP must be fully completed;
4. A description of any resources that the tenured faculty member might reasonably expect be provided to them in order to successfully complete the terms of the PDP, including how and when those additional resources will be provided during the course of the PDP;
5. A timeline for the tenured faculty member to receive formal written feedback from their PDPS regarding their progress towards successful completion of their PDP, which must be provided no later than 6 months in the case of a one-year PDP, and no less than annually in the case of a multi-year PDP.

Once the terms of the PDP have been jointly agreed upon by the tenured faculty member and their PDPS, the PDP shall be reviewed and approved by the Dean. Approval of the final PDP by the Dean shall be contingent on the Dean agreeing that the final approved recommendations

originally provided by the EPE committee have been fully addressed by the terms and conditions of the PDP. The Dean will submit the approved PDP to the Provost for final review and approval within five working days after the Dean has received the PDP.

Once reviewed and approved by the Provost, a copy of the final approved PDP will be transmitted to the tenured faculty member. The tenured faculty member is required to acknowledge that they fully understand the terms and conditions of their approved PDP by returning a signed copy to the Provost, Dean, Department Chair, and PDPS within five working days. Those tenured faculty members participating in an approved PDP shall continue to also receive feedback on their performance through the typical AFR process.

Tenured faculty members are expected to fully participate and comply with the terms of their approved PDP. Willful non-compliance by the tenured faculty member with the terms of an approved PDP as well as failure to cooperate in jointly developing the PDP may result in the tenured faculty member being subject to disciplinary action based on neglect of their professional responsibilities as described in the UHS BOR Policy 21.07 Faculty Dismissal. Willful non-compliance means intentional failure or refusal to comply or participate.

8.4 Changing the Terms and Conditions of an Ongoing PDP

Situations when a change to an ongoing approved PDP may be allowable include, but are not limited to, circumstances beyond the control of the tenured faculty member. In such cases, the tenured faculty member is required to provide relevant documentary evidence supporting their request. Where such documentary evidence involves protected personal information, all reasonable care must be taken to prevent the unauthorized disclosure of such protected personal information beyond the tenured faculty member's PDPS, Dean, and the Provost.

Any request made by a tenured faculty member to change the terms, conditions or timelines contained in an ongoing approved PDP must provide details on the specific changes being proposed and be supported by their PDPS. Any changes shall be reviewed and approved by the EPE committee to ensure that the proposed changes do not impact the overall intent and desired outcomes of the PDP originally recommended by the EPE committee. Protected personal information provided by the tenured faculty member supporting their request to change the terms and conditions of their approved PDP shall not be shared with the EPE committee.

All PDP change requests are subject to review and approval of the Dean, with final review and approval by the Provost. After final approval by the Provost, copies of the modified approved PDP will be transmitted to the tenured faculty member, PDPS, Department Chair, EPE committee, and Dean.

8.5 Discontinuing the EPE Process

During any stage of an ongoing EPE process, the tenured faculty member may choose to meet with their PDPS, Department Chair, and Dean to discuss options for discontinuing the EPE process. Under such circumstances, the tenured faculty member may choose to negotiate terms

related to either of the following options with their Department Chair and Dean, subject to final approval by the Provost:

1. If aligned with the programmatic needs of the academic unit and approved by the Dean and Provost, the tenured faculty member may immediately and irrevocably resign from their tenured faculty position, and simultaneously be appointed as a non-tenure track (NTT) faculty member at the equivalent academic rank (i.e. senior lecturer, clinical associate professor, or clinical professor) with an initial appointment term of 3 years. The roles, responsibilities and compensation associated with such an NTT faculty appointment shall be approved by the Dean and Provost, and must be aligned with those of similar NTT faculty members at the same rank in the academic unit as described in the UHCL Faculty Handbook, §3.4.
2. If eligible, the tenured faculty member may choose to immediately and irrevocably retire from their tenured faculty position, and simultaneously enter a voluntary modification of employment contract at less than 0.5 full time effort (FTE), as defined in the UHCL Faculty Handbook, §3.9.

Regardless of which option for discontinuing the EPE process is mutually agreed upon, the terms of this agreement shall be captured in writing, acknowledged and signed by the tenured faculty member, and approved by both the Dean and the Provost.

8.6 Completing the PDP

At the conclusion of an approved PDP, the tenured faculty member shall prepare a written final PDP outcomes report detailing how they believe they have met the specific terms, conditions, and required outcomes of their approved PDP, which shall be submitted to the PDPS within 30 calendar days after the final date to fully complete the PDP.

The PDPS will review the tenured faculty member's final PDP outcomes report and prepare an independent written evaluation concerning whether or not the tenured faculty member has met the terms of their approved PDP. This evaluation, along with copies of the final approved PDP, the tenured faculty member's final PDP outcomes report, and all written feedback provided by the PDPS to the tenured faculty member during the course of their PDP, will be transmitted to the chair of the EPE committee and the tenured faculty member within 15 working days after the PDPS received the PDP outcomes report from the tenured faculty member.

If for whatever reason the EPE committee has lost any of its original members by the time a PDP is completed and submitted for review, eligible replacement faculty members shall be selected for the committee according to the same procedures used for forming the original committee. The EPE committee shall conduct an independent review of the PDP materials and prepare a final written recommendation and vote tally indicating whether or not the tenured faculty member has successfully completed their approved PDP. This recommendation will be submitted to the Dean, and copied to the tenured faculty member and their PDPS within 30 calendar days of the EPE committee receiving the PDP materials.

If after review the Dean agrees with the EPE committee's final recommendation, the Dean will submit the PDP materials, the EPE committee's final recommendation, and the Dean's approval to the Provost for final review and approval. Alternatively, if after review the Dean disagrees with the EPE committee's final recommendation, the Dean will submit the PDP materials, the EPE committee's recommendation, and their dissenting opinion to the Provost for final review and approval. Under either circumstance, these materials will be submitted to the Provost, and copied to the tenured faculty member, PDPS, Department Chair, and the chair of the EPE committee, within 15 working days of the Dean receiving the EPE committee's final recommendation.

The Provost will then conduct an independent review of all written materials related to the EPE process, including the initial EPE committee recommendations, the completed PDP materials, the EPE committee's final recommendation, and the Dean's approval or dissenting opinion regarding those final recommendations. After review, the Provost will make a determination as to whether or not the EPE process was conducted appropriately, and whether or not the tenured faculty member successfully completed the terms and conditions of their PDP. The Provost will transmit their decision in writing to the tenured faculty member, PDPS, Department Chair, chair of the EPE committee, and Dean, within 15 working days of the Provost receiving the EPE materials for review.

If the decision of the Provost is that the EPE process was conducted appropriately, and that the tenured faculty member successfully met the terms and conditions of their approved PDP, the tenured faculty member will immediately revert to the typical level of annual performance review required under college and university AFR policies and their future post-tenure performance review will be based on AFRs completed subsequent to this EPE.

If the decision of the Provost is that the EPE process was conducted appropriately, but the tenured faculty member failed to meet the terms and conditions of their approved PDP, the Provost reserves the right to pursue dismissal for cause charges against the tenured faculty member based on "substantial or manifest neglect of their professional or academic responsibilities" as per the policies and procedures defined in UHS BOR Policy 21.07 Faculty Dismissal and the UHCL Faculty Handbook §5.6. The tenured faculty member may grieve this decision by submitting a formal written grievance to the Office of the Provost within five working days of receiving notification from the Provost. The Provost will then initiate a formal faculty grievance procedure, as specified in the UHCL Faculty Handbook §9.1.

After review of the case (following the procedure and timeline for formal grievances specified in the UHCL Faculty Handbook, §9.1), the University Grievance Committee will provide their recommendations to the Provost regarding whether or not the committee believes that the EPE process was conducted appropriately, and whether or not the committee believes that the tenured faculty member successfully met the terms and conditions of their approved PDP.

Within 15 working days of receipt and consideration of the Grievance Committee and Provost's recommendations, the President will make a final decision concerning whether or not the tenured faculty member has successfully completed their approved PDP, and notify the tenured faculty

member, PDPS, Department Chair, chair of the EPE committee, Dean, and the Provost of that decision.

If the final decision of the President is that the tenured faculty member failed to meet the terms and conditions of their approved PDP, the President will inform the tenured faculty member, PDPS, Department Chair, chair of the EPE committee, Dean, and the Provost of that decision and the case will revert to the Provost. Provost reserves the right to pursue dismissal for cause charges against the tenured faculty member based on “substantial or manifest neglect of their professional or academic responsibilities” as per the policies and procedures defined in UHS BOR Policy 21.07 Faculty Dismissal and the UHCL Faculty Handbook §5.6.

DRAFT

Memo To: All UH-Downtown PS Holders UH-Downtown/PS 10.A.16
Issue No. 3
From: Loren J. Blanchard, President Effective Date: 08/01/23
Page 1 of 9
Subject: Performance Evaluation/Post-Tenure Review
of Tenured Faculty

1. PURPOSE

This policy is intended to promote a tenured faculty member's continued and enhanced performance for the benefit of the university -- the expectation set forth by PS 10.A.01 - Rank and Tenure System.

In compliance with Texas Education Code §51.942 and UHS Board of Regents Policy, Section III, rule 21.11.3, the University of Houston-Downtown (UHD) has adopted rules and procedures providing for a periodic performance evaluation process for all tenured faculty. The evaluation process is based on the professional responsibilities of the faculty member in teaching, scholarly/creative activities, and service/professional activities. It includes peer review, incorporates commonly recognized academic due process rights, and is directed toward the continued professional development of tenured faculty.

To that end, PS 10.A.16 enables a tenured faculty member who is not meeting minimum performance expectations to utilize a peer-coordinated faculty development plan devised in concert with the affected faculty member, with the primary goal of helping the faculty member return to expected performance levels.

2. DEFINITIONS

There are no definitions associated with this policy.

3. POLICY /PROCEDURES

3.1 Post-Tenure Annual Review

3.1.1 Performance Evaluation Reports

Each tenured faculty member at UHD undergoes a comprehensive performance evaluation process conducted once every year. This process is governed by PS 10.A.05 (Faculty Performance Evaluation Policy) for all faculty whose principal responsibility is teaching, while department chairs are evaluated according to the procedures set forth in PS 10.A.17 (Department Chair Policy).

After submitting their annual activity report, each faculty member receives a performance evaluation report with numerical ratings for each of the three areas of assessment. Performance categories and corresponding rating scores

are outlined in PS 10.A.05. Scores for teaching, scholarly/creative activities, and service/professional activities are based upon the criteria established by individual departments and articulated in departmental evaluation rubrics.

3.1.2 Review of Evaluation Reports

The faculty development plan (described in section 3.2) shall be initiated if at least one of the following conditions applies:

- a. the two out of the three most recent annual performance evaluation reports (omitting those exempted under 3.1.3) indicate that the faculty member has not been meeting expectations in at least one area of assessment (i.e., as defined in PS 10.A.05, received a rating of 2 or lower for the same area on both reports); or
- b. a faculty development plan is indicated by PS 10.A.05 (section 3.1.4).
If neither condition applies, then no further action is necessary with respect to this policy.

3.1.3 Exemptions

Before a tenured faculty member submits their annual activity report, they may request to omit the corresponding performance evaluation report from the review under section 3.1.2. This process is the exception to the rule and may be used only in extraordinary circumstances. Requests must be made in writing before the review period and submitted directly to the provost. Circumstances that may justify an omission include, but are not limited to, family emergencies, becoming a parent, serious illness or injury, or other serious disruptions or personal emergencies beyond the faculty member's control.

The provost will review the request and determine whether an approval will be granted. If denied, the provost will notify the faculty member that all performance reports must be submitted. If approved the provost will notify the department chair of the request, but not the reason for the request, within five working days. The department chair will acknowledge the omission of the performance evaluation report in writing, with copies to the dean and the faculty member.

The omission of a performance evaluation report may occur only once (for a total of one year of omission) during any six consecutive years, with each omission occasioned by the circumstances listed above.

