UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS MEETING
Tuesday, December 16, 2008

AGENDA

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS MEETING

DATE: **Tuesday, December 16, 2008**

TIME: **8:30 a.m.**

PLACE: **University of Houston**
Athletics/Alumni Center
3100 Cullen Boulevard
Melcher Board Room 100B
Houston, Texas 77204

Chairman: **Welcome W. Wilson, Sr.**
Vice Chairman: **Lynden B. Rose**
Secretary: **Jim P. Wise**

I. Board of Regents Meeting

A. Call to Order

B. Open Forum

C. Update on Faculty Senate Activities presented by Dr. Dan Wells, President-Elect of Faculty Senate – University of Houston BOR 1

Action: Information

D. Approval of Minutes

1. Academic & Student Success Committee Meeting – August 12, 2008
2. Audit & Compliance Committee Meeting – August 12, 2008
3. Endowment Management Committee Meeting – August 12, 2008
4. Facilities, Construction & Master Planning Committee Meeting – August 12, 2008
5. Finance & Administration Committee Meeting – August 12, 2008
6. Board of Regents Meeting – August 19, 2008
7. Special Called Board of Regents Meeting – October 10, 2008
8. Endowment Management Committee Meeting – October 23, 2008

Action: Approval

E. UH Hilton Foundation Resolution – University of Houston BOR 2

Action: Approval

F. Amendment to Board Policy – 57.04 Dual Employment – BOR 3

Action: Approval

II. Committees Reports

A. The following items were approved by the committees at the Board of Regents Committee Meetings on December 9, 2008

Academic and Student Success Committee

1. Bachelor of Science Degree in Digital Media – University of Houston A&SS 1

2. Bachelor of Science Degree in Human Resources Development – University of Houston A&SS 2

3. Master of Science Degree in space Exploration Sciences – University of Houston A&SS 3

4. Establishment of Center for Technology Development and Transfer – the **Lone Star Wind Alliance** and Authorization of Establishment of Non-Profit 501(c)(3) Corporation by the Lone Star Wind Alliance – UH System A&SS 4

5. Request to change the name of the UH-Downtown – UH-Downtown A&SS 5

6. UH-Clear Lake Downward Expansion – UH-Clear Lake A&SS 6

New Item(s)

1. Approval of UH-Victoria/Victoria College Affiliation and Partnership Agreement – UH-Victoria A&SS 7

Action: Approval

2. Update on the UH Reserve Officers' Training Corps – University of Houston A&SS 8

Action: Information

Audit & Compliance Committee

1.	Review and Approval of Audit Report and Financial Statements, University of Houston Charter School, FY 2008 – UH System	AUDIT 1
2.	BOR Policy Revision – Code of Ethics – UH System	AUDIT 2
3.	BOR Conflict of Interest Certification Statement – UH System	AUDIT 3
4.	Board of Regents Policy – Identify Theft Prevention Program – UH System	AUDIT 4

Facilities, Construction & Master Planning

1.	Approval of the Bauer Business III Building Program – University of Houston	FC&MP 1
2.	Approval of the Optometry Building Program – University of Houston	FC&MP 2
3.	Approval of the Engineering Student Services Building Program – University of Houston	FC&MP 3
4.	National Incident Management System – University of Houston	FC&MP 4

Finance & Administration

1.	Banking and Investment Resolutions for UH System – UH System	F&A 1
2.	Purchase Order for Public Broadcasting Service – University of Houston	F&A 2
3.	Appointment of Members to the Systemwide Art Acquisition Committee – UH System	F&A 3
4.	Purchase of 4902 Gulf Freeway Property – University of Houston	F&A 4
5.	Contract to Provide Electrical Service for the University of Houston System – UH System	F&A 5
6.	Ratification of Emergency Contracts related to Hurricane Ike – UH System	F&A 6

New Item(s)

1. Negotiate Purchase of University Business Park – University of Houston — F&A 7

   Action: Approval

B. Board Approval of the Committees Reports

III. Chancellor's Report

IV. Executive Session

A. Section 551.071 – Consultation with System Attorneys

B. Section 551.072 – Deliberations Concerning Purchase, Lease or Value of Real Property

C. Section 551.073 – Deliberations about Negotiated Contracts for Prospective Gifts or Donations

D. Section 551.074 – Personnel Matters, Including Appointment, Evaluation or Dismissal of Personnel

V. Report and Action from Executive Session

VI. Amendment of Board of Regents Bylaws – 4.1 Officers - UH System — BOR 4

Action: Approval

VII. Chair's Report

VIII. Adjourn

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE:

ITEM: Update on Faculty Senate Activities presented by Dr. Dan Wells, President-Elect of the Faculty Senate

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

Dr. Dan Wells, President-Elect of the Faculty Senate will give an update to the Board of Regents on the current activities of the Faculty Senate.

FISCAL NOTE:

SUPPORTING DOCUMENTATION: None

ACTION REQUESTED: Information

COMPONENT: University of Houston

Renu Khator
PRESIDENT Renu Khator **DATE** 11/25/08

VICE CHANCELLOR **DATE**

Renu Khator
CHANCELLOR Renu Khator **DATE** 11/25/08

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE:

ITEM: UH Hilton Foundation Resolution

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

Board approval of the attached resolution is requested to acknowledge the contributions over the years that have been made by the Hilton family, Corporation, and Foundation to the University of Houston.

FISCAL NOTE:

SUPPORTING DOCUMENTATION: Attached Resolution

ACTION REQUESTED: Approval

COMPONENT: University of Houston

Renu Khator

PRESIDENT Renu Khator **DATE** 11/25/08

VICE CHANCELLOR **DATE**

Welcome W. Wilson, Sr.

CHAIRMAN **DATE** 12-08-08

RESOLUTION IN APPRECIATION

The Conrad N. Hilton Foundation
And
The Conrad N. Hilton Fund

WHEREAS, the Conrad N. Hilton Foundation and the Conrad N. Hilton Fund were founded through the philanthropy of Conrad N. Hilton, legendary icon of the hospitality industry; and,

WHEREAS, through the extraordinary generosity of Conrad N. Hilton's initial gift to the University of Houston in 1969, the university's hospitality education program, known as the Conrad N. Hilton College of Hotel and Restaurant Management, was created; and,

WHEREAS, the generosity of the Conrad N. Hilton Foundation and the Conrad N. Hilton Fund has provided critical support over the years for programming, faculty, scholarships, and facilities, support which has sustained the college's stature as a preeminent educational program in hospitality management; and,

WHEREAS, the graduates of the Conrad N. Hilton College are recognized globally for the leadership positions which they hold throughout the hospitality industry; and,

WHEREAS, the Conrad N. Hilton Foundation and the Conrad N. Hilton Fund are two of the most significant benefactors of the University of Houston, having gifted in excess of $60 million since the founding of the Conrad N. Hilton College; and,

WHEREAS, the recent $6.5 million commitment by the Conrad N. Hilton Fund will support the renovation of the College's Hilton University of Houston Hotel and Conference Center; and,

WHEREAS, the Conrad N. Hilton Foundation and the Conrad N. Hilton Fund are recognized for their philanthropic support of important causes around the world,

NOW BE IT THEREFORE RESOLVED that the Board of Regents of the University of Houston System issues this resolution in appreciation of the Conrad N. Hilton Foundation and the Conrad N. Hilton Fund for their distinguished service and support to the University of Houston System.

Dated this 16th day of December, 2008.

Chairman, Board of Regents University of Houston System	Chancellor University of Houston System

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE:

ITEM: Amendment to Board Policy – 57.04 – Dual Employment

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

Approval is requested to amend the following Board Policy – 57.04 to make it consistent with the law.

Current Board Policy – 57.04 – Dual Employment

Amendment Requested – 57.04 – Dual Office Holding

Also deleting the last line to this section.

FISCAL NOTE:

SUPPORTING DOCUMENTATION: Proposed Amendment

ACTION REQUESTED: Approval

COMPONENT: UH System

PRESIDENT **DATE**

VICE CHANCELLOR **DATE**

CHAIRMAN Welcome W. Wilson, Sr. **DATE** 12-8-08

Current Board Policy – 57.04 – Dual Employment

The board must give its approval before any officer of the system or its component institutions may hold other non-elective state or federal office or position of honor, trust, or profit. Approval must include formal findings that the dual office holding is of benefit to the state or required by state or federal law, and creates no conflict of interest. The board delegates to the chancellor the authority to approve such dual office holding by any system employee who is not an officer of the system or its component institutions. *(05/17/07)*

Proposed Board Policy – 57.04 – Dual ~~Employment~~ Office Holding

The board must give its approval before any officer of the system or its component institutions may hold other non-elective state or federal office or position of honor, trust, or profit. Approval must include formal findings that the dual office holding is of benefit to the state or required by state or federal law, and creates no conflict of interest. ~~The board delegates to the chancellor the authority to approve such dual office holding by any system employee who is not an officer of the system or its component institutions. *(05/17/07)*~~

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE:

ITEM: Amendment to Board of Regents Bylaws – 4.1 - Officers

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

Consideration is requested for a proposed amendment to Board Bylaws 4.1 – Officers.

The following amendment is proposed; however others may be presented:

"The officers of the board shall consist of a chair, vice chair, and a secretary who shall hold office for a term of one year from September 1 through August 31; or until his or her successor has been elected. No board member shall serve more than two consecutive terms as chair **without the vote of six board members. The votes for officers will be by ballot and no motions for acclamation will be heard until a ballot has been taken.**

FISCAL NOTE:

SUPPORTING DOCUMENTATION:

ACTION REQUESTED: Approval

COMPONENT: UH System

_____ **DATE**

_____ **DATE**

Welcome Wilson

CHAIRMAN Welcome W. Wilson, Sr. 12-10-08 **DATE**

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Academic and Student Success

ITEM: Bachelor of Science Degree in Digital Media

DATE PREVIOUSLY SUBMITTED:

SUMMARY

The University of Houston proposes the establishment of a Bachelor of Science Degree in Digital Media to be administered by the Department of Information and Logistics Technology in the College of Technology. This proposed degree program is an outgrowth of a long-standing specialization in graphic communication technology, which has enjoyed a superb record of job placement. The Digital Media program will prepare supervisors and managers, as well as sales, customer service and operations personnel for businesses specializing in communication through print, internet, multimedia, and video technologies. The program anticipates 120 students by the fifth year and will require two new faculty members. Total five year costs are projected to be $1.6 million.

FISCAL NOTE:

SUPPORTING DOCUMENTATION:

ACTION REQUESTED: Approval

COMPONENT: University of Houston

Renu Khator
PRESIDENT Renu Khator 11/25/08 **DATE**

INTERIM SENIOR VICE CHANCELLOR Jerald Strickland 11/24/08 **DATE**

Renu Khator
CHANCELLOR Renu Khator 11/25/08 **DATE**

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Academic and Student Success

ITEM: Bachelor of Science Degree in Human Resources Development

DATE PREVIOUSLY SUBMITTED:

SUMMARY

The University of Houston proposes the establishment of a Bachelor of Science Degree in Human Resources Development, to be administered by the Department of Human Development and Consumer Sciences in the College of Technology. The program prepares graduates for employment in the human resources division of corporations and other complex organizations, managing the training and career development initiatives of such organizations. The college has offered a minor in this area, but demand is sufficient now for a full degree program. The program anticipates 190 students by the fifth year and will require one new faculty member. Total five year costs are projected to be $400,000.

FISCAL NOTE:

SUPPORTING DOCUMENTATION:

ACTION REQUESTED: Approval

COMPONENT: University of Houston

Renu Khator
PRESIDENT Renu Khator **DATE** 11/25/08

Jerald L. Strickland
INTERIM SENIOR VICE CHANCELLOR Jerald Strickland **DATE** 11/24/08

Renu Khator
CHANCELLOR Renu Khator **DATE** 11/25/08

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Academic and Student Success

ITEM: Master of Science Degree in Space Exploration Sciences

DATE PREVIOUSLY SUBMITTED:

SUMMARY

The University of Houston proposes the establishment of a Master of Science Degree in Human Space Exploration Sciences, to be administered by the Department of Health and Human Performance in the College of Education. This program, unique to the Houston area, is designed to provide a broad human physiology background with a focus on human adaptation to space flight. In addition to training in normal/space physiology, graduates will complete an integrated academic program that combines bioengineering, space architecture/habitat development, and advanced technologies as they apply to the unique challenges of extended human habitation and exploration of space. The program will work closely with and help meet the employment needs of NASA and the space contractor community. The program anticipates sixty students by the fifth year and five year costs of $800,000.

FISCAL NOTE:

SUPPORTING DOCUMENTATION:

ACTION REQUESTED: Approval

COMPONENT: University of Houston

Renu Khator-
PRESIDENT Renu Khator **DATE** 11/25/08

Jerald Strickland
INTERIM SENIOR VICE CHANCELLOR Jerald Strickland **DATE** 11/24/08

Renu Khator-
CHANCELLOR Renu Khator **DATE** 11/25/08

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Academic & Student Affairs

ITEM: Establishment of Center for Technology Development and Transfer – the **Lone Star Wind Alliance** and Authorization of Establishment of Non-Profit 501(c)(3) Corporation by the Lone Star Wind Alliance

DATE PREVIOUSLY SUBMITTED: N/A

SUMMARY: Chapter 153 of the Texas Education Code was enacted specifically to allow universities an opportunity to establish centers for technology development and transfer and for such centers to establish both non-profit and for-profit corporations, in order to allow more latitude in commercialization of university technologies. Establishment of such centers and authorization for such centers to establish non-profit and for-profit corporations requires Board of Regents approval and we are requesting such approval at this meeting for establishment of the Lone Star Wind Alliance as a center under Chapter 153 of the Texas Education Code, and authorization for the Alliance to establish a 501(c)(3) non-profit corporation at a later date.

The establishment of the Lone Star Wind Alliance and authorization for it to establish a 501(c)(3) non-profit corporation at a later date enables UH to extend its research, technical assistance and outreach services to corporations, non-profit civic organizations, other universities, and U.S. Government classified research through flexible and productive partnerships in the field of wind energy research. The Alliance will function as a hub for commercialization in this field, and will involve and engage UH faculty, staff and students, the Houston and international business community, as well as industrial and commercial partners.

FISCAL NOTE:

SUPPORTING DOCUMENTATION: Organizational Principles of Lone Star Wind Alliance

ACTION REQUESTED: Approval

COMPONENT: University of Houston System

Renu Khator
PRESIDENT Renu Khator **DATE** 11/25/08

VICE CHANCELLOR Donald Birx **DATE** 11.20.08

Renu Khator
CHANCELLOR Renu Khator **DATE** 11/25/08

Draft

Version 2:
November 11, 2008

Lone Star Wind Alliance

INITIAL ORGANIZATION PROPOSAL

Section 1. Structure and Mission

1.1. Structured and maintained consistent with the provisions of Chapter 153 of Texas Education Code authorized by the Texas Legislature and as authorized by the University of Houston Board of Regents.

a. Creation of an University of Houston Center known as Lone Star Wind Alliance.

b. Creation of a 501(c)3 to further the mission of the Alliance when appropriate.

1.2. Mission first to Texas and then, as appropriate, to collaborating organizations in "the Wind Corridor" in order to:

1.2.1. Advance wind energy industry competitiveness in the overall global energy system by

1.2.1.1. Creating the critical mass required for effective R&D, innovation and commercialization of wind energy technologies and

1.2.1.2. Employing this critical mass for the systematic achievement of technology solutions that advance wind energy reliability, performance and cost

1.2.2. Build a robust technical and professional workforce

1.2.3. Build comprehensive supply chains that drive economic development (local, regional and national) to achieve the national targeted market share for wind in utility energy production.

1.2.4. Build and network rural-urban and regional-state and interstate partnerships that deliver and integrate wind power plant production, cost effectively meeting demand.

Section 2. Affiliation – Types of Affiliates

2.1. Affiliated Entities

2.1.1 Companies associated with any aspect of the supply chain of production and services businesses related to capture, production and delivery of renewable wind energy

2.1.2 Academic Institutions with one or more of

2.1.2.1 The R&D capabilities to advance the competitiveness of wind energy;

2.1.2.2 The innovation and commercialization capabilities to facilitate the implementation of next generation wind energy technology;

2.1.2.3 The educational capabilities to develop the wind industry technical and professional workforce.

2.1.3 Public Sector Organizations that are interested in the mission of the Alliance.

Section 3. Governance

3.1. **Fiduciary:** The University of Houston Board of Regents

3.1.1. Shall be responsible for all fiduciary related decisions and operations

3.1.2. Shall set all fiduciary policies and procedures

3.2. **Operational:** Alliance Steering Committee

3.2.1. Shall be comprised of affiliated entities.

3.2.2. Shall propose all policies and procedures for Alliance operations.

3.2.3. Shall propose terms and conditions for election to and membership on Steering Committee.

Section 4. Raising and Dispersing Funds

4.1. The Alliance will raise funds to support the specific costs for Alliance projects and programs from organizations including but not limited to:

4.1.1. Affiliated companies

4.1.2. State government

4.1.3. Federal government

4.2. The Alliance will use one or more Memoranda of Understanding to enable a unified approach to

4.2.1. Contracting for services from Alliance members

4.2.2. Capture, development and management of intellectual property

Section 5. Fixed Assets

5.1. The Alliance may acquire and manage fixed assets as required to fulfill its mission.

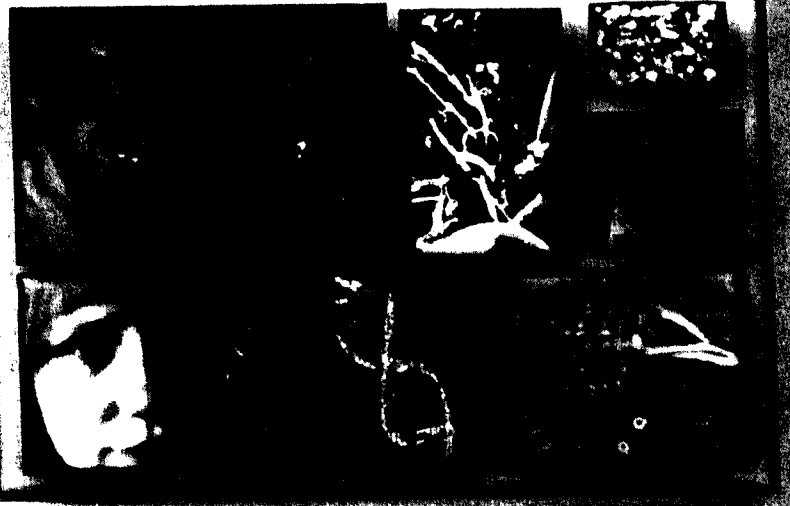
5.2. Any assets require a supporting business case that resolves the proper financing and operation of the asset.

5.3. The first such asset is intended to be the Large Blade R&D, Testing and Certification Facility; the subject of the DOE-NREL CRADA awarded to UH in June of 2007.

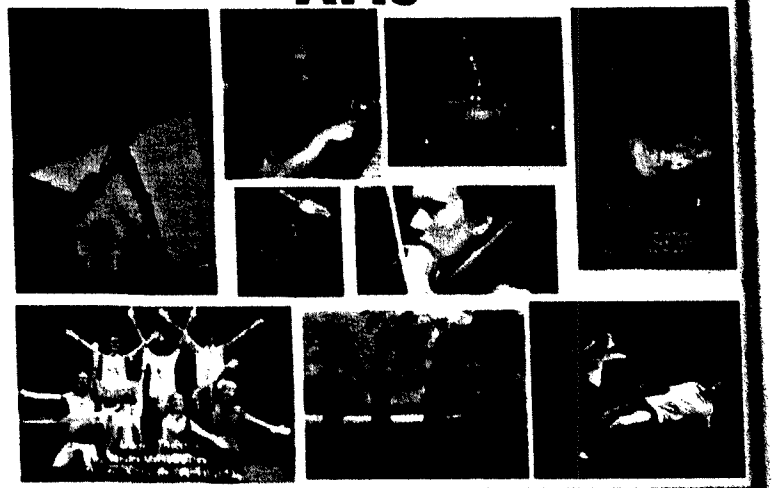
Research 2009

Energy

Health



Arts

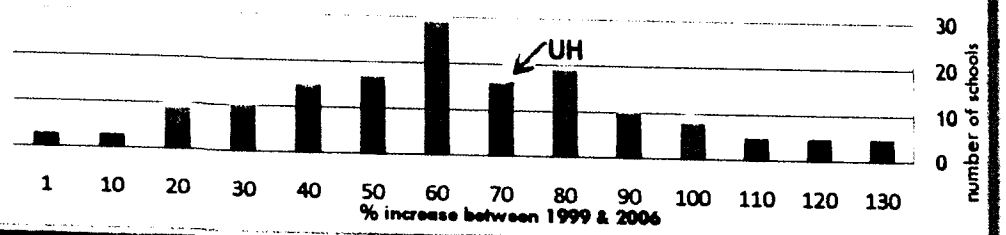


Stars

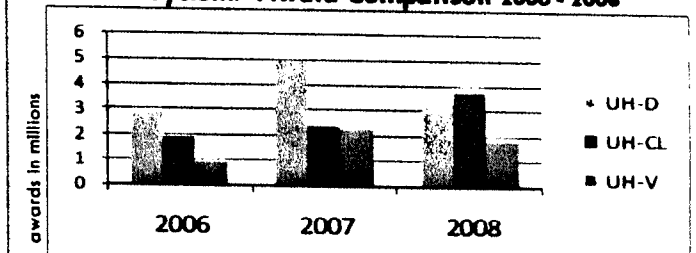
Board of Regents
Donald L. Birx December 2008

UNIVERSITY of HOUSTON
FUNDING OVERVIEW

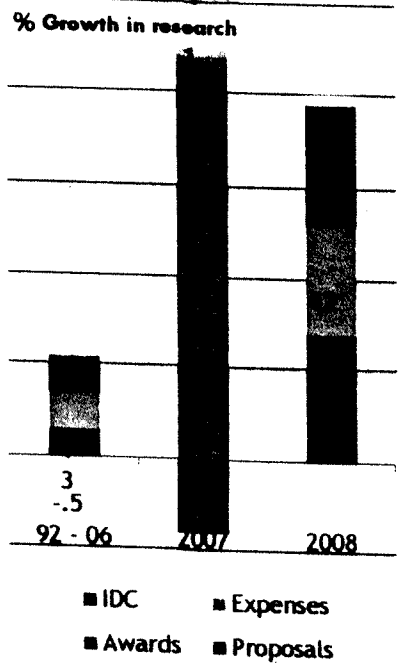
NSF R&D Expenditures 1999-2006



UH System: Award Comparison 2006 - 2008

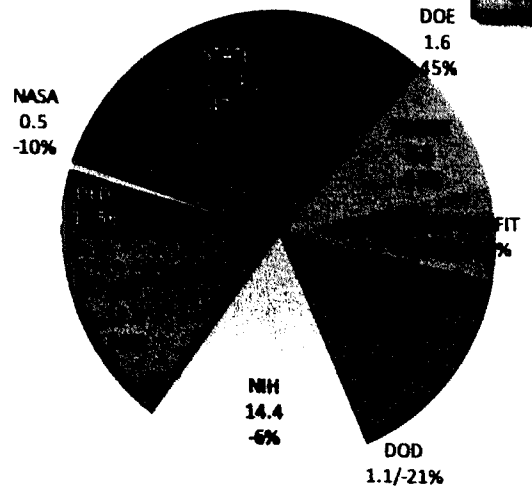


UH Main Campus:



UH Main Campus: Awards by Agency

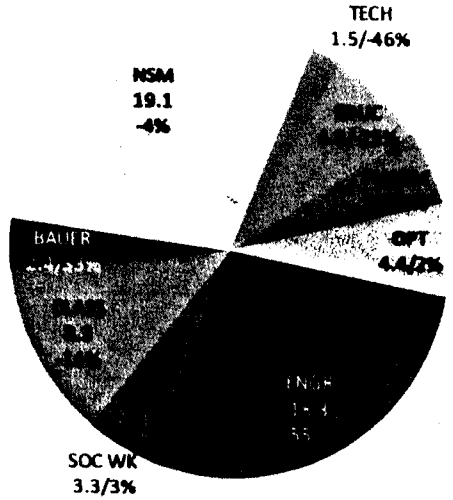
FY 2008 compared with FY 2007, *in millions*



Other = Foundation, non-state university, local and misc .federal % = % Growth from FY 2007 to FY 2008

UH Main Campus: Awards by College

FY 2008 compared with FY 2007, *in millions*



TARGETED INCREASES IN FUNDING

2009	2010	2011	2012	2013
8%	10%	15%	20%	20%
12%	15%	20%	25%	25%

Greater percent decre

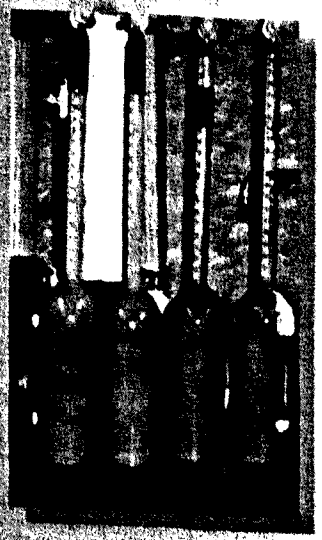
Greater percent increase

UH Energy

- ✓ Brand UH as the source for energy expertise in the world's energy capital
- ✓ Use Strategic Energy Alliance and Center for Industrial Partnerships to build relationships with energy companies and service providers

UH Energy & Natural Resources

Strategic Energy Alliance

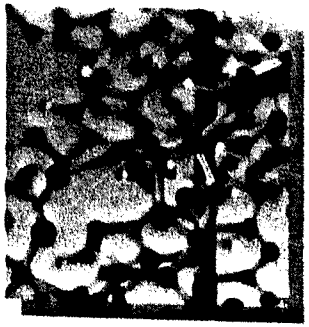


Subsurface resources

- ✓ Mission-Oriented Seismic Research Program
- ✓ Subsurface Sensing Lab
- ✓ Well Logging Laboratory
- ✓ Institute for Improved Oil Recovery

Promoting energy conservation & environmental sustainability

- ➢ Sasakawa International Center for Space Architecture
- ➢ Diesel Vehicle Research and Testing Facility
- ➢ Clean and Efficient Power Train Research
- ➢ Institute for Multi-Dimentional Air Quality Research



Driving renewables and alternatives

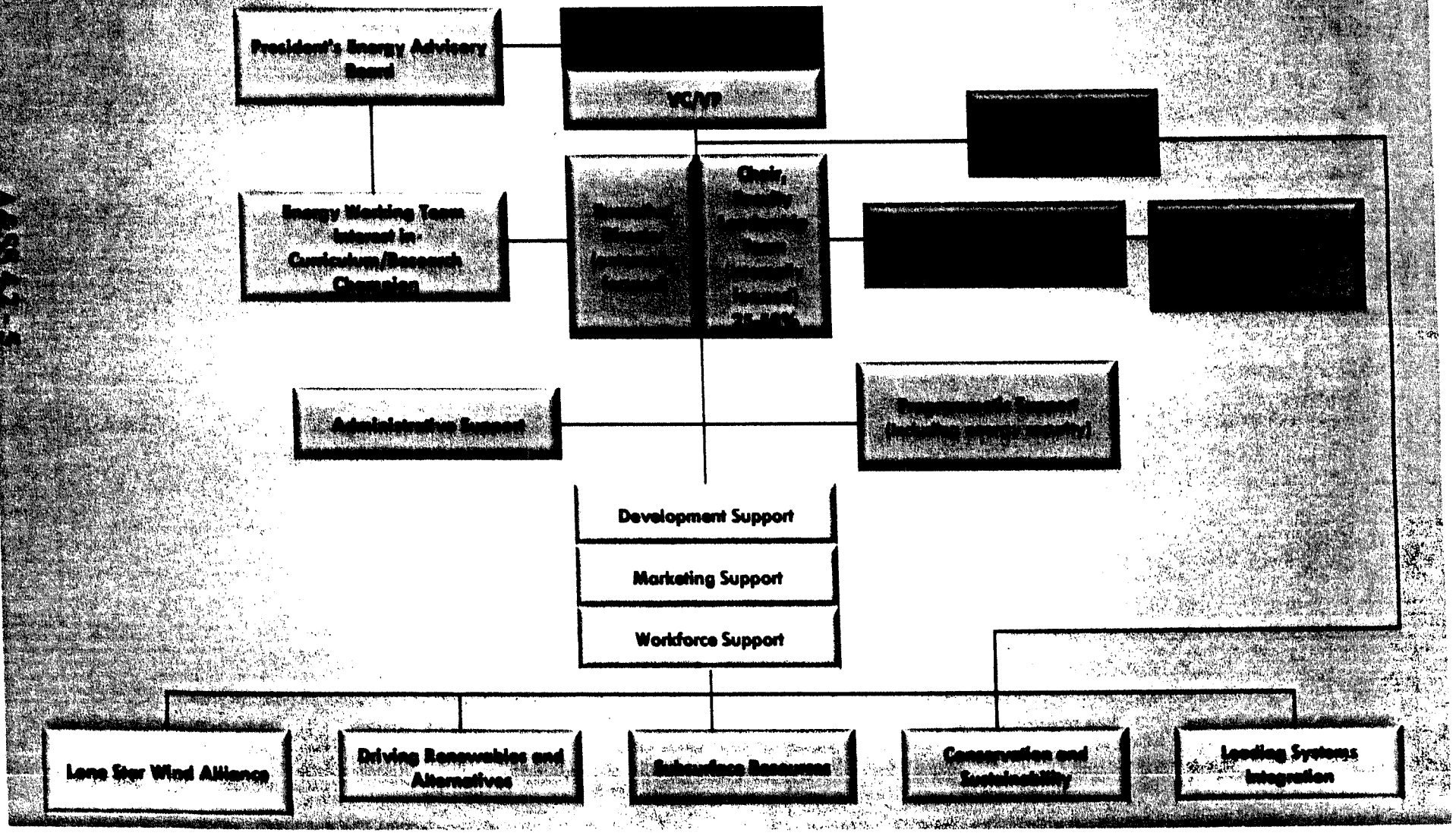
- ❑ Biotechnology at the College of Technology
- ❑ Lone Star Wind Alliance
- ❑ Center for Advanced Materials
- ❑ Texas Center for Superconductivity
- ❑ Center for Reliability of Ceramics
- ❑ Composites Engineering & Applications Center

Leading systems integration

- ◆ Environmental & Energy Law & Policy
- ◆ College of Education
- ◆ Global Energy Management Institute
- ◆ Center for Public History

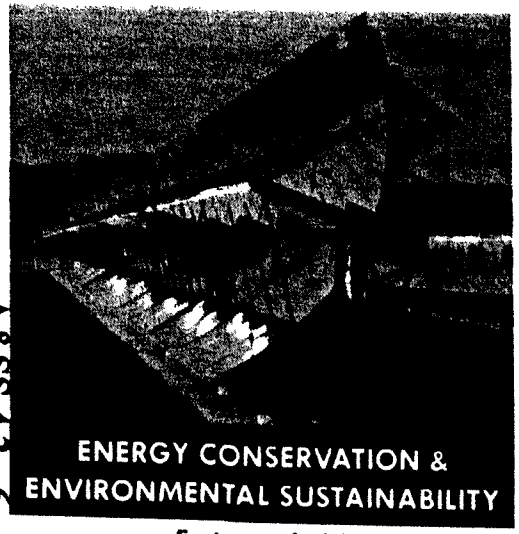
energy

UH Energy: organization

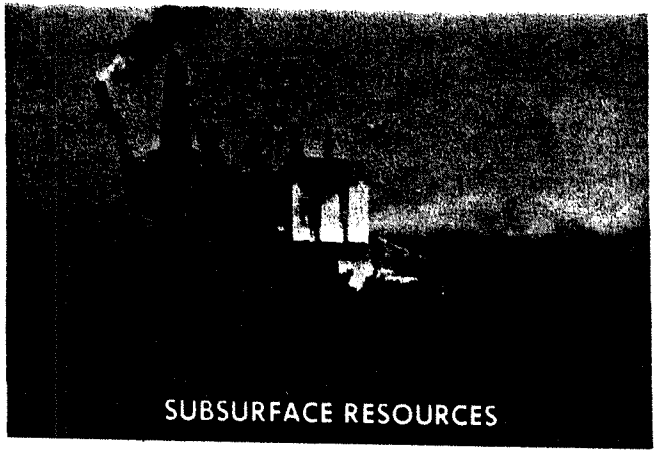


Strategic Hiring: Recommendation (Research Perspective)