An exemption granted under this section pertains only to the review of evaluation reports as per section 3.1.2.

3.2 Faculty Development Plan

The goal of a faculty development plan is to restore the faculty member's performance to the level that meets or exceeds expectations as articulated in the

departmental rubric. The plan's purpose is to make specific the activities and accomplishments necessary to restore performance to that level. The plan is to be drafted by an ad-hoc post-tenure development committee (defined in section 3.3 below) in collaboration with the affected faculty member, the department chair, and the dean. It is the faculty member's obligation to assist in developing a meaningful and effective plan and to make a good-faith effort to implement the plan. The plan should be in writing and must:

- 3.2.1 list specific deficiencies to be addressed;
- 3.2.2 define specific goals/outcomes necessary to remedy the deficiencies;
- 3.2.3 list specific actions/activities, if any, a faculty member must undertake to achieve the goals/outcomes;
- 3.2.4 identify institutional resources to be committed in support of the plan;
- 3.2.5 indicate the criteria for assessment of progress in the plan; and
- 3.2.6 set the timeline for achieving goals/outcomes.
The timeline shall not exceed three years, after which time the faculty member's performance must meet or exceed expectations in all areas (as indicated by a score of 3 or above in each area of assessment).

3.3 Post-Tenure Development Committee

The three-member ad-hoc post-tenure development committee (committee) is charged with drafting the faculty development plan in collaboration with the affected faculty member, the department chair, and the dean, and monitoring and assessing progress toward achievement of the plan's goals in accordance with procedures outlined in Section 4 of this policy.

The committee is appointed by the dean in consultation with the department chair and the affected faculty member. The committee members shall be selected based on their objectivity, relevance of their area of expertise, and academic qualifications. The committee shall be comprised only of faculty of the same or higher rank as the affected faculty member. When appropriate or necessary, the committee may include faculty from other departments or colleges.

4. PROCEDURES

If the affected faculty member is a department chair, then the responsibilities of the chair described in this policy shall be performed by the dean.

4.1 Notification

If a faculty development plan is indicated upon review of performance evaluation reports (see section 3.1.2), it begins either when a faculty member chooses not to appeal the annual performance evaluation rating scores or upon completion of the appeal process if the final performance evaluation scores still call for a faculty development plan as per section 4.1.2.

The department chair shall alert the dean of any faculty member whose performance calls for establishing the faculty development plan.

The dean, after consultation with the department chair, will notify the affected faculty member in writing that they are subject to a faculty development plan and inform them of the procedure. A copy of the notification will be sent to the provost. Once the faculty member has been notified, the committee is formed as per section 4.3 of this policy.

4.2 Establishment of Faculty Development Plan

The department chair shall provide the committee, at minimum, with relevant annual activity reports submitted by the affected faculty member, copies of any available corresponding performance evaluations by departmental review committees, and performance evaluation reports which initiated this plan (see sections 3.1.3, 3.1.7, and 3.1.8 of PS 10.A.05).

The committee shall consider these materials and, in collaboration with the affected faculty member and the department chair, draft an individualized faculty development plan which satisfies the requirements outlined in section 3.2 above. The faculty member can provide the committee with any additional materials at any time before the plan's draft is sent to the dean.

The draft of the plan will be sent to the dean who will either accept it as written or send it back to the chair, the committee and the faculty member with comments and suggestions on how to adjust. Once the plan has been approved by the dean, the dean shall send it to the faculty member, with a copy to the provost.

If the faculty member does not agree with the plan approved by the dean, the plan and the faculty member's written comments must be forwarded to the provost for a final determination and decision.

The faculty member is expected to fully participate and comply with the terms of the approved faculty development plan. Willful non-compliance may result in the faculty member being subject to disciplinary action based on neglect of their professional responsibilities.

4.3 Progress Assessment

Once a faculty development plan has been initiated, the faculty member's progress in

the plan will be assessed at least once a year for the duration of the plan, during the regular annual review cycle. The affected faculty member shall submit a plan progress report along with their annual activity report, both to be reviewed by the department chair (or the dean if the affected faculty member is the chair) and the post-tenure development committee.

If the committee has lost any of its original members, then eligible replacement faculty members shall be appointed by the dean before the progress assessment and performance evaluation begin.

The evaluation of a faculty member's annual performance in the three areas shall be carried out by the department chair in consultation with the post-tenure development committee in the manner established by the applicable policy (PS 10.A.05 or PS 10.A.17).

The committee will also consult with the department chair concerning the faculty member's progress toward achieving the goals and meeting the milestones set forth by the faculty development plan. The general assessment of the faculty member's progress in the plan shall be included in the chair's performance evaluation report for the faculty member.

The chair must also send the progress assessment to the dean, in writing, and formally state one of the following findings:

4.3.1 Satisfactory progress in meeting the goals of the faculty development plan

Upon review and approval, the dean will communicate this finding to the faculty member in writing, with a copy to the provost. This finding requires no further action. However, if requested by the faculty member and approved by the department chair and the committee, this finding may be accompanied by the chair's written request to the dean to approve the change in terms of the ongoing faculty development plan (see section 4.4).

4.3.2 Unsatisfactory progress in meeting the goals of the faculty development plan

This finding may be accompanied by chair's written request to the dean to make certain specific modifications to the terms of the ongoing faculty development plan. The proposed modifications are either requested by the faculty member and approved by the department chair and the committee or are requested by the chair and the committee and agreed upon by the affected faculty member. Upon approval, the dean will communicate the finding of unsatisfactory progress to the faculty member in writing, with a copy to the provost.

Alternatively, this finding may be followed by a written recommendation to the dean to terminate the plan. All the relevant materials (e.g., annual reports, performance evaluation reports, previous progress assessments etc.) shall be

included with the recommendation. Upon review, the dean will communicate the finding of unsatisfactory progress to the faculty member, with a copy to the provost, or initiate completion of the faculty development plan procedure outlined in section 4.5 below.

4.3.3 Plan completion

When the goals of the plan have been achieved or when the agreed timeline is exceeded, the department chair, in consultation with the committee, shall send the plan completion report to the dean, and include all the relevant materials (see section 4.5 – Completion of the Faculty Development Plan, below).

While the faculty development plan is ongoing, a copy of each annual performance evaluation report, chair's assessment of the faculty member's progress on the plan, and dean's communication of findings to the faculty member shall be sent to the provost.

4.4 Changes in the Approved Faculty Development Plan

During any periodic progress assessments, the faculty member may request a change in terms of the ongoing faculty development plan. The requested changes shall be specific and should be included in the plan progress report to be reviewed by the committee and the chair. Situations when a change to an ongoing faculty development plan may be approved include, but are not limited to, circumstances beyond the affected faculty member's control. In such cases, the faculty member is required to provide relevant documentary evidence supporting their request. Where such documentary evidence involves protected personal information, all reasonable care must be taken to prevent the unauthorized disclosure of such protected personal information beyond the department chair, the dean, and the provost.

The request to change the terms of an ongoing faculty development plan may also be initiated by the chair and/or the committee in concert with the affected faculty member if it is deemed beneficial for the successful completion of the plan.

All change requests are subject to approval of the dean, with final approval by the provost. After final approval by the provost, copies of the modified plan will be sent to the affected faculty member, the dean, the department chair, and the committee.

4.5 Completion of the Faculty Development Plan

If the dean receives a plan completion report as per section 4.3.3 or a recommendation to terminate the plan as per 4.3.2 then the dean must make a determination:

4.5.1 Satisfactory Completion of the Plan.

If, upon reviewing the chair's plan completion report along with other relevant materials, the dean agrees that (a) the tenured faculty member has met the goals of the faculty development plan within the timeframe set forth by the plan, and (b) their performance meets the departmental expectations in all

three areas of assessment, the dean will inform the faculty member of that finding in writing, with a copy to the provost.

A satisfactory completion of the plan is a positive outcome to which all faculty and administrators involved in the process shall be committed.

4.5.2 Unsatisfactory Completion of the Plan

If, upon reviewing the chair's plan completion report or the chair's recommendation to terminate the plan as per 4.3.2 along with all the relevant materials and discussing them with the affected faculty member, the dean agrees that the faculty member (a) has failed to meet the goals set forth in the faculty development plan according to the established timeline, and (b) still fails to meet departmental performance expectations, then the dean will report this finding to the provost, in writing, with a copy to the affected faculty member.

In this case, the faculty member will be subject to disciplinary action, including those outlined in PS 10.A.06 (UHD Faculty Dismissal Policy and Procedures).

- 4.5.3 If, upon reviewing the chair's plan completion report or recommendation to terminate the plan, the dean disagrees with the chair's finding then the provost will review all the available materials and make the determination in consultation with the dean and the department chair.

4.6 Appeals

- 4.6.1. The timeline and the appeal procedure for annual performance evaluation reports are governed by the applicable evaluation policy (PS 10.A.05 or PS 10.A.17).
- 4.6.2. Faculty development plan progress assessment and findings may be appealed to the provost.
- 4.6.3. If the faculty member wishes to contest the composition of the post-tenure development committee, an appeal may be made to the provost. After consultation with the faculty member, department chair, and dean, the provost will determine the committee composition.
- 4.6.4. If at the final determination of an unsuccessful completion of the plan, the faculty member believes the provisions of this policy were unfairly applied, a grievance may be filed under the provisions of PS.10.A.02 (Faculty Grievance Policy).

4.7 Specific Reasons and Nonbinding Alternative Dispute Resolution

The Board of Regents of the University of Houston System must give specific

reasons in writing for any decision to terminate a tenured faculty member based on the outcome of the procedures outlined in this policy. The faculty member shall have the opportunity for referral of the matter to a nonbinding, alternative-dispute-resolution process as described in Chapter 154, Civil Practice and Remedies Code.

The opportunity for nonbinding alternative dispute resolution shall be available only after all internal appeal procedures are exhausted.

4.8 Timetable

In any year:

- | | |
|--------------|---|
| May 20 | The faculty member and the provost are notified as per section 4.1 that initiating a faculty development plan is indicated.
Note: May 20 th is the deadline for the decision on the appeal of annual performance evaluations. |
| September 1 | The post-tenure development committee is identified, and relevant materials are shared with the committee as per 4.2 |
| September 15 | The post-tenure review peer committee submits the first draft of a faculty development plan to the dean per 4.2. |
| October 1 | The approved faculty development plan is shared with the affected faculty member, the department chair, the dean, and the provost. |

In a year when a faculty development plan is ongoing:

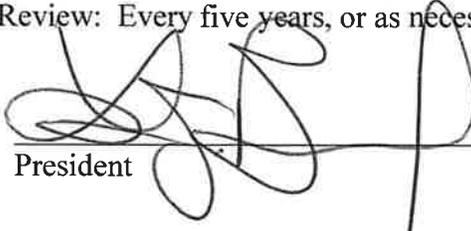
The chair's communication of progress assessment and/or final plan completion report must be submitted to the dean by the date specified in PS 10.A.05 for chairs to submit preliminary ratings to their dean.

The dean's communication of findings regarding the faculty member's progress assessment must be submitted to the faculty member by the date specified in PS 10.A.05 for chairs to submit written performance evaluation reports to the individual faculty member.

4. REVIEW PROCESS

Responsible Party (Reviewer): Senior Vice President for Academic Affairs and Provost

Review: Every five years, or as necessary



President

5. POLICY HISTORY

Issue #2: April 16, 1998

6. REFERENCES

[PS 10.A.01- Rank and Tenure System Policy](#)

[PS 10.A.02- Faculty Grievance Policy](#)

[PS 10.A.05- Faculty Performance Evaluations Policy](#)

[10.A.06 Faculty Dismissal policy](#)

[UHS Board of Regents Policy 21.11.3 – Post Tenure Review](#)

Chapter 154, Civil Practice and Remedies Code

Texas Education Code §51.942

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Finance and Administration

ITEM: Approval is requested to delegate authority to the Chancellor to negotiate and execute contracts exceeding \$1 million for the purchase of goods or services, excluding construction contracts, at the University of Houston System.