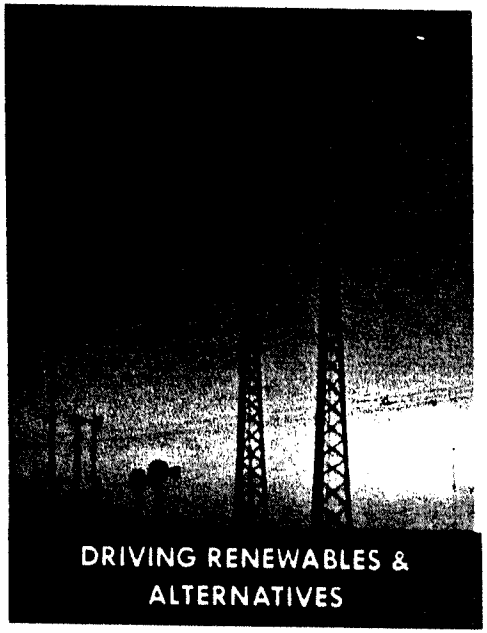
Energy & Natural Resources Research Cluster



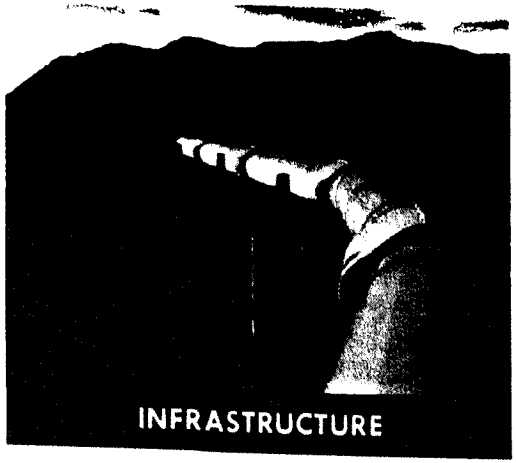
5 strategic hires



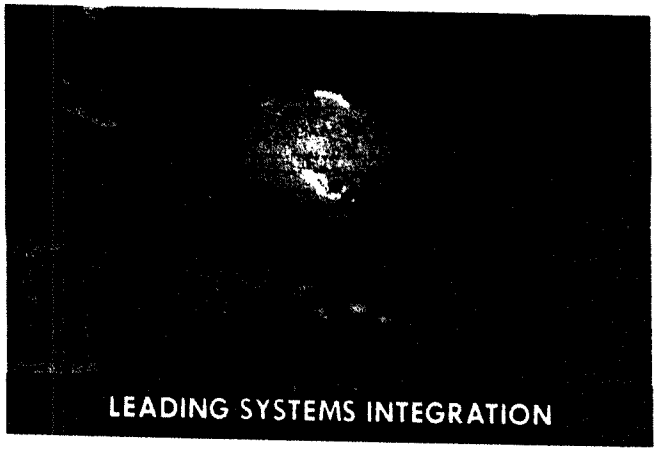
10 strategic hires



7 strategic hires



4 strategic hires



3 strategic hires

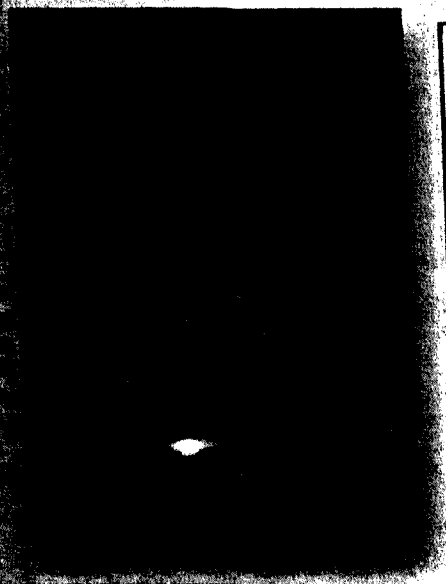
A&SS 4.2 - 6

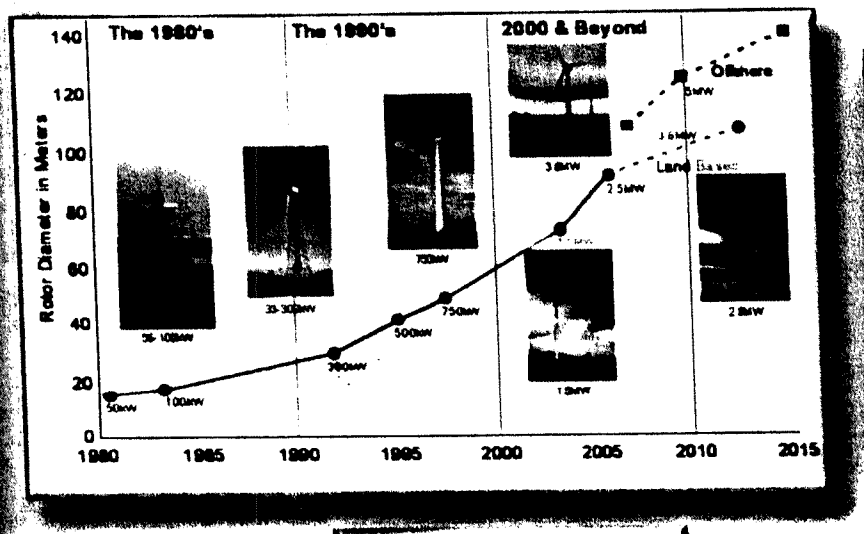
Wind Energy

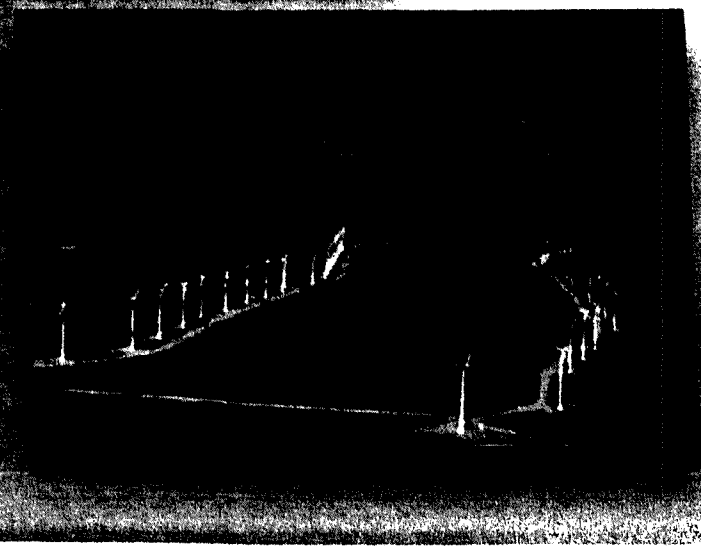
The Lone Star Wind Alliance

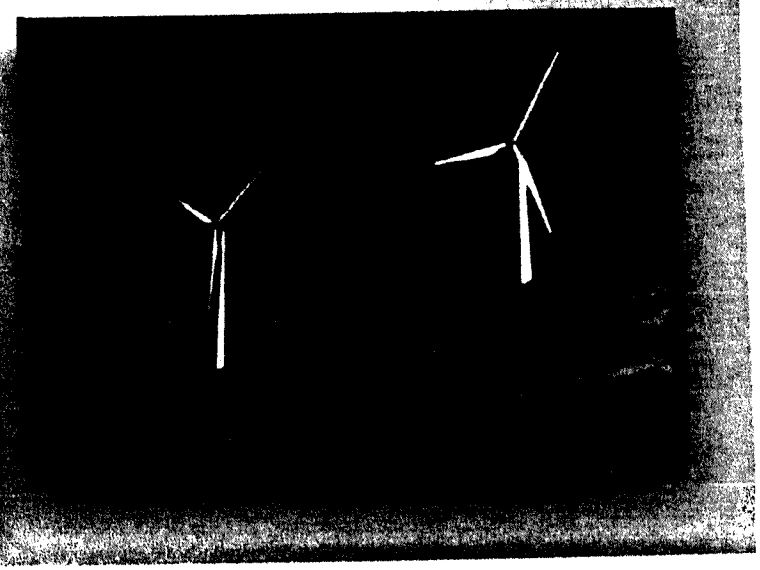
"We have only 7 years (to 2015) to have world GHG emissions start to decline to avoid temperature rises > 2C"

--Nobelist R.K. Pachauri, IPCC Head



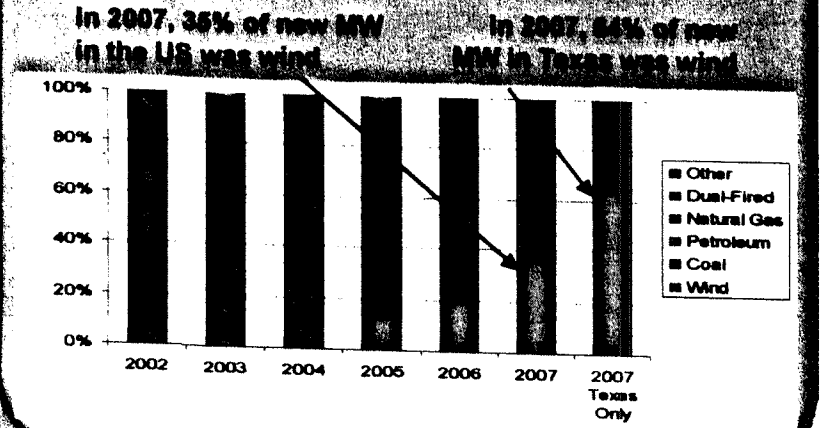




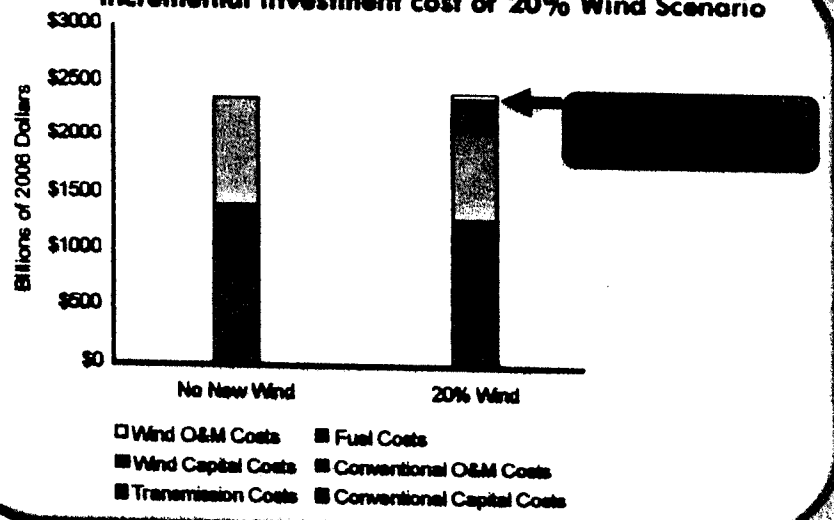


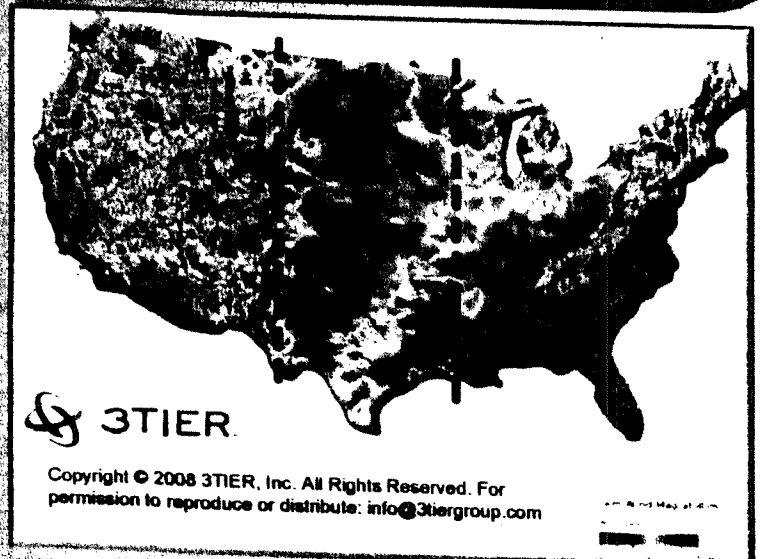
20% Wind Report: Growth Path For Wind & New Capacity

2007 New Power Generation Capacity – TX vs the US



Incremental investment cost of 20% Wind Scenario





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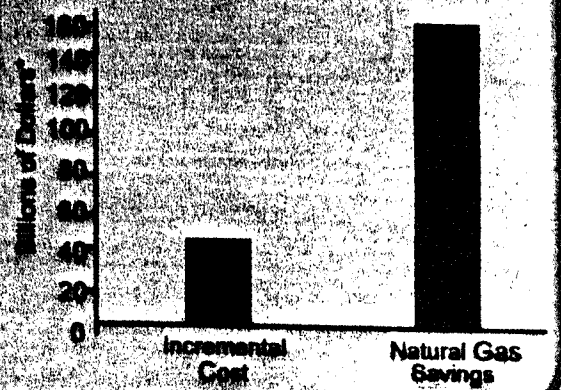
Wind Investment Cost vs. Natural Gas Savings

The benefit from reduced pressure on natural gas prices across all gas users would be $150 billion (NPV), by itself exceeding the incremental cost of investing in the 20% Wind Scenario.



*NREL Source: Hand et al., 2008

Lone Star Wind Alliance

Organizing the Leadership

501 (c) 3
UH Board Majority
Under Texas Statute 153

Steering Committee
- Industry Chair
- University Co-Chair
- Industry (majority)/University Members

Chair: Shell, Dick Williams
Co-Chair: A&M, Mark Ellison
Industry Seats: BP, Vestas, TBN, TBN
University Seats: UH, UT, TTU

Advisory Council
(Public Sector Organizations)

- *Texas General Land Office*
- *Texas Energy Conservation Office*
- *Greater Houston Partnership*
- *Patricio County, TX (Ingleside Test Facility)*
- *German American Chamber of Commerce*
- *Governor's Energy Cluster Initiative*
- *Texas Workforce Commission*

UH – General Manager
- Managing Director
- Technical Director
- Test Center Manager

Managing Directors: Don Birx (Acting)
James Glennie
Technical Directors: SuSu Wang, TBN
Test Center Director: TBN

Infrastructure
- Industry Chair
- University Co-Chair

Chair: TBN
Co-Chair: UH, James Glennie

Technology
- Industry Chair
- University Co-Chair

Chair: Vestas, Carsten Westergaard
Co-Chair: UT, Bob Hebner

Workforce
- Industry Chair
- University Co-Chair

Chair: Siemens (candidate), Jim Keegan
Co-Chair: TTU/TSTC, Keith Plantier

Industry Signed
- [illegible]
- [illegible]
- [illegible]
- [illegible]
- [illegible]
- [illegible]
- [illegible]
- TECO Westinghouse
- deWind
- DKRW Energy
- Trinity Industries
- ABS (Regulatory consultant)
- EDG Industries

Industry Pending
- Clipper Wind, Gamesa

Universities Signed
- University of Houston
- University of Texas, Austin
- Texas A&M University System
- Texas Engineering Exp'n Station
- Texas Tech University
- Lamar University
- Rice University
- [illegible]
- [illegible]
- [illegible]

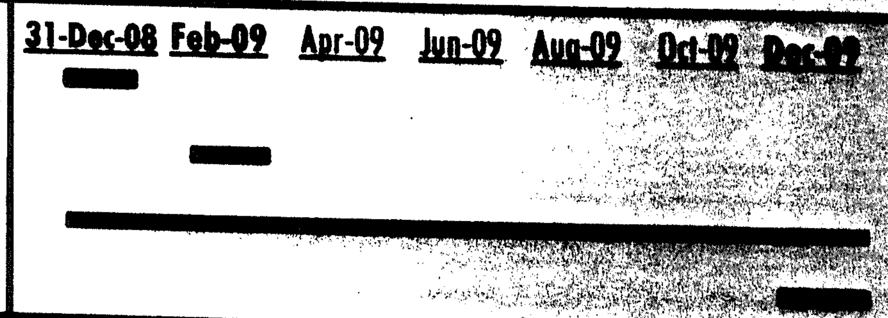
Universities Pending
- [illegible]
- [illegible]

LSWA – Steps To Be Taken

- **Establishment of 501c3**
  - Filing details of a fully functioning organization; creation will be phased in during Alliance ramp-up
- **Initial operation as a UH Center**
  - Governance during this interim Center phase will be through a Memorandum of Understanding
- **Organization**
  - Fiduciary responsibilities and Alliance resourcing handled by UH as General Manager
  - Policies and procedures set by Steering Committee and subject to fiduciary quality control by General Manager
- **Schedule**

LSWA 501c3 STEPS/TIMELINE

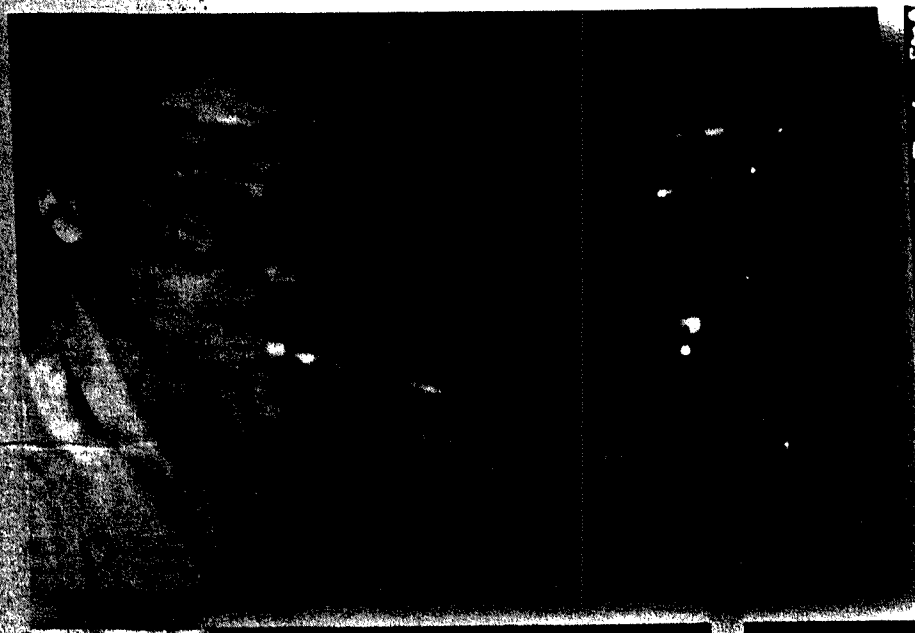
- Commit to charter membership agreement principles
- Deadline for Charter and UH Center membership
- Members sign 501c3 membership agreement
- Charter membership dues payable

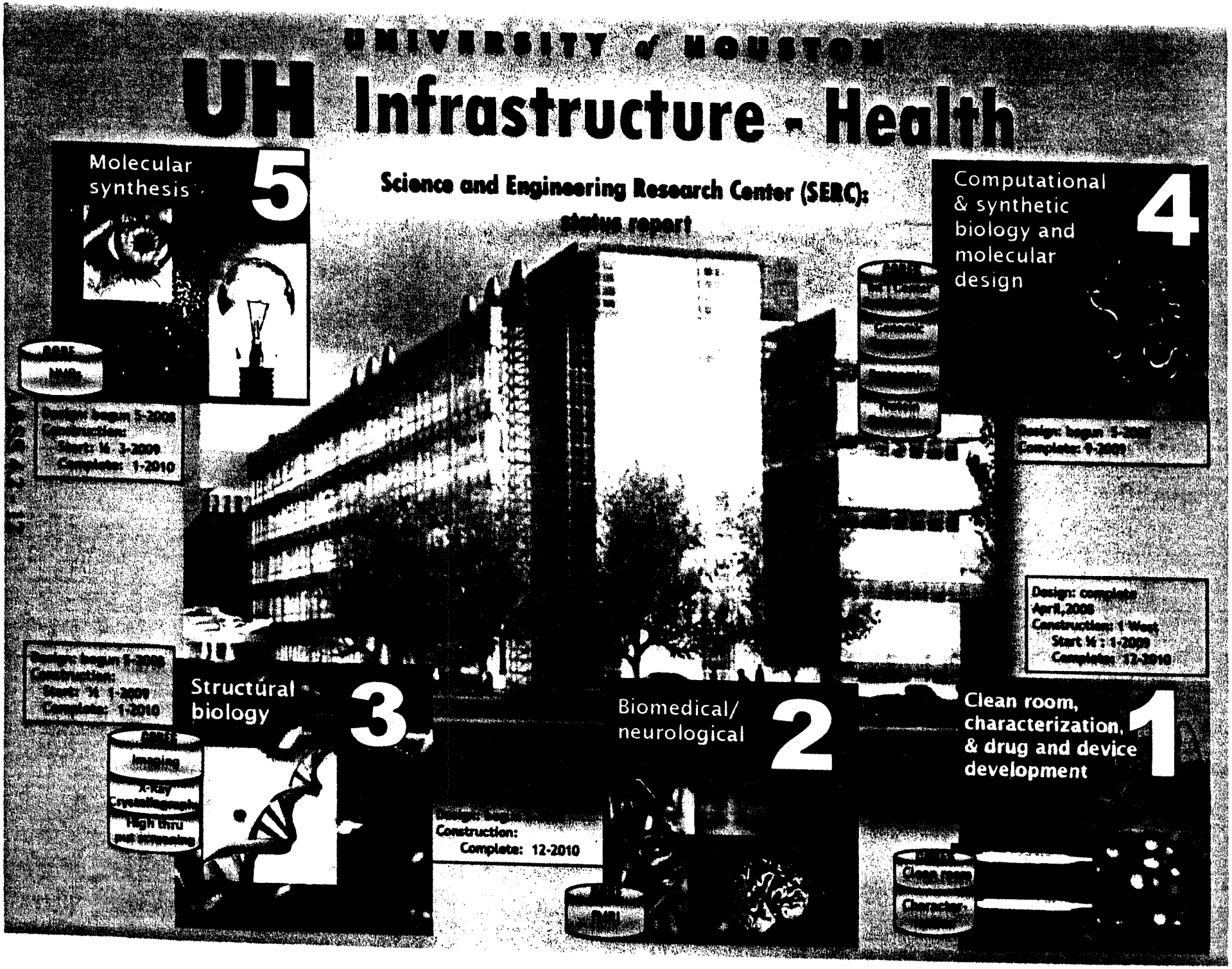


UNIVERSITY of HOUSTON

UH Health

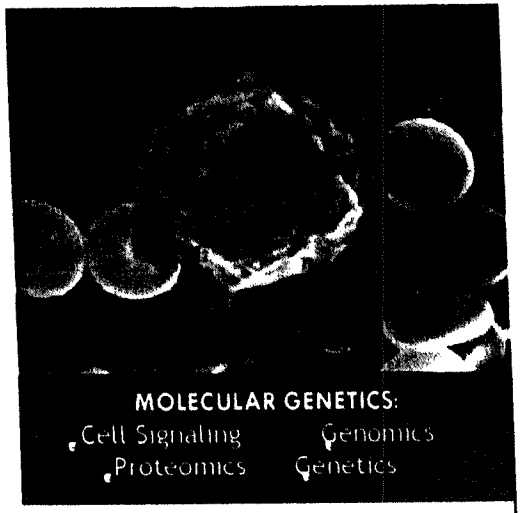
- Brand UH as the source for health expertise
- Capitalize on proximity of Texas Medical Center & forge collaborations
- Use Center for Industrial Partnerships & research centers to foster relationships with health-care service providers & industry leaders



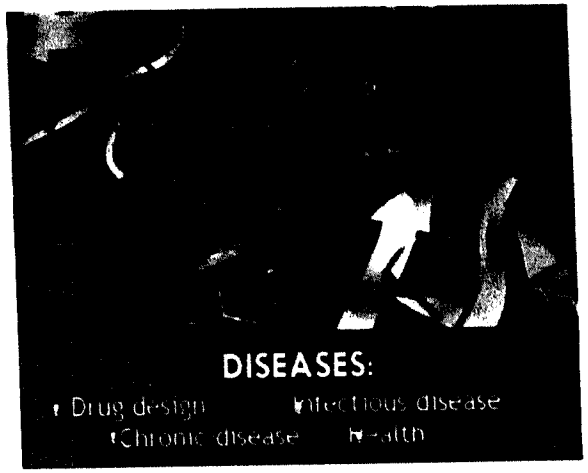

UNIVERSITY of HOUSTON
UH Infrastructure - Health
Science and Engineering Research Center (SERC):
status report
Molecular synthesis
5
Computational & synthetic biology and molecular design
4
Structural biology
3
Biomedical/ neurological
2
Clean room, characterization, & drug and device development
1
Construction:
Complete: 12-2010

Strategic Hiring: Recommendation (Research Perspective)

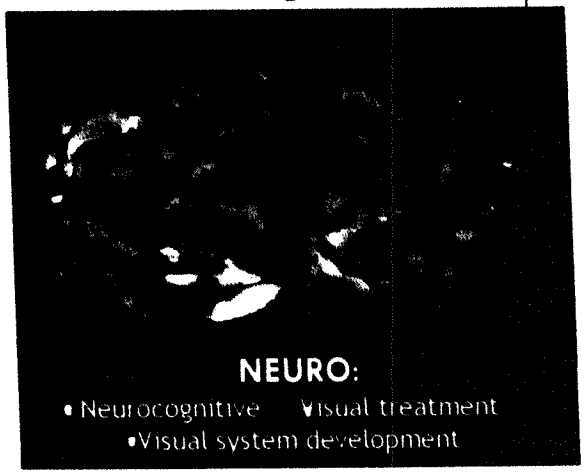
Biomedical Sciences & Engineering Research Cluster



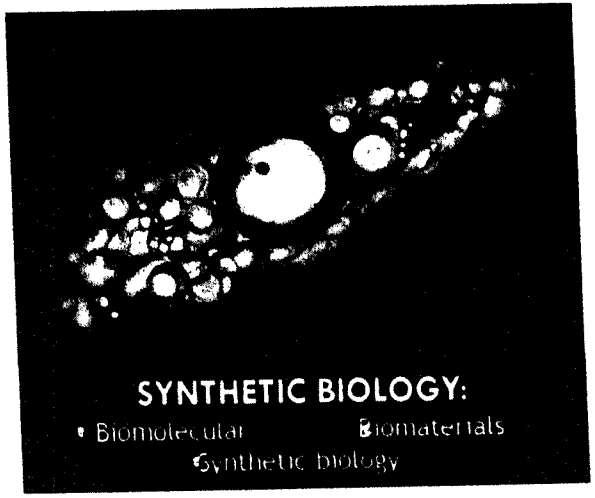
15 strategic hires



4 strategic hires



2 strategic hires



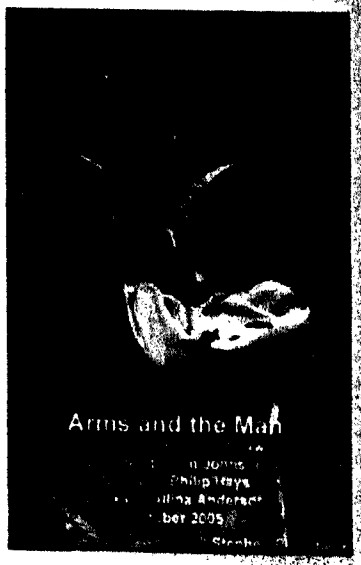
10 strategic hires

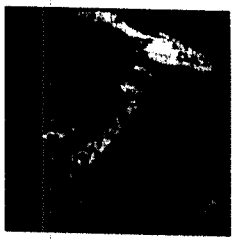
A&SS 4.2 - 13

UNIVERSITY of HOUSTON

UH Arts

- Become a world-class arts destination
- Become a national innovator in commissioning new work, producing and training thousands of artists and sponsoring world-class arts series
- Expand and strengthen our partnerships with area theaters, museums, performance venues and arts organizations
- Pursue a chapter of the Phi Beta Kappa

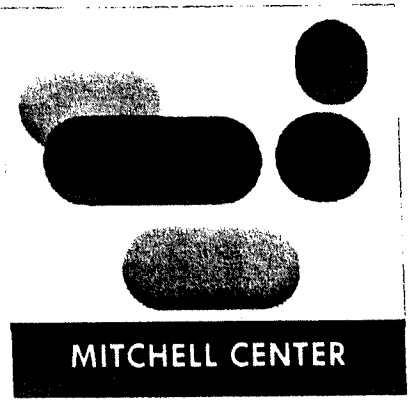




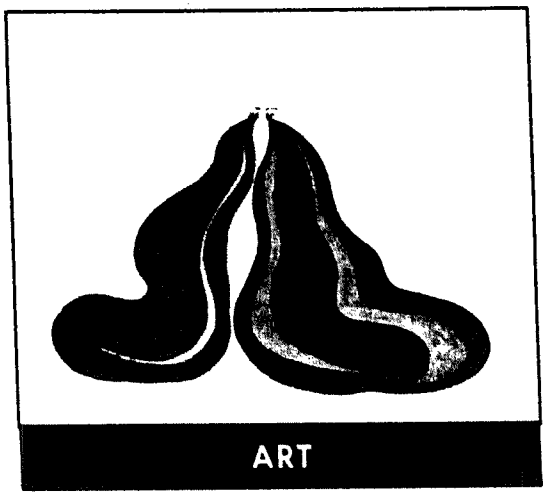
Strategic Hiring: Recommendation (Research Perspective)

Arts & Human Enrichment Research Cluster

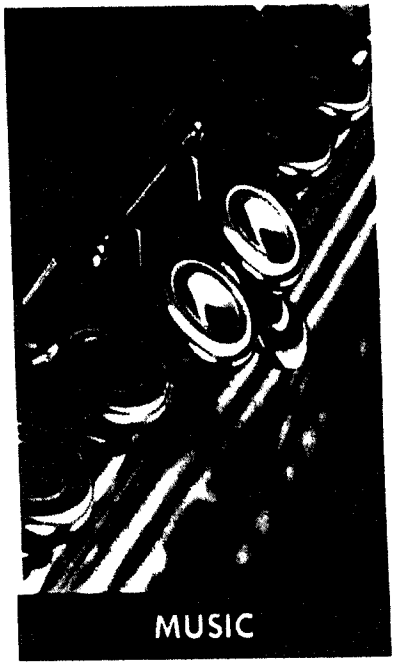
4 strategic hires



2 strategic hires



4 strategic hires



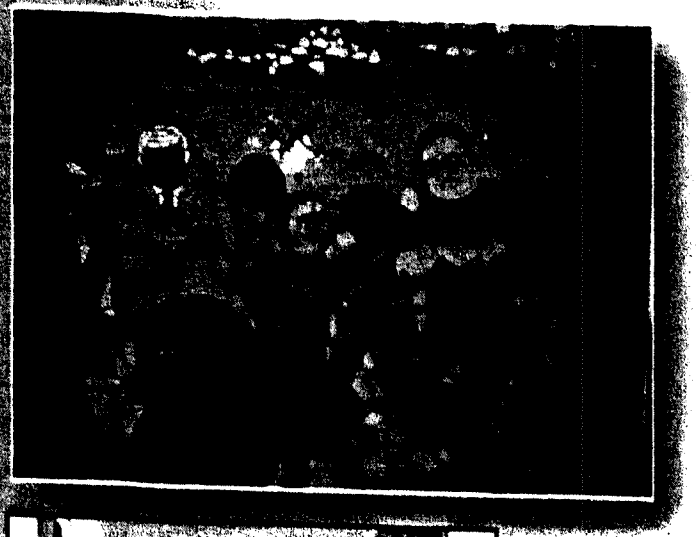
4 strategic hires

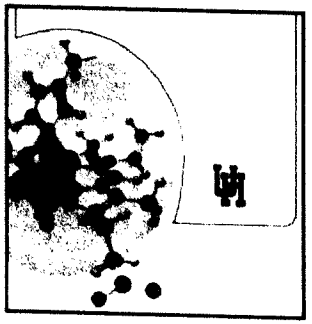
A&SS 4.2 - 15

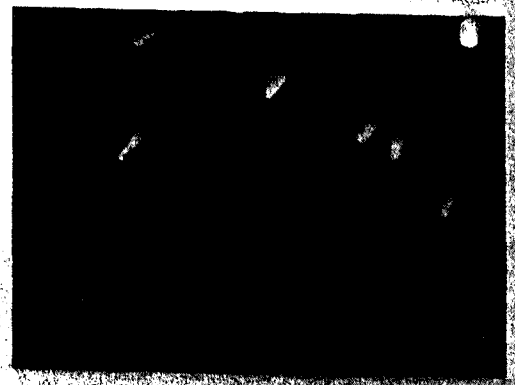
UNIVERSITY of HOUSTON

UH Stars

- Strengthen centers of excellence: entrepreneurship, health law, optometry, hotel and restaurant management, social work, psychology, chemical engineering, music, management and creative writing.