DATE PREVIOUSLY SUBMITTED: N/A

SUMMARY:

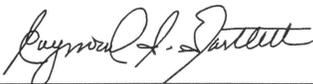
Approval is requested for contracts that are expected to exceed \$1 million that are associated with the purchase of goods or services, excluding construction contracts, at the University of Houston System. Board of Regents policy 55.01.01 states that the board must approve any contract, including any amendment, extension, or renewal thereto, that results in the value of the contract exceeding \$1 million throughout the term of the contract.

SUPPORTING DOCUMENTATION: Summary of Contracts

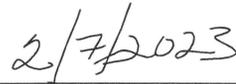
FISCAL NOTE: See supporting documentation for value of each contract.

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item

COMPONENT: University of Houston System



SENIOR VICE CHANCELLOR Raymond S. Bartlett



DATE



CHANCELLOR Renu Khator



DATE

University of Houston System
Summary of Goods and Services Contracts Greater than \$1 Million
F&A Committee - February 2023

Component	Project	Procurement Method	Vendor	Purpose	Term	Amount	Funding Source	HUB Goal
Goods and Services Contracts Greater than \$1 Million								
UH	Office Supplies	Request for Proposal	TBD	To obtain one or more contract office supply providers for the University of Houston that provides excellent customer service, a guaranteed discount on core items, online ordering, next day delivery, pick up of returned items, accepts multiple payment methods, and provides departmental level billing.	Initial Term: 3 Years Optional Term: 2 Years	Initial Term: \$6,000,000 Optional Term: \$4,000,000	Multiple	21.1%
UH	Mass Spectrometry Equipment	Cooperative Purchasing Program-PROVISTA MR91000	Thermo Fisher Scientific	Purchase and equipment maintenance for high resolution mass spectrometry equipment required for the analysis of various compounds for research related purposes.	Initial Term: 5 years	Initial Term: \$3,000,000	State	0.0%
UH	Residential Laundry Services	Request for Proposal	TBD	Provide equipment, preventative maintenance, and online monitoring and repair need reporting for approximately 600 commercial grade, energy efficient laundry machines in seven residential facilities at the University of Houston.	Initial Term: 3 Years Optional Term 1: 1 Year Optional Term 2: 1 Year	Initial Term: \$600,000 Optional Term 1: \$200,000 Optional Term 2: \$200,000	Auxiliary	26.0%
UHS	Executive Search Firms	Request for Proposal	Multiple (8 firms total)	To increase the maximum amount of the existing Executive Search contract agreements within the current contract period. Executive Search contracts are used for recruiting and interim placements for senior, executive, or other highly specialized positions within the system.	Initial Term: 3 years Optional Term: 2 years	Initial Term: \$1,800,000 Optional Term: \$1,200,000 Amendment: \$2,000,000	Designated	26.0%

University of Houston System
Summary of Goods and Services Contracts Greater than \$1 Million
F&A Committee - February 2023

Component	Project	Procurement Method	Vendor	Purpose	Term	Amount	Funding Source	HUB Goal
UHS	Learning Management System (LMS) Compliance Monitoring	Sole Source	Blackboard Ally	To ratify the amendment to the existing LMS compliance monitoring software, Blackboard Ally, extending the agreement by 5 years at a cost increase of \$453K. The software integrates with the LMS to perform reviews of digital academic content to help support accessibility for all users and provides real-time accessibility compliance tools.	Initial Term: 3 years Optional Term 1: 3 years Amended Optional Term 1: 6 years	Initial Term: \$355,000 Optional Term 1: \$282,000 Amended Optional Term 1: \$453,000 (total Optional Term 1: \$735,000)	Designated	0%
UH	University Vehicle Fueling	Request for Proposal	Three L. Inc	To ratify the amendment to the existing bulk fuel agreement, increasing the cost by \$125,000. The December 2022 freeze increased the expected use for the remainder of this agreement.	Initial Term: 5 years Optional Term 1: 6 months	Initial Term: \$900,000 Optional Term 1: \$75,000 Amended Optional Term 1: \$125,000 (total Optional Term 1: \$200,000)	State	26%
Real Property and Lease Contracts BOR 55.01.01								
UHD	Easement	N/A	Texas Historical Commission	UHD will provide a perpetual easement to the Texas Historical Commission that allows them to inspect the building and recommendations to maintain the buildings historical integrity. UHD will receive a 10 year grant for the cost of flood mitigation projects done to protect the One Main building.	Initial Term: 10 years	Initial Term: \$250,000	Designated	N/A

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Finance and Administration

ITEM: Approval is requested to delegate authority to the Chancellor to negotiate and execute construction contracts exceeding \$1 million for projects at the University of Houston System.

DATE PREVIOUSLY SUBMITTED: N/A

SUMMARY:

Approval is requested for contracts that are expected to exceed \$1 million that are associated with construction projects at the University of Houston System as listed in the supporting documentation. Board of Regents policy 55.01.01 states that the board must approve any contract, including any amendment, extension, or renewal thereto, that results in the value of the contract exceeding \$1 million throughout the term of the contract.

SUPPORTING

DOCUMENTATION: Summary of Construction Contracts

FISCAL NOTE: See supporting documentation for value of each contract.

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item

COMPONENT: University of Houston System



SENIOR VICE CHANCELLOR

Raymond S. Bartlett



DATE



CHANCELLOR

Renu Khator



DATE

University of Houston System
Summary of Construction Contracts Greater than \$1 Million
F&A Committee - February 2023

Component	Project	Procurement Method	Vendor	Purpose	Amount	Funding Source	HUB Goal	Comments
UH	Guy V. Lewis Development Center Men's and Women's Locker Room Renovations	CMAR	TBD	Construction contract. Construction contract for the men's and women's locker room renovations at the Guy V. Lewis Development Center located at the University of Houston.	\$ 4,500,000	Auxiliary, Donor	21.10%	
UH	Electronic Access Control External Doors for Multiple Buildings at UH, UH@SL & Tech. Bridge	RFP	TBD	Construction contract. Construction contract for the installation of access control devices on exterior doors for multiple buildings located at the University of Houston, University of Houston Sugar Land and University of Houston Tech. Bridge.	\$ 2,500,000	HEAF	21.10%	This projects will provide electronic access control devises on all exterior public doors.
UH	Houston Public Media Infrastructure Upgrades	CSP	E Contractors	Construction contract. Construction contract for the installation and infrastructure upgrades to support a new emergency generator located at the University of Houston.	\$ 3,000,000	Donor, Auxiliary Funds	21.10%	
UHS	Architectural Programming Services CSA	RFQ	TBD	CSA Contract: Architectural Programming services to be performed on an as-needed basis for new construction and renovation projects. Contracts available to all campuses.	\$ 3,000,000	Various Project Funds	23.70%	Award three vendors maximum with total contract values not to exceed \$3M. Each contract to have a maximum term of five years (three years with two one year renewal options).

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Finance & Administration

ITEM: Approval is requested to establish textbook access fees for the University of Houston System institutions.

DATE PREVIOUSLY SUBMITTED: N/A

SUMMARY:

The University of Houston System institutions are requesting textbook access fees effective for the Fall 2023 semester. At the University of Houston, the fee would be \$299 per fall and spring semester and \$180 per summer semester for all undergraduate students. At the University of Houston-Clear Lake, University of Houston-Downtown, and University of Houston-Victoria, the fee would be on a per course basis, and would range between \$10-\$120 per course. The fee represents the cost for course materials. The benefit to students is that they will receive course materials on or before the first day of classes and be able to use their financial aid. Students will be notified about the fee when registering for classes and will be able to opt out through the official registration date (twelfth class day). Digital course materials will be provided through the learning management system and physical materials will be available for pick up or shipping through the UH System campus stores. The fee will appear on their fee bill. Textbook access programs are a common practice among peer institutions in Texas and across the nation.

SUPPORTING

DOCUMENTATION: Rationale for Textbook Access Fees Request

FISCAL NOTE: See supporting documentation

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item.

COMPONENT: University of Houston System

Raymond S. Bartlett

SENIOR VICE CHANCELLOR Raymond S. Bartlett

2-7-2023

DATE

Renu Khator

CHANCELLOR Renu Khator

2/16/23

DATE

**Rationale for Textbook Access Fees Request
UH System Textbook Access Programs**

Objective

The objective of this request is to reduce the cost of textbooks and course materials for students and ensure students have access to digital and physical course materials on or before the first day of class.

Rationale

This provides a convenient and seamless delivery mechanism for course materials, uses the current faculty adoption method, saves students between 40-60% of the new textbook prices, and enables the university to bill students on their bill for course materials, and enables students to use their direct financial aid to pay for course materials.

Table 1 – Fees Requested by UHS Institution

Institution	Program Name	Fee (\$)
University of Houston	Cougar Textbook Access Program	\$299(Fall/Spring) \$180 (Summer)
University of Houston-Clear Lake	Hawk Textbook Access Program	\$10-\$120 (Per Course)
University of Houston-Downtown	Gator Textbook Access Program	\$10-\$120 (Per Course)
University of Houston-Victoria	Jaguar Textbook Access Program	\$10-\$120 (Per Course)

The purpose of the textbook access fees is to provide students with course materials on or before the first day of classes, while providing an opt-out mechanism for students who decide not to participate. In the pilot program at the University of Houston, since Spring 2022, 52,454 students have participated, **saving** more than \$2.9 million off of the price of new course material retail pricing. In surveys to participating UH students, 85% of these students prefer all of their classes to be offered with CTAP included. By implementing the program on a semester basis for all undergraduate students at UH, projected per semester student savings could be as high as \$6.4 million, with a weighted average savings of \$254 per student. Revenues from the UH fee of approximately \$416K per year will offset commission losses for direct book sales with the remainder used for program administration costs. The other UH System institutions would be implementing per course programs, with a goal of implementing a per semester or flat fee program for all undergraduate students after phasing in the program on per course basis, similar to the phasing approach at the University of Houston. Revenues for the other institutions will vary based on course and student participation, with 7% of fees charged retained to cover program administration costs.

Operationalization

Students will see the charge for course materials when registering for their classes and will have the option to opt-out of the program until the official registration date (twelfth class day). Digital materials will be loaded into the learning management system and physical materials will be available to be picked up for no additional cost at the campus store or shipped from the UH System campus stores. The fee should be treated as an incidental fee according to *Section 54.504 of the Texas Education Code*.

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Finance & Administration

ITEM: Approval is requested to write off Accounts and Notes Receivable for FY2022

DATE PREVIOUSLY SUBMITTED: Fiscal Year Write-Off Submitted Annually

SUMMARY:

Approval is requested to write-off Accounts and Notes Receivable totaling \$7,564,441 for Fiscal Year 2022 for the University of Houston, University of Houston-Clear Lake, University of Houston-Downtown, and University of Houston-Victoria, which is approximately 0.63% of the \$1B in revenue that generated the receivables. State Universities are required by law to extend credit to students without consideration of credit history or ability to repay.

	FY 2022	% of Related Revenue	Fed Reserve CC Default Rate	NACUBO Institutional Loan Rate	DOE Student Loan Default Rate
University of Houston	\$ 5,028,238	0.56%			
University of Houston - Clear Lake	350,908	0.28%			
University of Houston - Downtown	1,833,978	1.21%			
University of Houston - Victoria	351,316	0.70%			
	\$7,564,441	0.63%	2.08%	4.1%	2.3%

SUPPORTING

DOCUMENTATION: Schedule of Accounts and Notes Receivable Write-Offs for FY2022. Detailed schedules are on file in the UH Division of Finance Offices.

FISCAL NOTE: \$7,564,441

RECOMMENDATION/ ACTION REQUESTED: Administration recommends approval of this item.

COMPONENT: University of Houston System



 SENIOR VICE CHANCELLOR Raymond S. Bartlett



 DATE



 CHANCELLOR Renu Khator



 DATE

-----Delinquent Accounts and Notes Receivable Written Off in 2022-----

Proposed Write-Off:	Total Delinquent Accounts from 2020 and earlier	UH	UHCL	UHD	UHV
Federal					
Grants & Contracts	-	-	-	-	-
Non-Federal					
Tuition & Fees	7,139,283	4,644,488	347,162	1,796,317	351,316
Sales & Services	425,158	383,751	3,746	37,661	-
Grants & Contracts	-	-	-	-	-
Court Ordered Restitution	-	-	-	-	-
Total Write Off	7,564,441	5,028,239	350,908	1,833,978	351,316

Tuition/Fee Write Off Statistics

FY 2022

Tuition/Fee Write Off as a Percent of Revenue	0.63%	0.56%	0.28%	1.21%	0.70%
Tuition/Fee Revenue	848,070,486	614,528,130	85,071,826	114,342,987	34,127,542

Write Off As a Percent of Related Revenue	0.62%	0.51%	0.39%	1.58%	0.89%
Tuition, Fee, Auxiliary, and Research Revenue	1,222,080,674	977,528,652	89,058,366	116,143,965	39,349,692

FY 2021

Tuition/Fee Write Off as a Percent of Revenue	0.62%	0.60%	0.32%	0.95%	0.63%
Tuition/Fee Revenue	835,830,277	599,720,068	82,353,832	116,397,378	37,358,999

Write Off As a Percent of Related Revenue	0.68%	0.60%	0.54%	1.29%	0.84%
Tuition, Fee, Auxiliary, and Research Revenue	1,114,670,026	869,681,566	84,380,034	117,875,526	42,732,900

All UHS components, accounts and notes receivables, other than federal loan programs, are written off if more than two years past due and collection efforts remain unsuccessful. The write-off is an accounting entry to report receivables at a realistic asset value. These charges remain on student accounts, and all students are reported to the State of Texas via the TINS Warrant Hold system.

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Finance & Administration

ITEM: Approval is requested to delegate authority to the Chancellor to negotiate and execute insurance policies for Fiscal Year 2023-24.

DATE PREVIOUSLY SUBMITTED: February 24, 2022

SUMMARY:

Approval is requested to delegate authority to the Chancellor to negotiate and execute insurance policy renewals for Fiscal Year 2023-24. The State Office of Risk Management (SORM) facilitates the Property, Directors & Officers / Employment Practices / Educators Legal Liability, Builder's Risk, Fine Arts, and Automobile insurance programs. Other insurance policies to protect the University of Houston System are administered by the UH Risk Management department. UHS has staggered renewal dates, with most policies renewing March 1, 2023. The FY2022 annualized insurance expense was \$8.16 million.

The FY23-24 expense is anticipated to increase primarily due to a rise in the property insurance premium, with moderate premium increases on other lines of insurance due to market conditions. The property increase is due to several factors including worldwide natural disasters and the resulting claims, which has resulted in hard market conditions.

Not all policy quotations have been received, thus the exact insurance premiums are unknown at this time. Therefore, we are seeking a Delegation of Authority to the Chancellor to negotiate insurance coverage terms and purchase insurance policies in an amount not to exceed \$10.9 million for FY23-24.

SUPPORTING

DOCUMENTATION: Insurance Renewal Status Report

FISCAL NOTE: Estimated annual premiums not to exceed \$10.9M

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item.

COMPONENT: University of Houston System



SENIOR VICE CHANCELLOR Raymond S. Bartlett



DATE



CHANCELLOR Renu Khator



DATE

University of Houston System

Insurance Renewal Status Report FY23 – FY24

Marketing Projections

Placing the University of Houston’s insurance policies has been an ongoing challenge. The majority of insurance policies expect some form of premium increase, either due to rate increases or increase in risk. Additionally, we anticipate that our property policy will suffer from another increase in premium. Property coverage increases are a result of the market continuing to correct itself from previous soft conditions, additions to the insurance schedule of property from new construction, as well as insurance carriers sustaining extensive claim losses worldwide. The System is also affected by from major property losses due to Hurricane Harvey, the 2021 winter freeze, and the 2022 winter freeze, which will be likely to affect our insurance rates regardless of the level of the System’s claims.

Renewal Process

The UH Risk Management department facilitates the purchase of the majority of insurance policies for the System. This process includes gathering data from multiple sources across the University community, analyzing insurance needs and market trends, and submitting pertinent information in order to obtain quotes. Most lines of insurance are placed through a dedicated broker, Arthur J. Gallagher. However, five lines of coverage are procured through the State Office of Risk Management, as they are state sponsored programs that UH is legislatively required to utilize, and include the property policy. UHS has staggered renewal dates, with most policies renewing March 1, 2023.

Current and Projected Insurance Premiums

The University of Houston System’s insurance program for Fiscal Year 2022 consisted of 26 policies with an aggregate annual cost of approximately \$8,158,071. The System is expecting an approximate 30% increase for FY23 for the property insurance with moderate premium increases for most other lines.

The projected request for Board approval will be \$10.9M due to anticipated property insurance increases, construction projects on campus, and rate increases due to the insurance market conditions. This represents an increase of \$2.7M over actual FY22-23 insurance policy costs. Cost escalation from the FY22-23 to the FY23-24 period are largely driven by an anticipated 30% increase in the property policy, totaling \$2.1M, as well smaller increases for most other policies.

Items for Consideration:

- The property insurance market is currently not favorable to property owners, which is the bulk of the System’s insurance premium budget.
- Insurance markets continue to project rate increases due to worldwide natural disasters, including the February 2021 freeze in Texas and December 2022 freeze.
- The University has continuously increased property values due to new construction and renovation upgrades in existing buildings.
- The System reviewed the replacement value of its buildings with its broker, which resulted

University of Houston System Insurance Renewal Status Report FY23 – FY24

the application of a 4% increase in the replacement cost value of several buildings. This is a necessary adjustment due to increasing costs of construction.

Premium Summary

Premium by Policy Type

Policy	Annual Expense FY21	Annual Expense FY22	Est Annual Expense FY23	Policy Period
Property including Equipment Breakdown & Terrorism, Buy Down	6,947,620	7,142,283	9,284,967	Apr 30 - Apr 30
Directors & Officers / Employment Practices Liability	199,169	220,190	231,200	Sept 1 - Sept 1
Medical Malpractice	141,984	157,388	180,996	Mar 1 - Mar 1
Automobile	234,563	269,157	\$337,709	Sept 1 - Sept 1
Builder's Risk – University of Houston Master Program	149,886	31,247	\$428,530	May 1 - May 1
All Others Policies and Broker Fees	293,616	337,807	435,883	Varies
Total	\$7,966,838	\$8,158,072	\$10,899,285	

Premium Allocation by University

Campus	Annual Expense FY21	Annual Expense FY22	Est Annual Expense FY23
UH	5,899,261	6,258,285	7,749,392
UH Downtown	690,620	666,292	882,842
UH Clear Lake	723,655	749,195	991,835
UH Victoria	470,089	484,299	643,058
UH System	183,213	481,101	632,158
Total	\$7,966,838	\$8,158,072	\$10,899,285

Insurance Policies Not Purchased by Risk Management

In addition to the insurance policies referenced above, Risk Management assists other departments and University organizations with the acquisition of specific insurance coverages.

These insurance policies do not currently fall under Risk Management's purview to purchase, and are not included in the delegation of authority for this agenda item. They are provided in the table below for informational purposes.

University of Houston System Insurance Renewal Status Report FY23 – FY24

Department & Policy	Annual Premium 2021	Annual Premium FY22	Est Annual Premium FY23
College of Business Foundation: Commercial Crime, Primary & Excess Directors & Officers/Empl Practices	5,400	5,400	5,400
Cougar Investment Fund, LLC: Errors and Omissions Policy	17,252	17,252	\$7,252
Special Event Liability: Bed Races	0	0	1,000
Lawyer’s Professional	200	200	200
Athletics: NCAA Medical Accident Stop Loss Policy & Claim Administrative Fee	547,500	547,500	547,500
Total	\$570,352	\$570,352	\$571,352

Informational Items

Workers’ Compensation/Risk Management Services Assessment

The State Office of Risk Management assesses annual fees to each component campus for administering the university’s workers’ compensation self-insurance program and for providing risk management services such as the administration of enterprise-level insurance purchases for various state agencies. These expenses are not included in the delegation authority for this agenda item as participation in this program is mandated by state law and an interagency agreement has already been executed for FY22 – FY23.

Campus	WC/SORM Final Assessment FY2021	WC/SORM Final Assessment FY2022	WC/SORM Initial Assessment FY2023
UH	1,055,812	971,469	1,045,300
UH Downtown	123,902	120,144	129,275
UH Clear Lake	144,130	130,237	140,135
UH Victoria	50,307	45,614	49,081
UH System	6,845	6,738	7,810
Total	\$ 1,380,996	\$ 1,274,202	\$ 1,371,601

Student Health Insurance

The Student Health Insurance Advisory Committee negotiates the procurement of student health insurance. The coverage is optional for domestic students yet mandatory for international students. The total estimated premium for the 2022-2023 is projected to be approximately \$16.4 million. The student health insurance program is not included in the delegation of authority for this agenda item as the premium costs are borne by the individual students that purchase the coverage.

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Finance & Administration

ITEM: Approval is requested for the University of Houston System self-insurance fund.

DATE PREVIOUSLY SUBMITTED: N/A

SUMMARY:

Approval is requested for the University of Houston System self-insurance fund for medical professional liability for correctional health activities. The fund will maintain a minimum balance of \$750,000. Oversight of claim negotiation, settlement, and payment will be provided by the Office of the General Counsel.

SUPPORTING

DOCUMENTATION: University of Houston Self Insurance Fund establishment document

FISCAL NOTE: minimum balance \$750,000

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item.

COMPONENT: University of Houston System



SENIOR VICE CHANCELLOR

Raymond S. Bartlett

2-13-2023

DATE



CHANCELLOR

Renu Khator

2/16/23

DATE

Background

The University of Houston System recommends the establishment of a self-insured fund for medical professional liability for correctional health activities as the most cost-effective option. Few insurers will provide coverage, with the best quote at a cost of approximately \$792K per year with a \$100K deductible for a \$1M individual claim limit. Based on the professional liability history for the Harris County Jail system, the System's average annual losses are estimated to be \$317K with a claim exceeding \$1M to occur approximately one time every 10 years. A \$750K fund, established via monthly payments from Harris Health, will cover the average annual claims and provide sufficient fund for infrequent large claims.

Fund Establishment

Pursuant to Chapter 59, subchapter A of the Texas Education Code, the University of Houston will establish a self-insurance fund for medical professional liability for correctional health activities (the "Fund"). The purpose of the fund is to pay any damages ruled in a court of competent jurisdiction or a settlement of any health care liability claim against a health care professional, staff member, or student arising from the exercise of the member's or student's appointment, duties, or training with the University of Houston for activities associated with our duties and obligations under the Affiliation and Services Agreement with Harris Health.

Fund Administration

The University of Houston System General Counsel and the Risk Management Department will create a Professional Medical Liability Plan that will address all necessary conditions for participation, coverage, and administration.

The Fund will at all time maintain a minimum balance of \$750,000, to be provided by Harris Health via the Affiliation and Services Agreement's provision for overhead. The University of Houston's Tilman J. Fertitta Family College of Medicine will bill Harris Health each month. Additional billing will continue to occur even after the minimum balance is reached to ensure that claims are incurred and paid and that the minimum balance is maintained. Funds will be deposited in the University of Houston Operating Bank Account, under the administration of the Division of Administration and Finance, and interest accrued to the fund will be accounted for on a monthly basis.

The University of Houston System General Counsel has full authority for and oversight of the negotiation, settlement, and payment of claims against the fund up to the maximum claim amount of \$1M. Valid claims against the fund, as confirmed by the University of Houston System General Counsel, will be managed by the Risk Management Department. Claim amounts exceeding \$1M will require further Board approval.