UNIVERSITY of HOUSTON

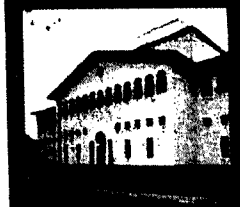
Research Clusters

Arts & Human Enrichment

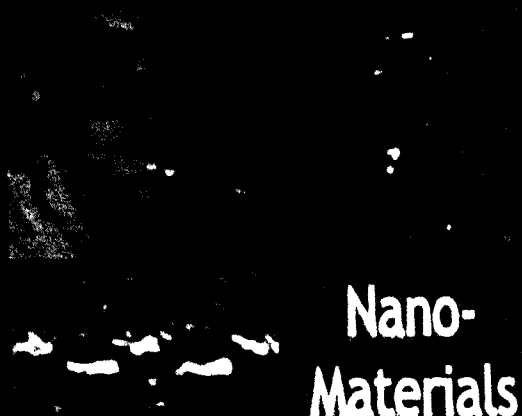
Complex Systems/
Space Exploration

Bio-Med Sciences
& Engineering

Energy & Natural Resources



Community
Advancement
& Education



Nano-
Materials

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Academic and Student Success

ITEM: Request to change the name of the UH-Downtown

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

In order to promote a clear and distinct identity for the University of Houston Downtown, President Max Castillo has requested that the Board name the University of Houston Downtown the Houston Metropolitan University and transmit this action to the Texas Legislature for appropriate supporting legislative action in the 81st session.

FISCAL NOTE:

SUPPORTING DOCUMENTATION:

ACTION REQUESTED: Approval

COMPONENT: UH-Downtown

Max Castillo

PRESIDENT Max Castillo November 13, 2008

Renu Khator

CHANCELLOR Renu Khator 12/2/08 **DATE**

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE:

ITEM: UH-Clear Lake Downward Expansion

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

The UH System Board of Regents approves the resolution addressing downward expansion at UH-Clear Lake.

FISCAL NOTE See "UHCL Projected Revenue and Expenses" in Supporting Documentation

SUPPORTING DOCUMENTATION:
Resolution: UHCL Downward Expansion
UHCL Downward Expansion Executive Summary
UHCL Projected Revenue and Expenses for Expanding to 4-Year Comprehensive University

ACTION REQUESTED: Approval

COMPONENT: UH-Clear Lake

William A. Staples
PRESIDENT **WILLIAM STAPLES** **DATE** 11/24/08

Renu Khator
CHANCELLOR **RENU KHATOR** **DATE** 12/2/08

RESOLUTION
UH-CLEAR LAKE DOWNWARD EXPANSION

The University of Houston System Board of Regents authorizes UH-Clear Lake to seek enabling legislation during the 81st Texas Legislature to offer freshman and sophomore courses, with the following contingencies and requirements:

1. Downward expansion will take place on the existing UH-Clear Lake campus, until enrollment growth justifies the need for expansion of current facilities. UHCL anticipates enrolling a cumulative total of 1,000 new students by year five of downward expansion.

2. UHCL has sufficient cash reserves to cover forecast funding deficits if state resources are not appropriated for this purpose during the 2009 legislative session. The UH System, as an entity, will not allocate resources to support downward expansion.

3. In addition to existing articulation agreements, UHCL will develop reverse articulation agreements with area community colleges to enhance both retention and graduation rates for the community colleges and UHCL.

4. UHCL will work closely with area school districts on dual enrollment programs.

5. The recruitment of students to UH-Clear Lake from the Houston region will be consistent with the enrollment management plan for the UH System. UHCL will work closely with UH on academic program pathways for students from bachelor's at UHCL, to master's at both UHCL and UH, and to doctoral at UH.

6. UHCL will admit freshmen for the first time no earlier than fall 2012.

7. UHCL will work closely with UH and UHD to develop a model metropolitan university system committed to both access and quality.

8. As it moves forward with downward expansion, UH-Clear Lake will comply with the requirements of all relevant accrediting agencies, including the Southern Association of Colleges and Schools (SACS) and the Texas Higher Education Coordinating Board.

9. Progress at UH-Clear Lake will be reviewed by the UH System Board of Regents after three years to ensure that downward expansion is being implemented as proposed and that accountability expectations are being met with respect to the UH System goals of national competitiveness, student success, and community advancement.

University of Houston Clear Lake

Expanding UH-Clear Lake into a 4-Year University: A Plan to Create More Educational Opportunities for the Community

Published July 2008

William A. Staples, President

Executive Summary

Closing the Gaps in Access and Success

The changing population profile of the Houston-Galveston metropolitan region presents new challenges and opportunities for closing the gaps in higher education access and success in the UH-Clear Lake service area. According to the Texas Higher Education Coordinating Board, the population of the Gulf Coast region of Texas, which includes the Houston-Galveston metropolitan area, is projected to increase from 4.8 million in 2000 to 6.1 million in 2015. This accelerated growth is triggered largely by an increase in the Hispanic population, which is projected to grow from 1.4 million in 2000 to 2.3 million in 2015 (Claritas 2007). This surge in a typically underserved population places new demands on higher education to reach out and successfully engage this group. That this engagement is vital is witnessed by the fact that two-thirds (65.8%) of the population 25 years of age and older do not have a baccalaureate or an associate's degree. In this situation, the need to close the gap in higher education participation and success becomes very clear. In response to the combination of a local demand for an educated workforce and the need to engage a rapidly enlarging underserved population, UH-Clear Lake is proposing a downward expansion to offer freshman and sophomore level courses to students and families in its service area.

Proposal for Downward Expansion

Based on primary market research, current Houston market penetration of selected Texas institutions, projected growth in high school enrollments, SAT score analysis of high school graduates in the six school districts surrounding UH-Clear Lake, and planned outreach activities at middle schools and high schools, UH-Clear Lake plans to admit its first cohort of 350 freshman in Fall 2012, referred to as Year 1. By year 5, it projects the freshman and sophomore headcount to grow to 1000 through a combination of freshman admissions and sophomore transfers as detailed in figure I.1. Assuming each student enrolls for 30 semester credit hours (SCH) per year, projected SCH are anticipated to increase from 10,500 to 30,000 over the same period.

Figure I.1. Projected Headcount and SCH by Year and by Student Classification

Student Classification	Year 1	Year 2	Year 3	Year 4	Year 5
# New Freshmen	350	361	379	405	446
# Cont Sophomores (75% retention)		263	270	284	304
# New Sophomores		77	131	171	251
Total	**350**	**700**	**780**	**860**	**1000**
Total Projected SCH	**10,500**	**21,000**	**23,400**	**25,800**	**30,000**

The projections in the above table assume modest increases in the number of freshmen in the early phases (3% in Year 2 and 5% in Year 3) followed by greater increases in Year 4 and Year 5 (7% in Year 4 and 10% in Year 5). Further, in projecting the headcount for Years 2 through 5, UH-Clear Lake assumes a 75% retention rate for each freshman class. This is based on UH-Clear Lake's average one-year retention rate for first-time, full-time transfer students over the past five years, which has been 83.3% with

a range of 80.5% to 85.5% over the period. UH-Clear Lake plans to start accepting sophomore transfers gradually, starting with approximately 1.5% of projected total undergraduate enrollment in Year 2. By leveraging years of experience in the transfer market, it plans to achieve a 5% sophomore transfer rate by the end of Year 5 of downward expansion.

It should be noted that the highest headcount enrollment experienced by UH-Clear Lake was 7,853 in fall 2005, which represents 331 additional students than the fall 2007 enrollment of 7,522. As the university grows to include freshmen and sophomores, the under-utilized classroom capacity will enable the university to absorb an additional 350 students in the first year and another 650 students over the next four years. The small cohort size of freshmen in the first five years will help the university manage growth more effectively without requiring much additional classroom capacity.

Business Plan

In developing revenue projections for all 5 years, the current document uses UH-Clear Lake's FY 2009 rates for tuition, formula and fees, all of which are based on student credit hours. The development of projected expenditures and salaries are also based on UH-Clear Lake's FY 2009 rates and do not reflect annual increases. While the first freshman class will begin in Fall 2012 (FY 2013; Year 1), formula funding from lower-level SCH will not be available until Year 2 (FY 2014). In order to recruit and prepare students for the first freshman class of Fall 2012, UH-Clear Lake will have to hire additional staff in the preceding academic year, referred to as Year 0. Start up expenses in Year 0 (FY 2012) include one-time funds for temporary offices and funds for hiring staff (e.g., recruiters, advisers and financial aid counselors) and developing new student services programs prior to the start of instruction. To meet the cumulative unmet need in the early years of operation (until revenues exceed expenditures in Year 4), UHCL will request special item funding from the legislature. Approximately $1 million for startup operations and $1.5 million for a one-time facility purchase will be requested in the 2009 legislative session, and $2.4 million will be requested in the 2011 legislative session. UH-Clear Lake will earmark reserve funds to cover these operations in case funding is not provided by the legislature. Specific details of the downward expansion business plan are included in the UHCL Projected Revenue and Expenses, accompanying this document.

Market Positioning

Data from the Texas Higher Education Coordination Board suggests that 2,492 (40%) of the 6,197 students in the six school districts within a 10 mile radius of UH-Clear Lake do not have any record of attending college in Texas (figure III.3). It is estimated that through outreach and scholarship funding the university can attract up to 15% or 374 of these students.

With different university systems in Texas competing for the Houston-Galveston market share, the lack of lower level course offerings at UH-Clear Lake has only allowed universities outside the UH System to recruit students from this region. In fact, as of 2007, 21 percent of Stephen F. Austin's student population and 42 percent of Sam Houston State University's student population were recruited from Harris and Galveston

Counties. A recent survey of high school counselors in the UH-Clear Lake service area by Noel-Levitz suggests that Sam Houston State University, Stephen F. Austin University and Texas State University were the top three institutions that students from the Clear Lake-Galveston area were more likely to attend. UH-Clear Lake plans to attract up to 187 (5%) of the 3,750 students who are residents of the Houston-Galveston metropolitan region but generally end up attending one of the four competitors outside Houston area due to non-availability of lower-level courses at UH-Clear Lake (figure III.4). By targeting these two groups of high school graduates, UH-Clear Lake will have a pool of up to 550 potential students available for recruitment to its freshman class. The freshman class size proposed by UH-Clear Lake for the first three years following its downward expansion represent roughly two-thirds of the estimated 550+ high school graduates that will be ready to join the first cohort of entering freshman class at UH-Clear Lake.

UH-Clear Lake's plan for downward expansion is guided by an extensive market study conducted by Noel-Levitz, the demographic projections for its service area, and an analysis of admission standards of its main competitors, including University of Texas-San Antonio, Sam Houston State University, Texas State University-San Marcos and Stephen F. Austin University. Specifically, the plan targets 2nd and 3rd quartile high school seniors with SAT scores in the range of 850 to 990 in order to develop a sustainable market position. A large proportion of students in this group belong to the growing Hispanic community in the underserved Houston-Galveston metropolitan region. As the University of Houston plans to adopt more selective standards in its pursuit of becoming a Research I university, UH-Clear Lake's marketing strategy will benefit both University of Houston and UH-Clear Lake because students of different academic abilities will be provided with a full scope of educational opportunities within the University of Houston system. UH-Clear Lake will serve as an alternative for those students who will no longer qualify under the new University of Houston admission standards.

Benefits to the UH System and University of Houston

UH-Clear Lake's downward expansion will assist the University of Houston System with its goals of access and success. With UH-Clear Lake offering four-year undergraduate programs, the University of Houston System will have an alternate institution to recruit and retain local area high school seniors as they pursue their college education. Recruiting and retaining more students in the University of Houston System institutions at the bachelor's level will also increase the opportunities to effectively recruit students to the University of Houston and UH-Clear Lake's graduate programs. As the two sister institutions increase their graduate program collaborations, UH-Clear Lake can provide a qualified pipeline of graduate students to University of Houston. Historically, a large number of UH-Clear Lake graduates go on to attend the University of Houston. In 2007 alone, 114 of UH-Clear Lake graduates enrolled for various programs at the University of Houston. As such, the increasing market share of non-University of Houston System universities translates into lost opportunities for both UH-Clear Lake and University of Houston.

UHCL Projected Revenue and Expenses for Expanding to 4-Year Comprehensive University

Assumptions

Anticipate start in FY 2012 to recruit and prepare for First Freshmen Class in Fall 2012 (FY 2013)
350 freshmen in Year 1; 75% retention; 3% increase Yr 2; 5% in Yr 3; 7% in Yr 4; 10% in Yr 5
Primarily daytime cohorts for first three years
Each student generates 30 SCH per year (12 fall, 12 spring, 6 summer)
1 Tenure Track faculty member teaches 8 courses per year (3 fall, 3 spring, 2 summer); 1 lecturer teaches 10 (4, 4, 2)
40% of sections offered are taught by TT faculty, 30% by Lecturers, 30% by adjuncts (to meet 70/30)
Formula rates are FY 2009 rates throughout
Salary projections are based on current rates, and do not reflect annual raises

Enrollment	**Year 0** FY 2012	**Year 1** FY 2013	**Year 2** FY 2014	**Year 3** FY 2015	**Year 4** FY 2016	**Year 5** FY 2017
Projected Head count	-	350	700	780	860	1,000
Projected SCH	-	10,500	21,000	23,400	25,800	30,000
Revenue						
Formula Tuition	-	$0	$469,067	$469,067	$1,338,761	$1,338,761
Statutory plus Designated Tuition	-	$1,554,000	$3,108,000	$3,463,200	$3,818,400	$4,440,000
Differential Designated Tuition	-	$12,000	$24,254	$26,290	$31,018	$36,432
Extended Access & Support Fee	-	$50,400	$100,800	$112,320	$123,840	$144,000
Computer Use Fee	-	$147,000	$294,000	$327,600	$361,200	$420,000
Library Use Fee	-	$54,600	$109,200	$121,680	$134,160	$156,000
Student Service Fee	-	$182,700	$365,400	$407,160	$448,920	$522,000
Freshmen Orientation Fee	-	$35,000	$36,050	$37,853	$40,502	$44,552
Totals	$0	$2,035,700	$4,506,772	$4,965,170	$6,296,801	$7,101,745
Expenditures						
Full-time Faculty		$656,333	$1,147,667	$1,527,778	$1,527,778	$1,731,889
Adjunct Faculty		$115,250	$198,250	$121,250	$181,250	$231,000
Teaching Assistants		$91,800	$125,650	$142,575	$159,500	$176,425
HSH Staff	$32,000	$64,000	$104,000	$134,000	$134,000	$134,000
SCE Staff	$44,500	$89,000	$168,000	$168,000	$168,000	$168,000
Enrollment Management	$381,400	$524,800	$733,600	$837,600	$837,600	$837,600
Information Resources	$76,500	$308,100	$599,500	$498,000	$500,500	$503,000
Student Services	$172,500	$690,000	$931,700	$1,141,900	$1,153,100	$1,169,100
Administration & Finance	$156,311	$238,742	$550,628	$422,628	$422,628	$422,628
Fringe Benefits	$143,681	$415,879	$673,149	$790,257	$790,257	$806,586
Totals	$1,006,891	$3,193,905	$5,232,143	$5,783,988	$5,874,613	$6,180,228
Surplus/(Shortage)	$ (1,006,891)	$ (1,158,205)	$ (725,371)	$ (818,818)	$ 422,188	$ 921,517

A&SS 6.3 - 1

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Academic and Student Success

ITEM: UH-Victoria/Victoria College Affiliation and Partnership Agreement

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

Approval of UH-Victoria/Victoria College Affiliation and Partnership Agreement

FISCAL NOTE

SUPPORTING DOCUMENTATION: UH-Victoria/Victoria College Affiliation Agreement

ACTION REQUESTED: Approval

COMPONENT: UH-Victoria

PRESIDENT Jim Hudson **TIM HUDSON** **DATE** 12/11/08

CHANCELLOR Gerald W. Stuttan **RENU KHATOR** **DATE** 12/12/08

Affiliation and Partnership Agreement
Between
Victoria College
And
University of Houston-Victoria

THIS AFFILIATION AND PARTNERSHIP AGREEMENT ("Agreement") is entered into and is effective as of the ___ day of _____ 200__ ("The Effective Date"), by and between the University of Houston-Victoria ("UHV"), which is a state-supported institution of higher education established pursuant to section 111.01 et seq. of the Texas Education Code, and Victoria College ("VC"), which is a Texas public junior college established pursuant to Chapter 130 of the Texas Education Code. UHV and VC shall be known collectively as "the Parties".