The Fund will be maintained at least for five (5) years after the life of the Harris Health Affiliation and Services Agreement.

Statutory Authority

TEC Sec. 59.02. HEALTH CARE PROFESSIONAL LIABILITY FUND.

(a) Each board may establish a separate self-insurance fund to pay any damages adjudged in a court of competent jurisdiction or a settlement of any health care liability claim against a health care professional staff member or student arising from the exercise of the member's or student's appointment, duties, or training with The University of Texas System, The Texas A&M University System, the Texas Tech University System, the Texas State University System, the University of Houston System, Stephen F. Austin State University, or the University of North Texas System.

(b) The boards may pay from the funds all expenses incurred in the investigation, settlement, defense, or payment of claims described above on behalf of the health care professional staff members or students.

(c) On the establishment of each fund, transfers to the fund shall be made in an amount and at such intervals as determined by the board. Each board may receive and accept any gifts or donations specified for the purposes of this subchapter and deposit those gifts or donations into the fund. Each board may invest money deposited in the fund, and any income received shall be retained in the fund. The money shall be deposited in any of the approved depository banks of The University of Texas System, The Texas A&M University System, the Texas Tech University System, the Texas State University System, the University of Houston System, Stephen F. Austin State University, or the University of North Texas System. All expenditures from the funds shall be paid pursuant to approval by the boards.

Sec. 59.03. RULES.

Each board may adopt rules for the establishment and administration of the fund and the negotiation, settlement, and payment of claims as necessary to carry out the purpose of this subchapter. Each board may establish by rule reasonable limits on the amount of claims to be paid from the fund or to be provided in purchased insurance.

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

COMMITTEE: Finance & Administration

ITEM: Approval is requested for the University of Houston System FY2024 Holiday Schedule.

DATE PREVIOUSLY SUBMITTED: N/A

SUMMARY:

Approval is requested for the University of Houston System FY2024 Holiday Schedule. For FY2024, general academic institutions may schedule 13 holidays per the State of Texas. The attached schedule details the University of Houston System FY2024 Holidays.

SUPPORTING DOCUMENTATION: FY2024 Holiday Schedule

FISCAL NOTE: None

**RECOMMENDATION/
ACTION REQUESTED:** Administration recommends approval of this item.

COMPONENT: University of Houston System



SENIOR VICE CHANCELLOR

Raymond S. Bartlett



DATE



CHANCELLOR

Renu Khator



DATE

University of Houston System Holiday Schedule Fiscal Year 2024 (Proposed)

Labor Day	Monday, 9/4/2023	1
Thanksgiving	Thursday & Friday, 11/23 – 11/24/2023	2
Winter Holiday	Monday, 12/25/2023 – Monday, 1/1/2024	6
Martin Luther King Day	Monday, 1/15/2024	1
Memorial Day	Monday, 5/27/2024	1
Emancipation Day	Wednesday, 6/19/2024	1
Independence Day	Thursday, 7/4/2024	1
TOTAL:		13

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

ITEM: Approval is requested for the appointment of Senior Vice Chancellor for Academic Affairs/Senior Vice President for Academic Affairs and Provost at the University of Houston System/University of Houston

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

Approval is requested for the appointment of Diane Z. Chase as Senior Vice Chancellor for Academic Affairs/Senior Vice President for Academic Affairs and Provost, University of Houston System/University of Houston pursuant to Board policy 57.10. This appointment is effective February 1, 2023.

SUPPORTING DOCUMENTATION: Biographical Sketch

FISCAL NOTE: None

**RECOMMENDATION/
ACTION REQUESTED:** Approval

COMPONENT: University of Houston System



CHANCELLOR Renu Khator

2/16/23

DATE

University of Houston System Board of Regents

Recommendation

Organization: University of Houston System

Type of Appointment: Appointment
Name: Diane Z. Chase
To Title: Senior Vice Chancellor for Academic Affairs,
University of Houston System
Senior Vice President for Academic Affairs and
Provost, University of Houston
Effective Date: February 1, 2023

Biographical Sketch:

Dr. Diane Z. Chase joins the University of Houston System and the University of Houston from Claremont Graduate University in Claremont, California, where she served as Vice President for Academic Innovation, Student Success, and Strategic Initiatives. Dr. Chase has more than 40 years of experience in academia, including more than 20 years in leadership positions, including: Vice Provost for Academic Program Quality at the University of Central Florida; Executive Vice President and Provost at the University of Nevada, Las Vegas.

Dr. Chase holds a Ph.D. and Bachelor of Arts with Honors in Anthropology from the University of Pennsylvania. She is a highly regarded archaeologist and prolific scholar who is a fellow of the American Association for the Advancement of Science. Chase’s research focuses on the nexus of history and archaeology, complex societies, sustainability and urbanism in reconstructing past lifeways of the ancient Maya. She has authored more than 160 articles and book chapters, as well as monographs and edited books; most of them are available at <http://www.caracol.org>. Her research is further chronicled in print, video and electronic media. Her recent work incorporates the use of lidar to penetrate the jungle canopy and reconstruct the ancient city.

Dr. Chase’s appointment as the Senior Vice Chancellor/Senior Vice President for Academic Affairs and Provost becomes effective on February 1, 2023.

Diane Zaino Chase

**Administrative Curricula Vitae
November 2022**

OFFICE:

Vice President for Academic Innovation, Student Success, and Strategic Initiatives
Claremont Graduate University
150 E. 10th Street
Claremont, CA 91711

EDUCATION:

1982 PhD. in Anthropology, University of Pennsylvania
1975 B.A. with Honors in Anthropology, University of Pennsylvania

LEADERSHIP and ADMINISTRATIVE POSITIONS:

Claremont Graduate University

2019 - present: Vice President for Academic Innovation, Student Success, and Strategic Initiatives

University of Nevada, Las Vegas

2016 - 2019: Executive Vice President and Provost

2018 (5/14-6/30): Officer-in-Charge

University of Central Florida

2015 - 2016: Vice Provost for Academic Program Quality, Academic Affairs

2014 - 2015: Executive Vice Provost, Academic Affairs

2014 (4/1-7/31): Interim Provost and Vice President for Academic Affairs

2010 - 2014: Executive Vice Provost, Academic Affairs

2010 (7/1-7/30): Interim Provost and Vice President for Academic Affairs

2008 - 2010: Vice Provost, Academic Affairs

2007 - 2008: Associate Vice President (Planning and Evaluation), Academic Affairs

2006 - 2007: Interim Chair, Department of Theater, College of Arts and Humanities

2005 - 2007: Assistant Vice President (International and Interdisciplinary Studies), Academic Affairs

2004 - 2005: Interim Assistant Vice President (International and Interdisciplinary Studies), Academic Affairs

2003 - 2004: Interim Assistant Vice President (Interdisciplinary Programs), Academic Affairs

2000 - 2003: Interdisciplinary Coordinator, Academic Affairs

ACADEMIC POSITIONS:

University of Nevada, Las Vegas

2016 - 2019: Professor, Department of Anthropology, College of Liberal Arts

University of Central Florida

2006 - 2016: Pegasus Professor, Department of Anthropology, College of Sciences

2003 - 2005: Pegasus Professor, Department of Sociology and Anthropology, College of Arts and Sciences

1995 - 2003: Professor of Anthropology, Department of Sociology and Anthropology, College of Arts and Sciences

1990 - 1995: Associate Professor of Anthropology, Department of Sociology and Anthropology, College of Arts and Sciences

1985 - 1990: Assistant Professor of Anthropology, Department of Sociology and Anthropology, College of Arts and Sciences

1984 - 1985: Visiting Assistant Professor of Anthropology, Department of Sociology and Anthropology, College of Arts and Sciences

Princeton University

1983 - 1984: Lecturer in Anthropology, Department of Anthropology, College of Social Sciences

Claremont Graduate University

Vice President for Academic innovation, Student Success, and Strategic Initiatives (September 2019-present)

- Role incorporates the student life-cycle from admission to graduation with the goal of enhancing the student experience and increasing student success.
 - Efforts are cross-institutional and involve building programs to enhance enrollment, persistence, completion, and satisfaction across all student groups.
 - Direct reporting units include: Enrollment Services; Student Engagement; Career Development; Center for Writing and Rhetoric; International Scholars Program; Preparing Future Faculty; Center for Academic and Faculty Excellence.
 - Campus leadership and committee activities/memberships include: Ad Hoc Committee on Instructional Equivalencies (chair), Board of Trustee meetings and retreats (regular participation and presentations), Board of Trustees Student Success Committee (ex-officio), Building Review Committee, Cabinet, COVID Task Force, Connected Campus Committee (chair), Enrollment Services Executive Committee, Enrollment Services Leadership, Executive Council, Retention Committee, Steering Committee (leadership team), Strategic Planning, Student Success Executive Committee, Town Halls (panelist).
- Personal and unit accomplishment include:
 - Managing enrollments: Fall 2019 (new student headcount up 22%); Spring 2020 (new student headcount up 26%). Fall 2020 enrollments were impacted by COVID-19 and international student travel and visa issues, but remained substantially higher than Fall 2018. Spring 2021 new student enrollment was up 14%. Overall 2021 new student enrollments are on par with 2019 pre-pandemic 2019 high.
 - Creating Student Success and Engagement programs and activities (e.g., Graduate First Year Experience and First Year Newsletter; Student Ambassador Program; CGU's first 3 Minute Thesis Competition, the Big Pitch; Thrive programing for graduate students of color; Success After Coursework).
 - Enhancing student engagement, persistence, and completion through individualized Student Support Specialist outreach to students.
 - Building on successful initiatives (e.g., Dissertation Bootcamp, Writing Workshops, and Career Chats) to increase the use and impact of Academic and Professional Development services.
 - Developing campus-wide student success initiatives (e.g., re-enrollment campaigns to decrease stop-out for continuing students; Student Grant and Award Initiative to develop students' grant writing abilities and advance their academic and professional work.
 - Increasing retention by 10% for students participating in the First Year Experience; unit and whole campus efforts have resulted in improved student satisfaction (2021 climate survey). Building a connected campus experience and culture.
 - Engaging trustees directly in student success efforts.
 - Working with the Faculty Executive Committee as well as with Deans and Directors to enhance the faculty role in admissions, enrollment, and student success.

University of Nevada, Las Vegas

Executive Vice President and Provost Responsibilities (May 2016 – August 2019):

- Served as chief academic and budget officer, and as chief executive officer in the absence of the president
- Oversaw and aligned UNLV academic and budgetary priorities
- Assured the overall quality of the university (in terms of academic programs and research, as well as student and faculty success)
- Advised the chief executive officer on plans, policies, and operations
- Oversaw 16 colleges/schools, as well as the Academic Success Center, the Division of Research and Economic Development, the Division of Student Affairs, the Office of Diversity Initiatives, the Office of Information Technology, and the University Libraries; also served as Chair for UNLV Singapore, LTD
- Worked closely with the Nevada System of Higher Education and Board of Regents
- Partnered with the campus community to implement the UNLV Top Tier strategic plan

Personal Administrative and Unit Accomplishments while UNLV Provost:

- **Diversity, Equity, and Inclusion:**
 - Searched for and hired a diverse leadership team
 - Revised and expanded the composition of the Office of the CDO to incorporate the Office of Community Engagement and The Intersection: UNLV's Academic Multicultural Center.
 - Established workshops on best practices in faculty searches; faculty hiring plans are underway.
 - Initiated campus conversations on diversity, equity, and inclusion
 - Established Intercultural Development Inventory Sessions for campus leadership
- **Faculty Success:**
 - Initiated a review and clarification of P&T bylaws (formed a University P&T and Top Tier committee); enhanced P&T workshops
 - Developed a recognition ceremony and university-level awards to acknowledge years of service of academic and administrative faculty
 - Created a COACHE Steering Committee and initiated interventions in key colleges
 - Established a task force to recommend procedures for awarding salary increases; completed and posted transparent process for requesting increase to base salary review for equity and change in job responsibilities (academic and administrative faculty)
 - Created a Faculty Center (with search for a new director and renovated space)
- **Institutional Quality:**
 - Worked to enhance relationships across campus units; provided opportunities for encouraging communication and collaboration (e.g., Coffee with the Provost, Student Official E-mail, New Deans' Breakfasts, and campus-wide initiatives)
 - Searched for and hired key campus leadership: Dean of Science (Eric Chronister from UC Riverside), Vice President for Research and Economic Development (Mary Croughan from UC System), Dean of Libraries (Maggie Farrell from Clemson), Chief Diversity Officer (Barbee Oaks from Wake Forest), Dean of Nursing (Angela Amar from Emory), Vice Provost for Decision Support (Brent Drake from Purdue), Vice Provost for Ed Outreach (Joe Miera from UNM)
 - Maintained university and discipline accreditations including new accreditations in public health and medicine
 - Worked to enhance program quality through academic program and curricular review
 - Created Top-Tier Award Program to recognize activities that advance UNLV goals and quality of research support staff
- **Research:**
 - Searched for and hired a Vice President for Research and Economic Development
 - Received AAHRPP accreditation for UNLV's IRB
 - Focused colleges on interdisciplinary hiring and research (e.g., Health for Nevada)
 - Increased research awards and research expenditures (HERD survey)
 - Created MGM Public Policy Institute; Co-Chaired by former Senator Harry Reid and former Speaker John Boehner, to find bipartisan solutions to community problems.
 - Achieved R1, Very High Research status, Carnegie Classification of Institutions of Higher Learning (December 2018)
- **Student Success:**
 - Established data enabled Enrollment Management Task Force
 - Launched the Major Pathways Program
 - Established Early Alert System
 - Created Digital Learning Initiative
 - Launched The Intersection: UNLV's Academic Multicultural Center
 - Initiated a UNLV-CSN Freshman Academy (Fall 2018)
 - Signed contract with Consolidated Students of the University of Nevada, Las Vegas (CSUN) in recognition of excellent working relationship between administration and student government
 - Developed MGM College Opportunity Program to provide reduced-cost online education to MGM employees (with MGM and NSHE leadership)
 - Created UNLV Student Official Email for high-level President and Provost communications

- **Philanthropy: Alumni and Community Engagement:**

- Co-chaired Campaign Leadership Council with the President and the Vice President for Philanthropy and Alumni Engagement
- Member of moves management team that celebrated a record-setting year with \$93M in gifts and pledges from nearly 11,000 donors in FY17
- Roles included stewardship and friend-raising activities (presentations to donor and alumni groups, representing the university at key events: e.g., athletic and social functions, including small group meetings with donors to acknowledge, accept, or request funds)
- Office of Community Engagement, located within Provost's division, enhanced academic engagement with the community

- **University-Wide Activities and Infrastructure:**

- Developed a process to enhance transparency and to connect budgets and budget requests directly to Top Tier goals; refining the model for the upcoming biennium
- Established Staff Enrichment Awards providing tuition assistance for classified staff dependents
- Enhanced security and safety: increased lighting, cameras, call areas, patrols
- Increased university-wide collaboration (e.g., research; senate – administration)

Academic Leadership and Professional Service Activities at University of Nevada, Las Vegas (selected):

- **Committee Membership UNLV:**

- Co-Chair, UNLV Campaign (with UNLV President & Foundation President), 2017-2019
- Co-Chair, Resource Modeling Group Steering Committee (with CFO), 2018-2019
- Chair, School of Medicine Shared Services Workgroup, 2018-2019
- Lead, Deans' Council, 2016-2019
- Co-Lead, Academic Council and Cabinet (with President), 2016-2019
- Member, Safety and Security Working Group, 2018-2019
- Member, UNLV Faculty Senate (non-voting; 1st UNLV provost on Senate), 2017-2019
- Member, President's Cabinet, 2016-2019
- Member, Top-Tier Steering Committee, 2016-2019

- **Established and Charged Numerous Committees, including:**

- Cleary Workgroup, 2018-2019
- Admissions and Enrollment Management Task Force, 2018-2019
- Deans, Vice Presidents, and Vice Provosts Search Committees, 2016-2019
- Promotion and Tenure Review Committee, 2016

University of Central Florida

Vice Provost for Academic Program Quality Responsibilities (2015-2016): Assure the quality and relevance of all academic programs through:

- University and Discipline Accreditation (served as UCF accreditation liaison to SACSCOC)
- Faculty Qualification review and approval
- New Program Development and Approval (including Market Tuition)
- Academic Program Review
- Curriculum Redesign with Academic Program-focused Student Success Initiatives
- Center and Institute Approval and Review
- Institutional Effectiveness Assessment
- Board Relations: UCF Board of Trustee Educational Programs Committee (Liaison); SUS Florida Board of Governors Academic and Student Affairs Committee (Liaison) SUS Florida Board of Governors Vice Chancellor (Liaison)
- Council of Academic Vice Presidents Academic Coordinating Workgroup (State-level Chair)

Administrative Accomplishments as Vice Provost for Academic Program Quality (2015-2016):

- Coordinated successful reaffirmation of accreditation of UCF and its Quality Enhancement Plan by SACS-COC without no recommendations (also involved UCF programs in Peru)
- Established viable curriculum and program plan for new UCF Downtown Campus

Interim Provost Responsibilities (April 1, 2014 – July 31, 2014):

Maintained leadership and fiscal responsibility for the academic activities of an institution that included:

- 12 colleges, multiple campuses, and educational sites
- Student and academic support services
- Academic planning and curriculum
- Faculty appointment, development, and contract management
- Evaluation of faculty members and administrators
- Budget

Other reporting units included: Budget and Administration, Regional Campuses, Research and Commercialization, Student Development and Enrollment Services, Institutional Research, Information Technologies and Resources, Undergraduate Studies, Space Planning

Administrative Accomplishments as Interim Provost (4/1-7/31 2014):

- Implemented a strategic hiring plan for 100 new faculty members – including multidisciplinary hires in interdisciplinary programs
- Secured a 5% raise (across-the-board and merit) for faculty and staff members
- Stabilized college budgets with rate increase distributions
- Advanced diversity hires

Executive Vice Provost Responsibilities (2010 - 2015):**Academic Programs:**

- Conducted academic program review, providing leadership for approximately 30 reviews per year
- Reviewed new academic programs (at UCF and as part of the state-wide Council of Academic Vice Presidents Academic Coordination Committee) prior to authorization for implementation
- Facilitated center and instituted authorization and review process

Accreditation:

- Served as the UCF liaison to SACSCOC
- Assured the quality of university academic endeavors and compliance with SACSCOC principles for accreditation
- Supervised faculty qualifications review
- Compiled and submitted accreditation documents such as substantive change requests and prospectuses as well as 5th year and decennial compliance reports
- Created and/or revised appropriate policies and procedures

Board of Trustees and Board of Governors Relations:

- Served as liaison to the UCF Board of Trustees Educational Programs Committee
- Served as liaison to the Florida Board of Governors staff for items related to academic affairs (e.g., academic program review, new program approvals, and market-rate tuition programing)
- Conduct other state university system related activities (e.g., served as Co-Chair for state-wide general education program core revision)

Budget Administration:

- Collaborated with the Associate Vice President for Budget and Personnel administration to provide Academic Affairs budget recommendations
- Oversaw Academic, Faculty, and International Affairs budgets (ca. \$9 million)

Faculty Relations:

- Assisted the provost with personnel decisions, including promotion and tenure recommendations
- Served as a member of the collective bargaining team (multiple contract negotiations)
- Acted as liaison to the Faculty Senate
- Supported faculty and administrator development programs

Internationalization:

- Oversaw primary international units on campus that administer international agreements, exchange, study abroad, student support and visas, and curricular revision – as well intensive English, multi-cultural programing, and accent reduction
- Served on steering committee for Global Achievement Academy; co-chair Global Achievement Academy Academic Committee

Reporting Units: Accreditation and Quality Assurance, Center for Multilingual Multicultural Studies, Center for Success of Women Faculty, International Services Center, Karen L. Smith Faculty Center for Teaching and Learning, Office of Faculty Relations, Office of International Studies, Office of Operational Excellence and Assessment Support

Executive Vice Provost Accomplishments (Personal and Unit):

Curriculum:

- Led state-wide revision of the Florida General Education Core (co-chair; 38 institutions)
- Received Board of Trustees and Board of Governors approval for market rate tuition fee proposals (e.g., Engineering Management, Executive MBA, Professional MBA, Healthcare Informatics)
- Realized program enhancements through academic program review (e.g., faculty workload policies; integrated student experiences; curriculum mapping; curriculum redesign)

Accreditation:

- Completed UCF's fifth-year report for SACSCOC with no monitoring required
- Received SACSCOC approval for various substantive changes including: international and domestic dual degree programs, new educational sites, and distance learning

Faculty:

- Enhanced the effectiveness of the academic program review process by implementing a SharePoint Web site with revised evaluation material, establishing a collaborative recommendation process, and initiating implementation status updates for the BOT Educational Program Committee
- Initiated academic leadership programming for faculty members and administrators
- Created promotion paths for instructional faculty members through partnerships with the Faculty Senate Personnel Committee and United Faculty of Florida
- Developed electronic information management systems to enhance critical university business processes (e.g., faculty qualifications management and electronic promotion and tenure)

Students:

- Enhanced student learning outcomes through curriculum mapping
- Improved student success through PROGRESS team (e.g., advisor appointments, access to student audits)
- Increased student ability to shop for best textbook prices and increased compliance with state requirements, ensuring that 99% of all educational material information is posted at least 30 days before the start of class

Diversity, Equity, and Inclusion:

- Relocated the Women's Research Center (rename the Center for the Success of Women Faculty) to the UCF main Orlando campus; worked with the center to revitalize activities and faculty participation; completed the search for a permanent center director; CSWF has increased participation of women faculty members over 40% and led to changes that have made the UCF campus more faculty-friendly (e.g., lactation rooms, reserved parking for pregnant women, dual-career hires)
- Revised Provost's Diversity Hiring program to develop a Targeted Opportunity Funding Program

International:

- Established a new faculty compensation option for study abroad through consultation with the United Faculty of Florida, leading to greater clarity in faculty pay
- Relocated the Office of International Studies to Millican Hall from the outlying Central Florida Research Park; capitalized on the move to expand internationalization on campus and to enhance collaboration and shared services among international units; doubled active international partnerships to over 120 during the last five years; conjoined international activities within a joint Summer Faculty Development Conference to increase campus synergies
- Increased international student enrollment and preparation through the Global Achievement Academy

Interdisciplinarity:

- Established Interdisciplinary Fellows Program that provided funding for retired faculty to team-teach interdisciplinary courses with currently employed faculty members
- Supported development of interdisciplinary and international curriculum (e.g., Latin America, Global Feminisms, World Comparative Studies)

- Chaired task forces for the development of interdisciplinary programming (e.g., biomedical engineering)
- Led interdisciplinary and inter-university groups focused on curricular revision (e.g., science component of state-wide General Education revision)

Academic Leadership and Professional Service Activities at University of Central Florida (selected):