WHEREAS, this Agreement will address mutual considerations necessary to facilitate the proposed expansion of University of Houston-Victoria (UHV) into a four year university whereby UHV will offer lower division courses ("downward expansion") without adversely affecting Victoria College (VC); and

WHEREAS, the Parties understand that legislative action is a necessary prerequisite to finalizing downward expansion for UHV; and

WHEREAS, the intent is to establish an agreement for an ongoing partnership that maximizes educational opportunity for all students;

NOW, THEREFORE, the Parties agree as follows:

Article I
General Conditions, Objectives, and Roles

A. Both institutions:

1. The Joint Steering Committee will be designed and jointly appointed by UHV and VC.

2. VC and UHV agree to collaborate in developing joint degree programs in high demand niche fields.

3. VC and UHV agree to collaborate with each other and with other educational agencies to increase the overall level of educational participation throughout the region.

4. VC and UHV agree to collaboratively perform recruitment and marketing efforts within the VC service area as described by Texas Education Code § 130.208 ("VC service area") and will emphasize a 2+2 enrollment model as a preferred educational option.

5. VC agrees that UHV may recruit student athletes from within the VC service area.

B. University of Houston-Victoria:

UHV desires to increase its scope of programs and course offerings through downward expansion into lower division course offerings. Therefore, upon legislative approval, UHV may offer lower division courses and programs that lead to bachelors and masters degrees or are otherwise consistent with its mission.

1. UHV agrees not to offer the following programs or courses within the VC service area, with the understanding that if such programs or courses are needed, Victoria College will offer them:

   a. Developmental education;
   b. Dual credit courses for high schools in the VC service area;
   c. Programs leading to licensures or certifications that require less than a bachelor's.

2. UHV agrees not to offer non-credit courses that have the potential to compete with VC offerings except as recommended by the Joint Steering Committee and approved by the CEOs of the institutions.

C. Victoria College:

VC desires to maintain and enhance its current programs and course offerings, and to add additional programs and offerings to meet the educational needs of the community. To this end, Victoria College will continue to offer all courses and programs that are consistent with its mission. VC also desires to support UHV in its efforts.

1. VC agrees to enter into specific arrangements with UHV to provide additional courses and programs as needed to assist UHV in meeting its expanded mission.

2. VC agrees not to enter into agreements with other universities that establish a physical presence for those universities on the VC main campus, except as recommended by the Joint Steering Committee and approved by the CEOs of the institutions.

Article II
UHV/VC Partnership Goals

A. Impact Statement

Downward expansion at UHV must be accomplished in such a way as to avoid a material adverse effect on Victoria College. The intention is that Victoria College should not undergo a reduction of enrollment as a result of students from within the VC service area being recruited to UHV.

B. Enrollment Sharing

1. The Parties anticipate that the financial impact of downward expansion will be positive for UHV and VC and both institutions agree to monitor enrollment patterns accordingly.

2. Each semester, UHV will track and report to VC the students with a permanent residence within the VC service area who are enrolled in lower division courses at UHV. The exception will be student athletes who are within VC's service region. These student athletes will be excluded from these calculations. UHV will report to VC the courses in which these students are enrolled as of UHV's official recording date.

3. Each semester, VC will track and report to UHV the students with a permanent residence out of the VC service area who are enrolled in VC credit courses, and who are also co-enrolled at UHV. The exception will be student athletes recruited by UHV from out of VC's service area. These student athletes will be excluded from these calculations. VC will report to UHV the courses in which these students are enrolled as of VC's official recording date.

4. Should the Parties agree that an adverse impact on enrollment has occurred due to students tracked as described in paragraphs 2 and 3 above, UHV will agree to cover the cost for these additional students as related to the increased use of VC facilities. This cost shall not exceed $250,000 annually and will be determined jointly by the Parties as defined in Appendix A, which becomes a part of this agreement.

5. UHV agrees to develop a scholarship program for dually enrolled students.

Article III
Other Agreements Between UHV and VC

A. Existing Agreements, Memoranda of Understanding, and Operating Policies

VC and UHV have existing agreements, memoranda of understanding and/or operating policies which the Parties intend to maintain in the following areas:

Library
Bookstore
Student Center
Sports Center
Auditorium and other similar venues
Parking

B. Future Agreements

The Parties agree to work collaboratively to develop separate arrangements or agreements as conditions warrant in the following areas:

Integrated degree plans
VC and UHV should work collaboratively to develop seamless, integrated degree plans that encourage students to follow a cost-effective path of completing lower division coursework at VC and upper division coursework at UHV.

Student Services
VC and UHV will identify areas where UHV students or co-enrolled students may impact and/or benefit from VC student services, tutoring, or other services. A separate agreement will be necessary to address these issues.

General Purpose Classrooms
UHV has, in the past, been generous in providing classroom space to VC upon request. VC should reciprocate in a similar manner, assuming that UHV's use of classrooms does not interfere with scheduling of VC courses, or require significant additional maintenance, custodial, or utility costs.

Science labs, studios, and other specialized areas
Because of the specialized and course-specific nature of most lab and studio facilities, there is not a general expectation for shared use of these areas. Specific agreements will be required to share such facilities.

Faculty Sharing
There is no expectation of dual appointments, co-hiring, or other faculty sharing arrangements. Either institution may contract with the other to provide instruction or may hire faculty as adjuncts.

Security
Each institution will continue to provide its own security or police officers. However, each institution will be allowed to patrol any part of the combined campuses. In addition, both security departments will cooperate fully when dealing with emergency crisis response or investigations.

Housing
In order to maximize the benefit of having a local university culture, UHV housing opportunities should be extended to VC students.

Article IV
Term and Termination

A. The term of this Agreement shall begin on the first class day of the first academic semester in which lower division students are enrolled at UHV and shall continue for a period of (4) four years from such day unless sooner terminated in accordance with applicable provisions of this Agreement.

B. Automatic Termination by Conduct. If UHV initially offers lower division courses, but subsequently decides that it will no longer offer such lower division courses, this Agreement shall automatically terminate. Such termination will be effective on the first class day of the semester in which UHV no longer offers lower division courses. Additionally, if UHV does not offer lower division courses within three (3) years from the date of execution of this Agreement, this Agreement shall automatically terminate on such date.

C. Both parties agree that legislative authorization of downward expansion by UHV is a necessary prerequisite to this agreement and that if such authorization is not provided during the 81st legislative session of the state of Texas, then this agreement shall not take effect.

Article V
General Provisions

A. The Parties agree that this Agreement will be construed by the laws of the State of Texas, with venue in Victoria County, Texas.

B. The terms and conditions of this Agreement may be modified upon mutual written consent of the Parties at any time.

C. This Agreement and all terms and conditions contained herein shall become effective as of the date noted as the Effective Date that first appears in paragraph one of this document.

D. Neither Party may assign any rights or obligations under this Agreement without the prior written consent of the other Party.

E. Each individual executing this Agreement on behalf of any Party expressly represents and warrants that he/she has authority to do so, as authorized by voice vote of the governing board of his/her respective institution, and thereby to bind the Party on behalf of which/whom he/she signs, to the terms of this Agreement.

F. If any part of the Agreement should be determined to be invalid, illegal, inoperative, or contrary to applicable law, statute regulation, or the Parties policies, that part of the Agreement shall be reformed, if reasonably possible, to comply with the applicable policies, provision of law, statute, or regulation, and, in any event, the remaining parts of the Agreement shall be fully effective and operative insofar as reasonably possible.

G. Neither Party shall be liable nor deemed to be in default for any delay or failure in performance under the Agreement or other interruption of service deemed resulting, directly or indirectly, from acts of God, acts of public enemy, war, accidents, fires, explosions, hurricanes, floods, failure of transportation, strikes, or other work interruptions by either Party's employees, or any similar cause beyond the reasonable control of either Party.

H. This Agreement is entered into by and between the Parties hereto and for their benefit. Unless explicitly provided in this Agreement, there is no intent by either Party to create or establish third Party beneficiary status or rights in any third party, and no such third party shall have any right to enforce any right or enjoy any benefit created or established under this Agreement.

I. Unless expressly provided herein, the Parties do not assume or become liable for any of the existing or future obligations, liabilities, or debt of the other.

J. This is the entire Agreement between the Parties and supersedes all prior agreements, proposals, or understanding, whether written or oral.

_____
Tim Hudson
President
University of Houston-Victoria

_____
Date

_____
Thomas Butler
President
The Victoria College

_____
Date

Approved as to form by:

_____
Dona H. Cornell

Appendix A

Purpose
This appendix defines the mechanism for determination of a material adverse effect on Victoria College and the method of calculation of compensation, should such an effect occur, as referenced in Article II of the Affiliation and Partnership Agreement Between the Victoria College and University of Houston-Victoria, and becomes a part of said agreement.

Definitions

Enrollment – a student will be considered enrolled in a course if they are listed on the official class roster for that course on the state-designated official reporting date for that course. A student will be considered co-enrolled for purposes of this agreement if the student appears on one or more official class rosters of both VC and UHV during the same academic term.

Student Athlete – a student enrolled at UHV who has been designated as eligible for intercollegiate athletic competition on a UHV team by the NAIA

Course Credit hours– the number of academic credits awarded by an institution for a given course, as otherwise defined in that institution's official course catalog.

Course Contact hours– the number of clock hours per semester designated for a given course, as specified by the institution in accordance to coordinating board rules for state reimbursement purposes, or if not so specified by the institution, then as would be specified according to coordinating board rules if such rules were applied.

Determination of Adverse Effect on VC due to UHV Downward Expansion

1.) Each semester, UHV will track and report to VC the students with a permanent residence within the VC service area who are enrolled in lower division courses at UHV. The exception will be student athletes who are within VC's service region. These student athletes will be excluded from these calculations. UHV will report to VC the courses in which these students are enrolled as of UHV's official recording date.

2.) Each semester, VC will track and report to UHV the students with a permanent residence out of the VC service area who are enrolled in VC credit courses, and who are also co-enrolled at UHV. The exception will be student athletes recruited by UHV from out of VC's service area. These student athletes will be excluded from these calculations. VC will report to UHV the courses in which these students are enrolled as of VC's official recording date.
3.) Each semester, following the definitions above, the institutions will calculate the total credit hours and contact hours of in-area enrollments (see 1. above) and out of area

enrollments (see 2. above). The institutions, by mutual agreement, may exclude particular courses from this calculation and the compensation below.

4.) At the end of each academic year the institutions will determine the annual totals for items 1 and 2. If, for either credit hours or contact hours, the annual total calculated for Item 1 is greater than the annual total calculated for Item 2, then it will be determined that an adverse effect on VC has occurred.

5.) Each institution reserves the right to audit the pertinent records of the other institution, including reviewing academic hours and other personally identifiable information, in an effort to insure that this contract has been met, at any time upon ten days written notice and request.

Compensation in the event of an adverse effect

If an adverse effect has occurred, the institutions will determine the monetary value of the adverse effect as follows:

1.) Compensation to VC will be calculated as follows:

(Net reduction of credit hours x Tuition and fee rate published in the VC catalog for in-district students) + (net reduction-of contact hours x average State reimbursement rate per contact hour)

2.) VC will use the following formula to determine the average state reimbursement rate per contact hour for the academic year(s) in which an adverse effect occurs:

(Total state reimbursement revenue for academic credit courses for the most recent period in which such reimbursement has been made) divided by (total contact hours for academic credit courses upon which such reimbursement was based)

3.) Compensation will be calculated and settled at the end of each academic year. There will be no carryover of gain or loss to subsequent academic years. Compensation will not exceed a total of $250,000 for any single academic year. In no case will VC compensate UHV for any effects under this agreement.

4.) Compensation, if any, will begin with the first semester of the first full academic year for which UHV enrolls students in lower division courses, and will continue for four full academic years.

Tim Hudson *Date*	*Thomas Butler* *Date*
President, University of Houston-Victoria	President, Victoria College

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Academic and Student Success

ITEM: Update on the UH Reserve Officers' Training Corps

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

The Board of Regents will receive a report on the status and accomplishments of the University of Houston ROTC program.

FISCAL NOTE:

SUPPORTING DOCUMENTATION: Presentation outline: UH ROTC

ACTION REQUESTED: Information

COMPONENT: University of Houston

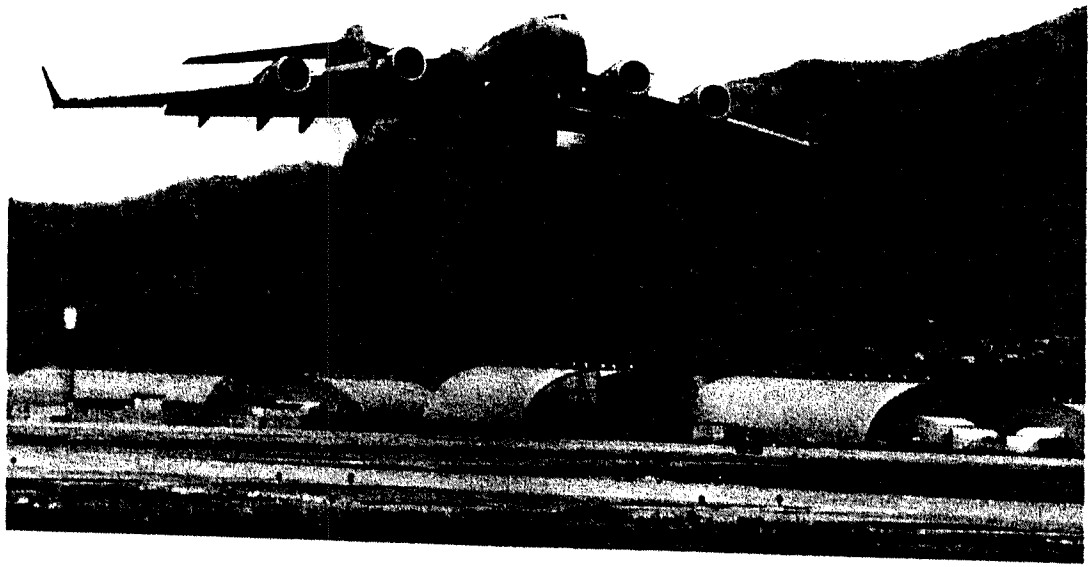
Renu Khator
PRESIDENT Renu Khator **DATE** 11/25/08

Cynthia W. Shelton
INTERIM SENIOR VICE CHANCELLOR Jerry Strickland **DATE** 11/24/08

Renu Khator
CHANCELLOR Renu Khator **DATE** 11/25/08

ROTC Takes Off in Houston!