State University System Council of Academic Vice Presidents Academic Coordinating Workgroup Chair, 2014-2016 (member 2012-2016).
 University Innovation Alliance, 2014-2016.
 UCF Campus Master Planning Committee, 2013-2016
 UCF Emerging Issues Committee Co-Chair, 2013-2016
 UCF President's Advisory Staff, 2009-2016
 UCF SACSCOC liaison, 2008-2016 UCF Academic Program Review Committee Chair, 2008-2016
 UCF BOT Academic Affairs Liaison for Educational Programs Committee, 2008-2016
 UCF Distance Learning Advisory Group, 2008-2016
 UCF Provost's Council, 2007-2016
 UCF Leading Edge Administration Project (Leap) Executive Committee, 2003-2016
 UCF Board of Trustees (BOT) Collective Bargaining Team, 2004-2015
 UCF Global Achievement Academy Steering Committee: 2013-2015 (Co-Chair, 2014-2015)
 UCF Global Achievement Academy Academic Committee Co-Chair: 2013-2015
 UCF PROGRESS Steering Committee, 2012-2015
 UCF Faculty Senate Academic Affairs Liaison, 2008-2015
 UCF Budget Operations Advisory Group, 2014
 State of Florida General Education Core Steering Committee Co-Chair, 2012-2014
 UCF Budget Scenario Advisory Group, 2012-2013
 UCF Regional Campuses Advisory Group 2012-2013
 UCF Corporate Education Advisory Group 2011-2013
 University Press of Florida Advisory Board, 2009-2014
 UCF Academic Focus Group Chair, 2008-2014 (Co-Chair 2002-2008)
 Orlando Shakespeare Festival Advisory Board, 2006-2007
 UCF International Affairs Committee Chair, 2004-2008
 UCF Strategic Planning Executive Committee, 1999-2009

HONORS AND PROFESSIONAL RECOGNITION:

2019	“Angel Award,” Las Vegas Business Academy, 8 th Anniversary Dinner, Las Vegas.
2017 – 2018	ACAO Digital Fellowship, Association of Chief Academic Officers and Gates Foundation
2009 - present	Fellow, American Association for the Advancement of Science
2004 - present	Phi Kappa Phi honor society
2003 - 2016	Pegasus Professor, University of Central Florida's highest faculty honor
2001, 2006	Research Incentive Award for excellence in research, University of Central Florida
1999 - 2001	Distinguished Lecturer for Sigma Xi, The Scientific Research Association
1995 - 2016	Co-Beneficiary of the Trevor Colbourn Endowment, University of Central Florida
1994, 1998	Teaching Incentive Program Award for excellence in teaching, University of Central Florida
1985 - 1995	Guest Curator, Orlando Museum of Art, Orlando, FL

COURSES TAUGHT (Univ. of Central Florida; Princeton Univ.; Univ. of Pennsylvania; West Chester Univ.):

General Anthropology, Introduction to Archaeology/Prehistory, Physical Anthropology, Cultural Anthropology, Archaeology of Complex Societies, Mortuary Archaeology, Death: Biological, Social, and Cultural Perspectives, Ethnology of North American Indians, Maya Archaeology, New World Civilizations, Advanced Archaeological Fieldwork, Seminar in Laboratory Analysis, Maya Hieroglyphs, The Ancient Maya

STUDENTS

UNLV: PhD. Committee Co-Chair (2); MA Committee Co-Chair (1)

UCF: MA Committees Chaired (17); MA Committees Member (17).

Other Institutions (PhD. Committee member): Penn State (1); SMU (2); UCLA (1).

RESEARCH INTERESTS:

Anthropological Archaeology; Complex Societies; Sustainability; Low Density Urbanism; History and Archaeology; Mortuary Analysis; Contextual Analysis; Remote Sensing (LiDAR); Mesoamerica; Maya

GRANTS AND FUNDING:

Research Related (\$3,031,130 total; \$2,775,478 in grant funding; \$260,652 in private donations)

Ahau Foundation, Alphawood Foundation, Dart Foundation, Foundation for the Advancement of Mesoamerican Studies, Geraldine and Emory Ford Foundation, Glick Foundation, Government of Belize, Harry Frank Guggenheim Foundation, Institute of Maya Studies, J.I. Kislak Foundation, NASA, National Science Foundation, Stans Foundation, United States Agency for International Development

Institution Related (Total = \$4,882,157; at UCF: \$269,000; at UNLV: \$4,613,157)

US DOE Title VI Grant, Fulbright-Hays Group Projects Abroad; Southern Nevada-Northern Arizona NSF LSAMP Grant

PUBLICATIONS:**Books and Monographs:**

- in prep. Arlen F. Chase, Diane Z. Chase, and Adrian S.Z. Chase, *Maya Archaeology: Reconstructing an Ancient Civilization*, contract signed, University of Oklahoma Press (2023 submission).
- review Adrian S.Z. Chase, Arlen F. Chase, and Diane Z. Chase, Editors, *Ancient Mesoamerican Population History: Demography, Social Complexity, and Change*, Univ. of Arizona Press, Tucson.
- 2013,2003,1994,1992 Diane Z. Chase and Arlen F. Chase, Editors, *Mesoamerican Elites: An Archaeological Assessment*, University of Oklahoma Press, 375 pp.+xiv; hardcover–1992; paper–1994,2003.2013.
- 1994 Diane Z. Chase and Arlen F. Chase, Editors, *Studies in the Archaeology of Caracol, Belize*, Pre-Columbian Art Research Institute Monograph 7, San Francisco, 193 pp. + vi.
- 1988 Diane Z. Chase and Arlen F. Chase, *A Postclassic Perspective: Excavations at the Maya Site of Santa Rita Corozal, Belize*, Pre-Columbian Art Research Institute Monograph 4, San Francisco, 138 pp. + vi.
- 1987 Arlen F. Chase and Diane Z. Chase, *Investigations at the Classic Maya City of Caracol, Belize: 1985-1987*, Pre-Columbian Art Research Institute Monograph 3, San Francisco, 121 pp. + vi.

Articles and Book Chapters (last 5 years only: 2018 - 2022):

- 2022 Amy E. Thompson, John P. Walden, Adrian S.Z. Chase, Scott R. Hutson, Damien B. Marken, Bernadette Cap, Eric C. Fries, M. Rodrigo Guzman Piedrasanta, Timothy S. Hare, Sherman W. Horn III, George J. Micheletti, Shane M. Montgomery, Jessica Munson, Heather Richards-Rissetto, Kyle Shaw-Muller, Traci Ardren, Jaime J. Awe, M. Kathryn Brown, Michael Callaghan, Claire E. Ebert, Anabel Ford, Rafael A. Guerra, Julie A. Hoggarth, Brigitte Kovacevich, John Moris, Holley Moyes, Terry G. Powis, Jason Yaeger, Brett A. Houk, Keith M. Pruffer, Arlen F. Chase, and Diane Z. Chase, “Ancient Lowland Maya Neighborhoods: Average Nearest Neighbor Analysis and Kernel Density Models, Environments, and Urban Scale.” *PloS ONE*. 17(11): e0275916. <https://doi.org/10.1371/journal.pone.0275916>
- 2022 Arlen F. Chase, Diane Z. Chase, and Adrian S.Z. Chase “Caracol, Belize and Tikal, Guatemala: Ancient Human-Nature Relationships in their Socio-Political Context,” in J. Larmon, L. Lucero, and F. Valdez, Eds., *Sustainability and Water Management in the Maya World and Beyond*, pp. 143-170. University Press of Colorado, Boulder.
- 2021 Diane Z. Chase, “Archaeology, The Academy, and Women: Finding One’s Own Path,” *Heritage* 4: 1725-1736.
- 2021 Diane Z. Chase and Arlen F. Chase, “The Rupture of Classic Maya Divine Kingship from the Perspective of Postclassic Archaeology, Iconography, and Ethnohistory,” In T. Okoshi, A.F. Chase, P. Nondedeo, and M.C. Arnauld, Eds., *Maya Kingship: Rupture and Transformation from Classic to Postclassic Times*, pp. 291-310. University Press of Florida, Gainesville.

- 2021 Arlen F. Chase, M. Charlotte Arnauld, Diane Z. Chase, Philippe Nondedeo, and Tsubasa Okoshi, "The Rupture and Transformation of Maya Kingship: An Epilogue," In T. Okoshi, A.F. Chase, P. Nondedeo, and M.C. Arnauld, Eds., *Maya Kingship: Rupture and Transformation from Classic to Postclassic Times*, pp. 349-356. University Press of Florida, Gainesville.
- 2021 Arlen F. Chase and Diane Z. Chase, "The Transformation of Maya Rulership at Caracol, Belize," in T. Okoshi, A.F. Chase, P. Nondedeo, and M.C. Arnauld, Eds., *Maya Kingship: Rupture and Transformation from Classic to Postclassic Times*, pp. 224-245. University Press of Florida, Gainesville.
- 2020 Diane Z. Chase and Arlen F. Chase, "The Economic Landscape of Caracol, Belize," in M. Masson, D. Freidel, and A. Demarest, Eds., *The Real Business of Ancient Maya Economies: From Farmers' Fields to Rulers' Realms*, pp. 132-148. University Press of Florida, Gainesville.
- 2020 Arlen F. Chase and Diane Z. Chase, "Life at the Edge of the Maya World: Late Classic Period Ceramics from Burials and Caches at Santa Rita Corozal, Belize." *Research Reports in Belizean Archaeology* 17: 33-44.
- 2020 Jaime J. Awe, Jorge Can, Arlen F. Chase, and Diane Z. Chase, "Archaeological Investigations and Conservation at Santa Rita Corozal: Results of the 2012-2013 Belize Institute of Archaeology Project." *Research Reports in Belizean Archaeology* 17: 153-165.
- 2020 Arlen F. Chase, Diane Z. Chase, John M. Morris, Jaime J. Awe, and Adrian S.Z. Chase, "Archaeology and Heritage Management in the Maya Area: History and Practice at Caracol, Belize." *Heritage* 3(2): 436-456.
- 2021 REPRINTED in: C. Fisher and A.F. Chase, Eds., *Maya Anthropological Archaeology*, pp. 53-73, MDPI Press, Zurich (Switzerland).
- 2020 Arlen F. Chase and Diane Z. Chase, "Final Moments: Contextualizing On-Floor Archaeological Materials from Caracol, Belize." *Ancient Mesoamerica* 31(1): 77-87.
- 2020 Arlen F. Chase and Diane Z. Chase, "The Materialization of Classic Period Maya Warfare: Caracol Stranger-Kings at Tikal," in T.W. Stanton and M.K. Brown, Eds., *A Forest of History: The Maya after the Emergence of Divine Kingship*, pp. 20-48. University Press of Colorado, Lewisville.
- 2020 Adrian S.Z. Chase, Diane Z. Chase, and Arlen F. Chase, "Ethics, New Colonialism, and Lidar Data: A Decade of Lidar in Maya Archaeology." *Journal of Computer Applications in Archaeology*, 3(1), pp. 51-62.
- 2020 Arlen F. Chase, Diane Z. Chase, and Adrian S.Z. Chase, "The Maya City of Caracol, Belize: The Integration of an Anthropogenic Landscape," In S. Hutson and T. Ardren, Eds., *The Maya World*, pp. 344- 363, Routledge Press, London.
- 2020 Arlen F. Chase and Diane Z. Chase, "Monumental Landscapes of the Maya: Cogitating on a Past Built Environment," In B.A. Houk, B. Arroyo, and T.G. Powis, Eds., *Approaches to Monumental Landscapes of the Ancient Maya*, pp. 335-348. University Press of Florida, Gainesville.
- 2020 Diane Z. Chase, Arlen F. Chase, and Adrian S.Z. Chase, "Caracol's Impact on the Landscape of the Classic Period Maya: Urbanism and Complex Interaction in a Tropical Environment," In B.A. Houk, B. Arroyo, and T.G. Powis, Eds., *Approaches to Monumental Landscapes of the Ancient Maya*, pp. 109-130. University Press of Florida, Gainesville.
- 2019 Christophe Helmke, Arlen F. Chase, and Diane Z. Chase, "Another Look at Stela 2 of Caracol, Belize." *Mexicon* 41(4): 97-104.
- 2019 Scott Heckbert, Christian Isendahl, Joel D. Gunn, Simon Brewer, Vernon L. Scarborough, Arlen F. Chase, Diane Z. Chase, Robert Costanza, Nicholas P. Dunning, Temothy Beach, Sheryl Luzzadder-Beach, David L. Lentz, and Paul Sinclair, "Growing the Ancient Maya Social-Ecological System from the Bottom Up," in C. Isendahl and D. Stump, Eds., *Handbook of Historical Ecology and Applied Archaeology*, pp. 302-322. Oxford University Press, Oxford (on line April 2016; DOI:10.1093/oxfordhb/9780199672691.013.30).
- 2019 Arlen F. Chase and Diane Z. Chase, "Central Belize and the Development of Maya Archaeology: A Critical Assessment," *Research Reports in Belizean Archaeology* 16: 3-19
- 2019 Arlen F. Chase and Diane Z. Chase, "El Origin del Mundo Maya: Las Raices Preclasicas." *Desperta Ferro - Arqueologia e Historia* 23: 12-17.
- 2018 Arlen F. Chase and Diane Z. Chase, "Sampling and Timeframes: Contextualizing the Protoclassic and Early Classic Periods at Caracol, Belize," *Research Reports in Belizean Archaeology* 15:3-15.