A&SS 8.1 - 1



16 Dec 08

ROTC at UH

Develop America's Airmen Today ... for Tomorrow

- Tremendous support by administration, faculty, and students
- Rapid growth in Air Force & Army ROTC programs
- Feeding future students to UH via 98 Junior ROTC programs and outreach to 16 area universities and colleges
- Innovations supporting top tier status:
  - Houston Corps of Cadets
  - UH-DoD Research Conferences
  - Leadership Seminars
  - Extensive community service
  - Undergraduate research

A&SS 8.1 - 2

UH Air Force ROTC

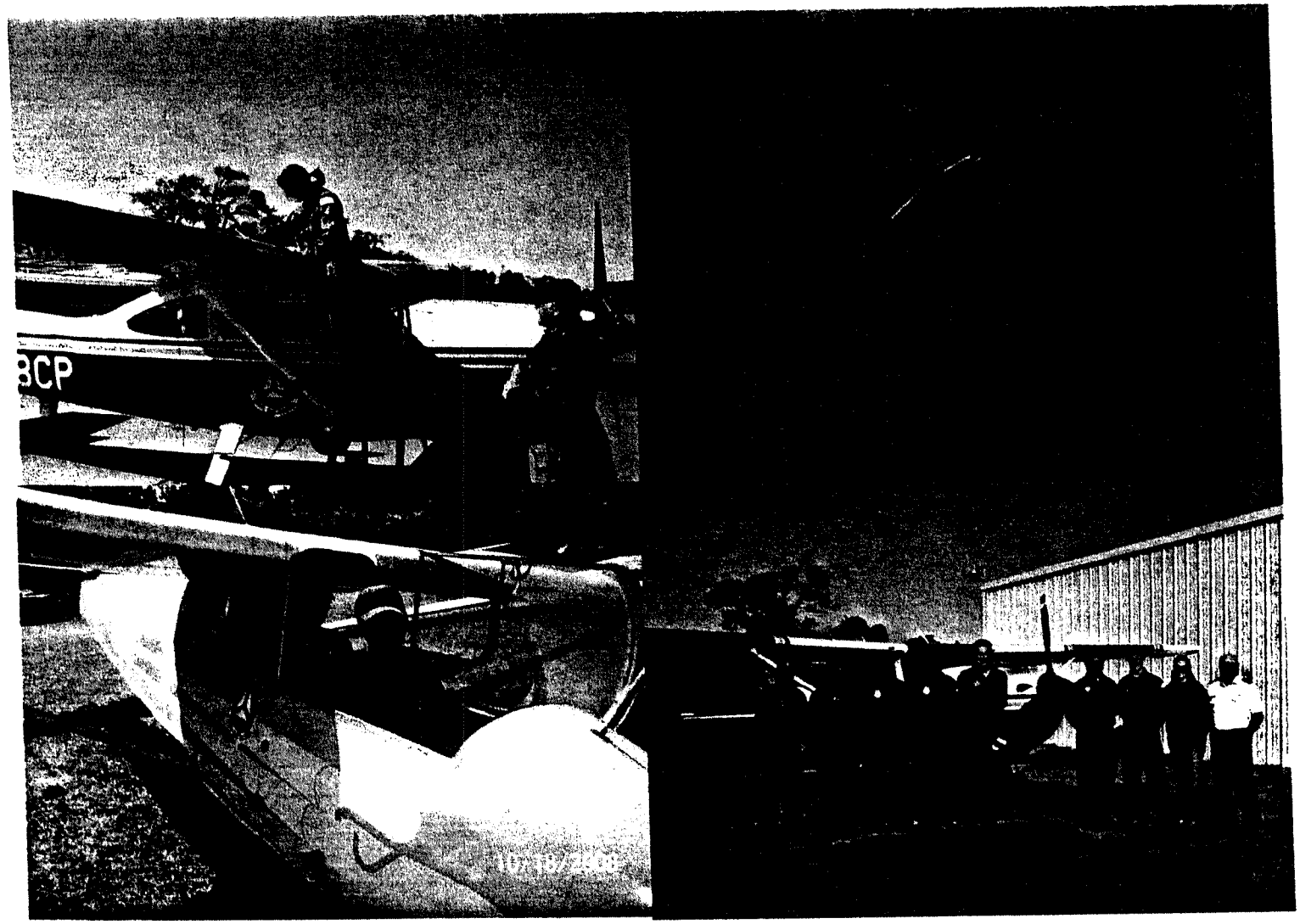
Develop America's Airmen Today ... for Tomorrow

- Established in the Fall of 2003; commissioned 14 officers
  - Eleven scheduled for 2009
- The fastest growing detachment in the nation from 2005-2007!
- Selected as the best small detachment in the Southwest Region of Air Force ROTC for 2007
- The most active flying program in AFROTC in 2008
- The only soaring program in AFROTC
- Implemented numerous teaching and training enhancements

A&SS 8.1 - 3

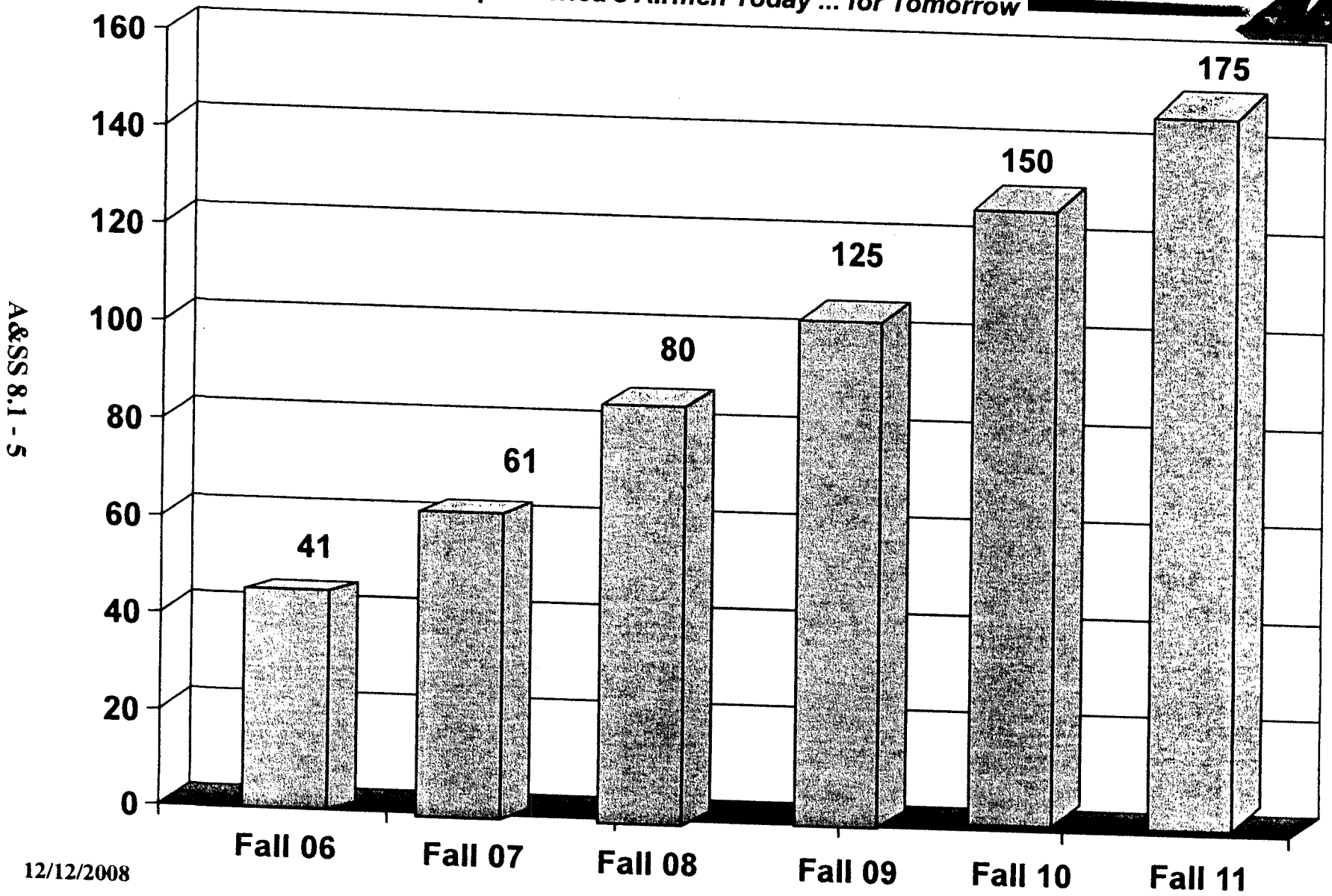
Flying Program

Develop America's Airmen Today ... for Tomorrow



UH AFROTC Growth

Develop America's Airmen Today ... for Tomorrow



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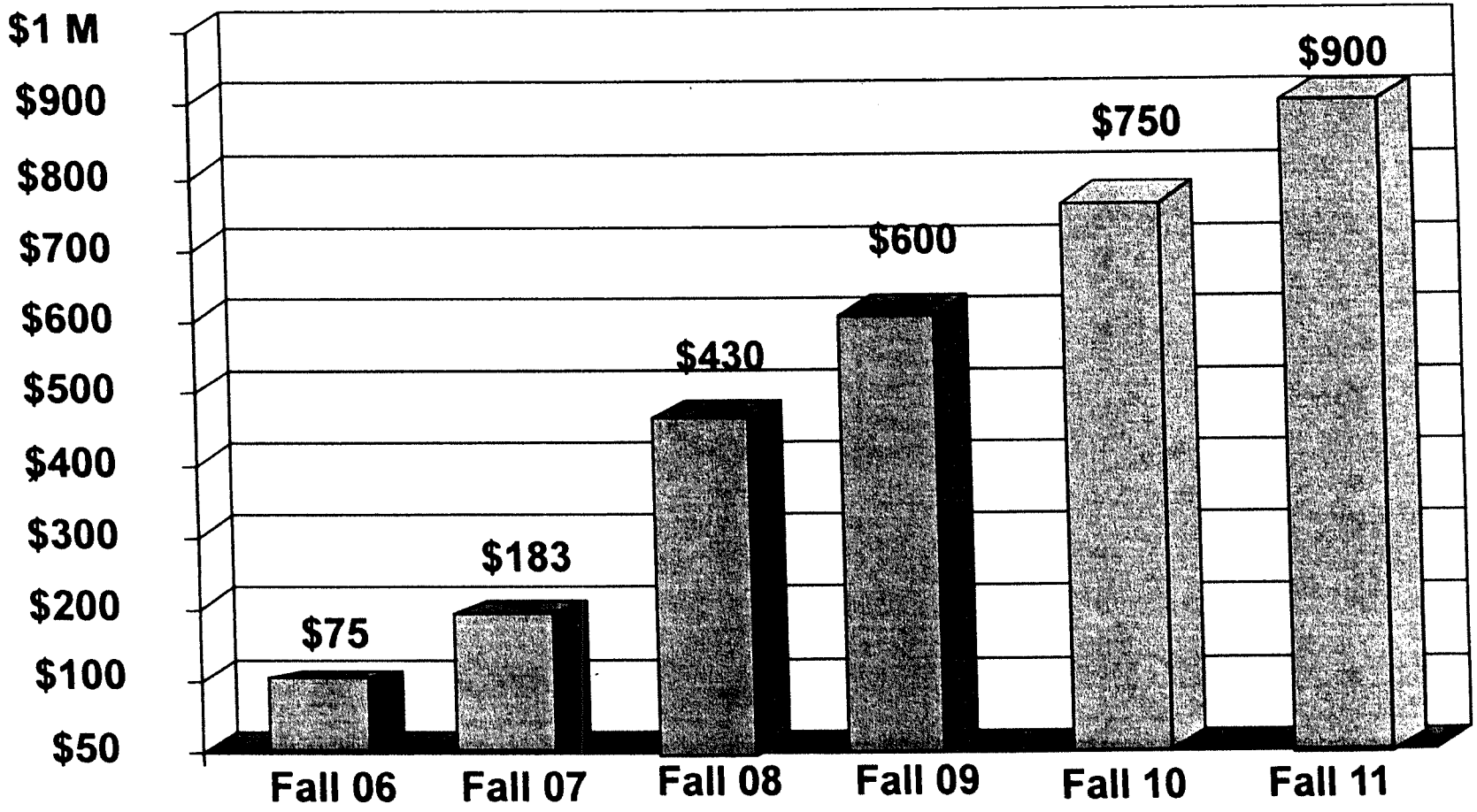
12/12/2008

UH AFROTC Scholarships

Develop America's Airmen Today ... for Tomorrow

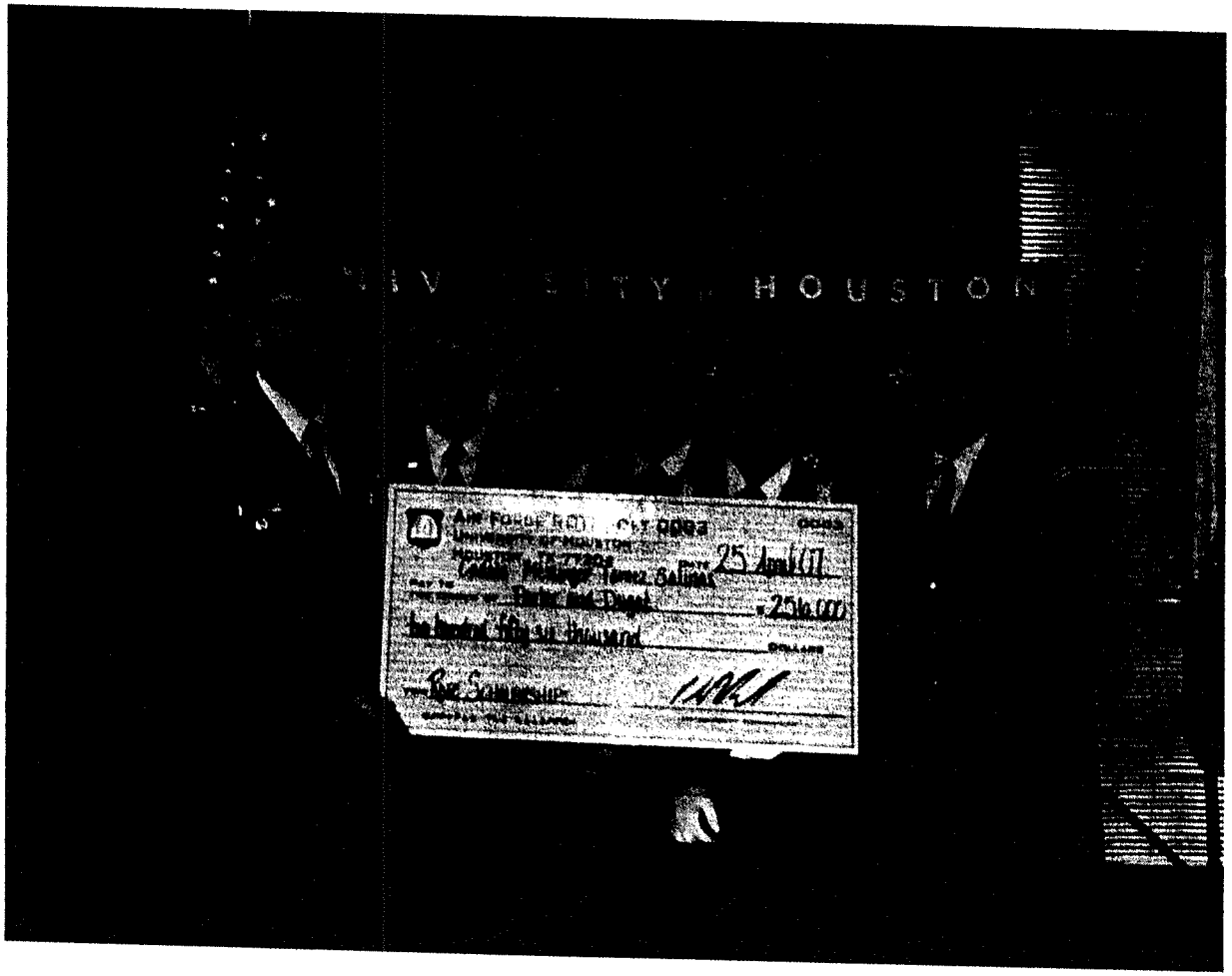


A&SS 8.1 - 6

Economic Impact = Tuition + Stipend + Textbook Funds

Scholarships!