- 2018 Adrian S.Z. Chase, Diane Z. Chase, and Arlen F. Chase, "Situating Preclassic Interments and Fire-Pits at Santa Rita Corozal, Belize," *Research Reports in Belizean Archaeology* 15:159-167.
- 2018 Max Seidita, Diane Z. Chase, and Arlen F. Chase, "Chetumal's Dragonglass: Postclassic Obsidian Production and Exchange in Santa Rita Corozal, Belize," *Research Reports in Belizean Archaeology* 15:169-178.

Brief Contributions (last 5 years only: 2018 – 2022):

- 2021 Diane Z. Chase and Arlen F. Chase, "Foreword" in Tsubasa Okoshi, Arlen F. Chase, M. Charlotte Arnould, and Philippe Nondedeo, Eds. *Maya Kingship: Rupture and Transformation from Classic to Postclassic Times*, pp. xv-xvii. University Press of Florida, Gainesville.
- 2020 Arlen F. Chase and Diane Z. Chase, "Foreword" in Marilyn Masson, David A. Freidel, and Arthur A. Demarest, Eds. *The Real Business of Ancient Maya Economies: From Farmers' Fields to Rulers' Realms*, pp. xv-xvii, University Press of Florida, Gainesville.
- 2020 Arlen F. Chase and Diane Z. Chase, "Foreword" in In Brett A. Houk, Barbara Arroyo, and Terry G. Powis, Eds. *Approaches to Monumental Landscapes of the Ancient Maya*, pp. xiii-xv. University Press of Florida, Gainesville.
- 2019 Arlen F. Chase and Diane Z. Chase, "Foreword" in Christopher S. Beekman. Ed. *Migrations in Late Mesoamerica*, xiii-xiv. University Press of Florida, Gainesville.
- 2019 Arlen F. Chase and Diane Z. Chase, "Foreword" in Cara G. Tremain and Donna Yates, Eds. *The Market for Mesoamerica: Reflections on the Sale of Pre-Columbian Antiquities*, pp. ix-xi. University Press of Florida, Gainesville.
- 2019 Arlen F. Chase and Diane Z. Chase, "Foreword" in Heather McKillop, *Maya Salt Works*, xiii-xiv. University Press of Florida.
- 2018 Arlen F. Chase and Diane Z. Chase, "Foreword," in J. Kaplan and F. Paredes-Umana. *Water and Chocolate: The Emergence and Growth of Complex Society at Preclassic Chocoma*, University Press of Florida, Gainesville, pp. xvii-xix.
- 2018 Arlen F. Chase and Diane Z. Chase, "Foreword" in M.K. Brown and G. Bey, Eds., *Pathways to Complexity: A View from the Maya Lowlands*, pp. xiii-xiv, University Press of Florida, Gainesville.

Professional Video/Film Productions Focusing on Research at Caracol (last 5 years only: 2018- 2022):

- 2022 *Fall of the Maya Kings* **LGI Media**, International version of *Ancient Maya Metropolis*, IMDbPRO, 52 minutes. First broadcast in France as "La Chute des Rois Maya" on June 18, 2022 on Arte.tv and myCANAL.
- 2022 *Ancient Maya Metropolis* **Nova**, filmed during 2019 and 2020 in Belize and Guatemala; first broadcast January 26, 2022 (Fierce Turtle Media/Zoot Pictures, Inc., Winnipeg, Canada).

Professional Presentations: Academic Invited (last 5 years only: 2018 - 2022):

- 2022 "Structure and Variability within Ancient Maya Society: Exploring interconnections." Being Maya: Identity, Ontology, Agency." Maya Working Group. Santa Fe Institute, Santa Fe, NM (with A.F. Chase, August 3-5).
- 2022 "Population History at Caracol, Belize." Ancient Mesoamerican Population Seminar, Amerind Foundation, Dragoon, Arizona (with A.S.Z. Chase and A.F. Chase, April 20-24).
- 2022 "Archaeological Population Studies in Mesoamerica: Retrospective and Prospective." Ancient Mesoamerican Population Seminar, Amerind Foundation, Dragoon Arizona (with A.F. Chase and A.S.Z. Chase, April 20-24).
- 2021 "Extracting 'Maya:' Archaeology, Foreign Contacts, Households, and Resilience in Maya Identity." Being Maya: Identity and Ontology: A Working Group Session, Santa Fe Institute, Santa Fe, New Mexico (with A.F. Chase, August 18-20; canceled in 2020 due to COVID-19).
- 2021 "Lidar and Landscape: Changed Perspectives on the Ancient Maya Past." Earth Archive Virtual Conference (Chapter 1: The Amazon), organized by Christopher Fisher and Stephen Leisz, June 15-16 (with A.F. Chase and Adrian S.Z. Chase, June 16).
- 2020 "Lidar and the Archaeology of Caracol, Belize: Ten Years After." LiDAR: Research, Protection, and Conservation of Archaeological Heritage in the 21st Century (Virtual), The Getty Research Institute, The Getty Center, Los Angeles, California (with A.F. Chase and Adrian S.Z. Chase, April 3, Zoom Conference).

- 2018 “The Impact of Caracol Lidar on Mesoamerican Archaeology a Decade Later.” Paris Conference on Archaeological Lidar, French Institute of Asian Studies (EFEO), Paris, France (with A.F. Chase and A.S.Z. Chase, December 11-12).
- 2018 “Extracting “Maya”: Archaeology, Foreign Contacts, and Resilience in Maya Identity. “On Time and Being Maya: A Working Group Session,” Santa Fe Institute, Santa Fe, New Mexico (with A.F. Chase, August 29-30).

Professional Presentations: Academic Contributed and Peer-Reviewed (last 5 years only: 2018- 2022):

- 2022 “Transitions and Transformations in Civilization: Interpreting Change and Realignment between Phases in the Archaeological Record of the Ancient Maya.” 18th Annual Belize Archaeology Symposium, San Ignacio, Cayo (A.F. Chase and D.Z. Chase – June 30; originally for 2020 meeting, but cancelled due to COVID-19).
- 2022 “Identifying Ancient Neighborhoods at Caracol, Belize: Landscape Analyses and the Archaeological Record,” 86th Annual Meetings of the Society for American Archaeology, Chicago, IL (D.Z. Chase, A.F. Chase, and A.S.Z. Chase - April).
- 2022 “Dynasties, Bureaucracies, and Governance among the Late Classic Maya: Caracol and Its Peers,” 86th Annual Meetings of the Society for American Archaeology, Chicago, IL (A.F. Chase, D.Z. Chase, and A.S.Z. Chase – April).
- 2021 “Economy and Socio-Political Change at Classic Period Caracol, Belize,” 86th Annual Meetings of the Society for American Archaeology, VIRTUAL (D.Z. Chase and A.F. Chase – April; originally for 2020 meeting, but cancelled due to Covid-19).
- 2021 “Ancient Estimation in Ancient Mesoamerica: Retrospective and Prospective,” 86th Annual Meetings of the Society for American Archaeology, VIRTUAL (A.F. Chase, D.Z. Chase, and A.S.Z. Chase – April; originally for 2020 meeting, but cancelled due to Covid-19).
- 2021 “Population History for Caracol, Belize: Numbers, Complexity, and Urbanism,” 86th Annual Meetings of the Society for American Archaeology, VIRTUAL (E.D.Z. Chase, A.S.Z. Chase, D.Z. Chase and, A.F. Chase – April; originally for 2020 meeting, but cancelled due to Covid-19).
- 2019 “Life at the Edge of the Maya World: Late Classic Period Deposits at Santa Rita Corozal,” 17th Annual Belize Archaeology Symposium, San Ignacio, Cayo (A.F. Chase and D.Z. Chase – June).
- 2019 “Archaeological Research and Conservation at Santa Rita Corozal, Belize: Results of the 2012-2013 Institute of Archaeology Conservation Project,” 17th Annual Belize Archaeology Symposium, San Ignacio, Cayo (J.J. Awe, J. Can, A.F. Chase, and D.Z. Chase – June).
- 2019 “A Decade Later: The Impact of Caracol LiDAR Surveys on Archaeological Interpretation in the Maya Area,” XI Congreso Internacional de Mayistas, Chetumal, Mexico (A.F. Chase, D.Z. Chase, and A.S.Z. Chase – June).
- 2019 “Ancient Maya Sustainability at Caracol, Belize: Implications for the Past and Future,” 84th Annual Meetings of the Society for American Archaeology, Albuquerque, NM (A.S.Z. Chase, D.Z. Chase, and A.F. Chase - April).
- 2019 “An Interpretive Framework and Description of Ritualized Obsidian from Caracol, Belize,” 84th Annual Meetings of the Society for American Archaeology, Albuquerque, NM (Lucas Martindale Johnson, A.F. Chase, and D.Z. Chase - April).
- 2018 “The Role of Central Belize in the Development of Maya Archaeology: A Critical Assessment,” 16th Annual Belize Archaeology Symposium, San Ignacio, Cayo (A.F. Chase and D.Z. Chase – June).
- 2018 “Final Moments: Contextualizing On-Floor Archaeological Materials from Caracol, Belize,” 83rd Annual Meetings of the Society for American Archaeology, Washington, D.C. (A.F. Chase and D.Z. Chase – April).
- 2018 “Sustainability and Climate Change in the Ancient Maya Area: Evidence from Remote Sensing and Long Term Land Use,” 83rd Annual Meetings of the Society for American Archaeology, Washington, D.C. (D.Z. Chase and A.F. Chase – April).

Selected Public Academic Presentations (last 5 years only: 2018-2022):

- 2022 “Ancient Mesoamerican Population History: Estimating Past Complexity and Change from the Archaeological Record,” Amerind Free Online Lecture, Amerind Foundation, Arizona (with A.F. Chase and A.S.Z. Chase – June 11).
- 2020 “The Impact of Lidar on Archaeological Research at the Ancient Maya City of Caracol, Belize,” Plenary Lecture at Optical Society, Arlington, VA (June 14; CANCELED DUE TO COVID-19).
- 2019 “Archaeology at Santa Rita Corozal and Caracol, Belize: Maya Hidden Worlds Revealed,” UNLV Alumni Lecture and Exhibit Tour, Natural History Museum of Utah, Salt Lake City (with A.F. Chase – May 7).
- 2018 “How Technology and Long-Term Archaeological Research Reveal the Life of the Ancient Maya,” Research Week, UNLV, Las Vegas (with A.F. Chase – October 10).

**UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA**

ITEM: Legislative Update – University of Houston System

DATE PREVIOUSLY SUBMITTED: N/A

SUMMARY:

Mr. Jason Smith, Vice Chancellor/Vice President for Governmental Relations will provide an update regarding the UHS Legislative Agenda priorities for the 88th Legislative Session.

SUPPORTING DOCUMENTATION: None

FISCAL NOTE: None

**RECOMMENDATION/
ACTION REQUESTED:** Information

COMPONENT: University of Houston System



CHANCELLOR Renu Khator



DATE