Develop America's Airmen Today ... for Tomorrow



A&SS 8.1 - 7

12/12/2008

ROTC in Houston

Develop America's Airmen Today ... for Tomorrow

	University	Total Students Fall 2008	Projected Students 2018	Air Force *(Est. 2003)*	Army *(Est. 1948)*	Navy *(Est. 1941)*
1.	University of Houston	36,098	45,000	X	X	X
2.	Rice	5,243	6,000	X	X	X
3.	Texas Southern University	11,635	12,800	X	X	X
4.	St. Thomas	3,700	5,500	X	X	
5.	Houston Community College	55,000	60,500	X	X	
6.	UH Downtown	12,283	17,282	X	X	
7.	UT Health & Science Center	600	660	X	X	
8.	UH Clear Lake	7,639	9,000	X	X	
9.	Embry-Riddle Aeronautical	200	220	X		
10.	Houston Baptist University	2,294	4,500	X	X	X
11.	San Jacinto College	26,000	28,600	X	X	
12.	Lone Star College System	50,873	85,000	X	X	
13.	Alvin Community College	4,396	4,800	X	X	
14.	College of the Mainland	3,992	4,392	X		
15.	South Texas College of Law	1,262	1,388	X		
16.	Prairie View A&M, Houston	1,000	1,100	IC	X	X
17.	Texas Woman's University	1,300	1,430	IC	X	
	TOTALS	**223,515**	**287,175**	**80**	**111**	**120**

Top Tier Status

Develop America's Airmen Today ... for Tomorrow

- The Houston Corps of Cadets will accelerate UH's attainment of top tier status by:
  - Facilitating research with the Department of Defense
  - Providing world-class leadership education and training
  - Increasing enrollment through the mentoring of 96 Junior ROTC units in Houston area high schools
  - Providing community service opportunities
    - Contributes to the Carnegie Community Engagement initiative
  - Supporting the Houston Corps of Cadets endowment fund

A&SS 8.1 - 9

Houston Corps of Cadets

Develop America's Airmen Today ... for Tomorrow

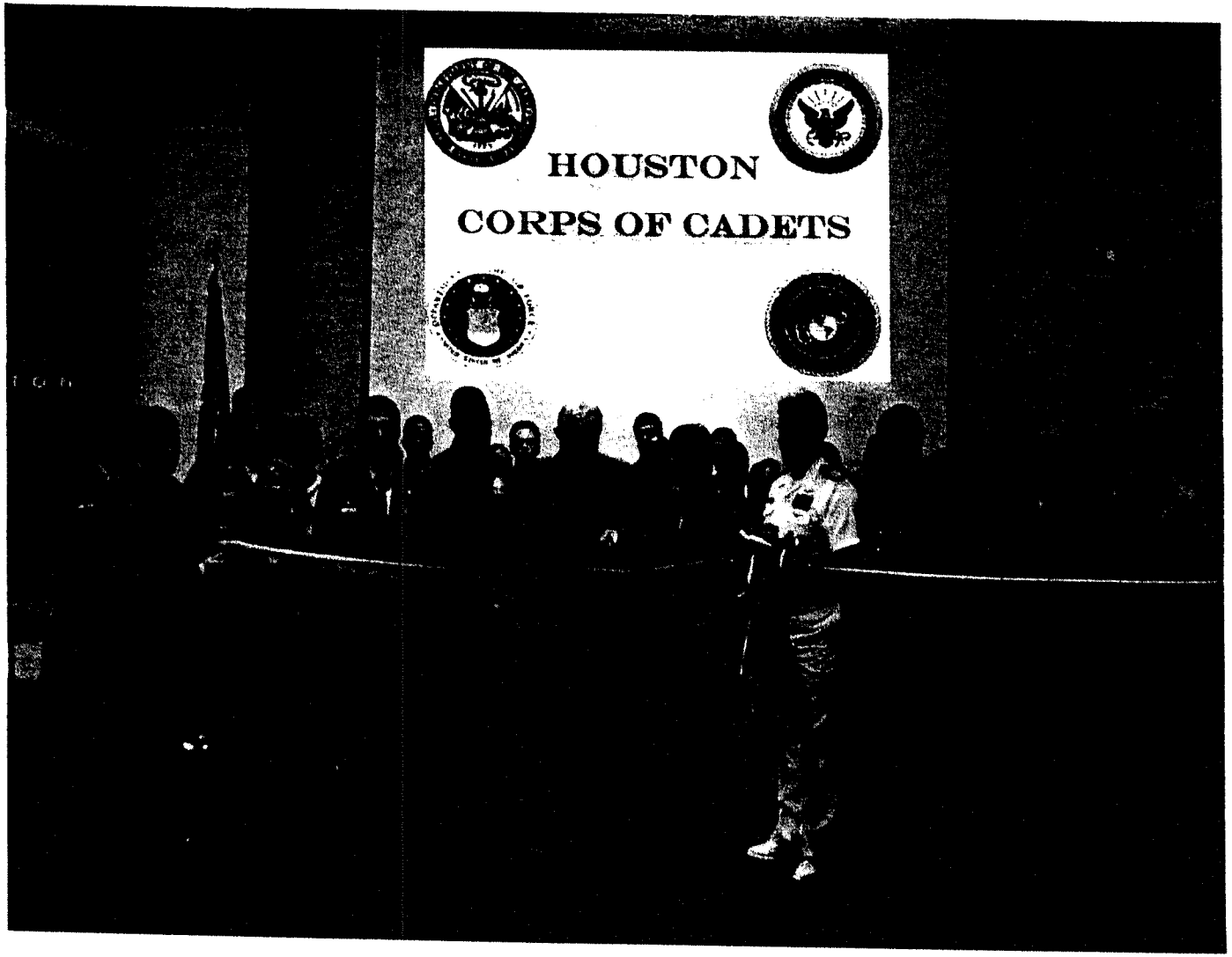
- The official association of Air Force, Army, Navy, and Marine ROTC programs in Houston
  - AF & Army hosted by UH; Navy ROTC hosted by Rice
  - Direct contact with 96 Junior ROTC units
  - With 311 cadets, we are the second largest Corps in Texas
    - Within 10 years this Corps could be the largest in Texas
- Private scholarship endowment fund established by UH with a commitment of $200,000 from the Houston Chapter of the Military Officer's Association of America

A&SS 8.1 - 10

Houston Corps of Cadets

Develop America's Airmen Today ... for Tomorrow

18 September 2007



A&SS 8.1 - 11

12/12/2008

Houston Corps of Cadets vs. Texas A & M's Corps of Cadets

Develop America's Airmen Today ... for Tomorrow

	Houston	Texas A&M
Host City	Houston Population: 4,000,000+	College Station Population: 100,000
Available College Students	223,515	45,000
Universities with ROTC	17	1
ROTC Programs	AF, Army, Navy/Marine	AF, Army, Navy/Marine
Corps Size	80 AF, 111 Army, 120 Navy; Total: 311	1,783 (1,356 are ROTC cadets)
Leadership Training	Minor in AF Leadership or Military Leadership Collaborative Leadership Seminars	Certificate in Leadership
Diversity	133 Countries Most diverse urban research campus in the nation	Diverse

A&SS 8.1 - 12

UH-DoD Research Conferences

Develop America's Airmen Today ... for Tomorrow

- Purpose: To significantly increase DoD research opportunities for UH faculty, staff, and students
- Co-hosted by: The Houston Corps of Cadets and the UH Vice Chancellor of Research, Dr. Don Birx
- The only research conferences in the nation co-hosted by ROTC units
- Conferences held on 29 Mar 07, 1-2 Nov 07, 13 Nov 08
- Over 500 attended these conferences

A&SS 8.1 - 13

Collaborative Leadership Seminars

Develop America's Airmen Today ... for Tomorrow

- Concept: Offer to all UH students, faculty, staff, and the Houston community the opportunity to learn practical leadership techniques from military and civilian instructors
  - Evolving partnership between the Houston Corps of Cadets, the College of Liberal Arts and Social Sciences, C.T. Bauer College of Business, the College of Education, and the College of Technology
  - Created a free one day course for high school students
    - First two seminars held on 18 Apr and 26 Sep
    - Next two: 23 Jan and 13 Mar--all free to high schools!
  - Supports the Carnegie Community Engagement initiative

A&SS 8.1 - 14

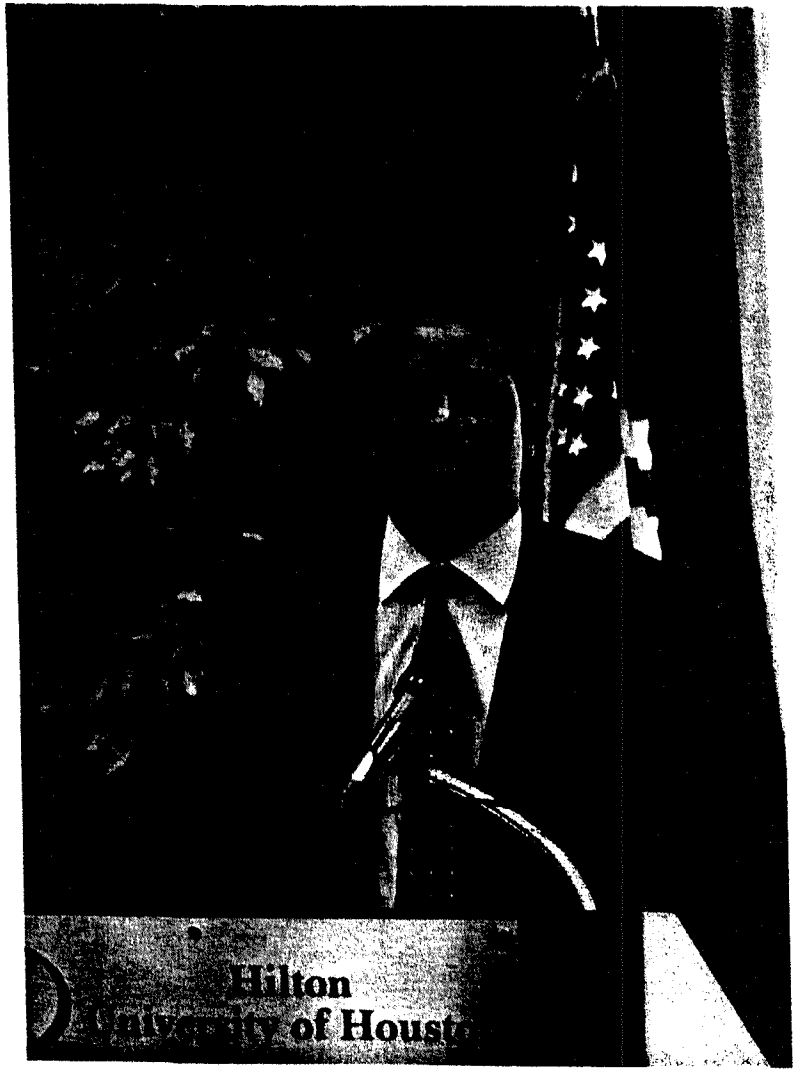
Leadership Seminars

Develop America's Airmen Today ... for Tomorrow

18 April 2008, Class Picture at UH Hilton

Leadership Seminars

Develop America's Airmen Today ... for Tomorrow



Coach Kevin Sumlin, 18 Apr 08

President Renu Khator, 26 Sep 08

A&SS 8.1 - 16

Cadet Community Service

Develop America's Airmen Today ... for Tomorrow

2007: 29 events & 734 hours; **2008**: 70 events & 1808 hours

- Michael E. DeBakey VA Medical Center
- DeGeorge at Union Station Homeless Veterans Shelter
- Annual University of Houston Blood Drives
- Cadets Assisting Students in Education (CASE) reading program at local elementary schools
- Mentoring Air Force Junior ROTC cadets
- Annual *Wings over Houston* Air Show at Ellington Field
- FEMA Points of Distribution (PODs) during Hurricane Ike

A&SS 8.1 - 17

Hurricane Ike FEMA PODS

Develop America's Airmen Today ... for Tomorrow

Research

Develop America's Airmen Today ... for Tomorrow

- **Undergraduate Publishing**
  - Book reviews accepted for publication in *Air & Space Power Journal*—the leading professional journal of the USAF
- **AS 300 "Leadership Studies" 3-credit hour class**
  - Conducted a leadership survey of UH students, staff, and faculty
- **National Security Wargame**
  - QEP submitted with the Departments of History, Political Science, and Air Force ROTC to develop an interagency wargame that emphasizes all instruments of national power
- **AS 400 "National Security Studies" 3-credit hour class**
  - Students assigned active duty officers as mentors and research their assigned career field and the latest developments in the Global War on Terror

Recommendations

Develop America's Airmen Today ... for Tomorrow

- Don't hesitate to ask the ROTC programs for help!
  - Community service--FEMA PODs, blood drives, & more
  - Department of Defense research opportunities
  - Outreach to various veterans groups
  - Leadership seminars & guest speakers
  - Color guards & sabre drill team for special events
  - Recruitment for the University of Houston
  - Information on the post-9/11 GI Bill
- Please assist us with publicity—our biggest challenge in Houston

A&SS 8.1 - 20

Final Thoughts

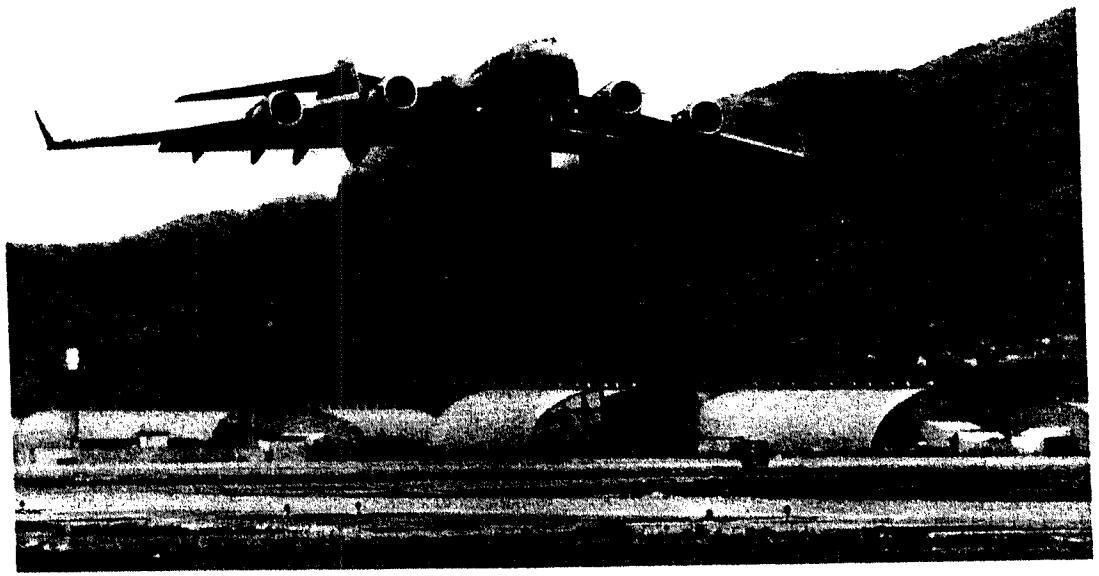
Develop America's Airmen Today ... for Tomorrow

During the longest war in American history that did not require a draft, our mission of producing second lieutenants and ensigns of character, commitment and courage is more important than ever.

Thanks for supporting ROTC!

ROTC Takes Off in Houston!

A&SS 8.1 - 22



16 Dec 08

BACK-UP SLIDES

(Reference only—not to be briefed unless requested)

Mission & Vision

Develop America's Airmen Today ... for Tomorrow

- Mission: Develop quality leaders for the Air Force
- Vision: A highly successful organization, respected throughout the Air Force, the educational community and the nation
- Key emphasis areas for Detachment 003:
  - Professionalism—cadets must personify the USAF's core values of "integrity first, service before self, and excellence in all we do"
  - Wartime Operations—cadets must be trained so they can effectively function in a combat zone within just twelve months of commissioning

A&SS 8.1 - 24

Teaching Enhancements

Develop America's Airmen Today ... for Tomorrow

- Greater emphasis on joint, multinational, interagency, and total force operations
- Increased use of guest speakers and panel discussions
  - Tuskegee Airman, Vietnam POW, astronauts, general officers
- Active duty mentors assigned to junior and senior cadets
- Increase in assigned readings, papers, and essay questions and emphasis on analyzing current events
- Established a partnership with the Houston World Affairs Council—sharing guest speakers
- Comprehensive in-service program for faculty

A&SS 8.1 - 25

12/12/2008

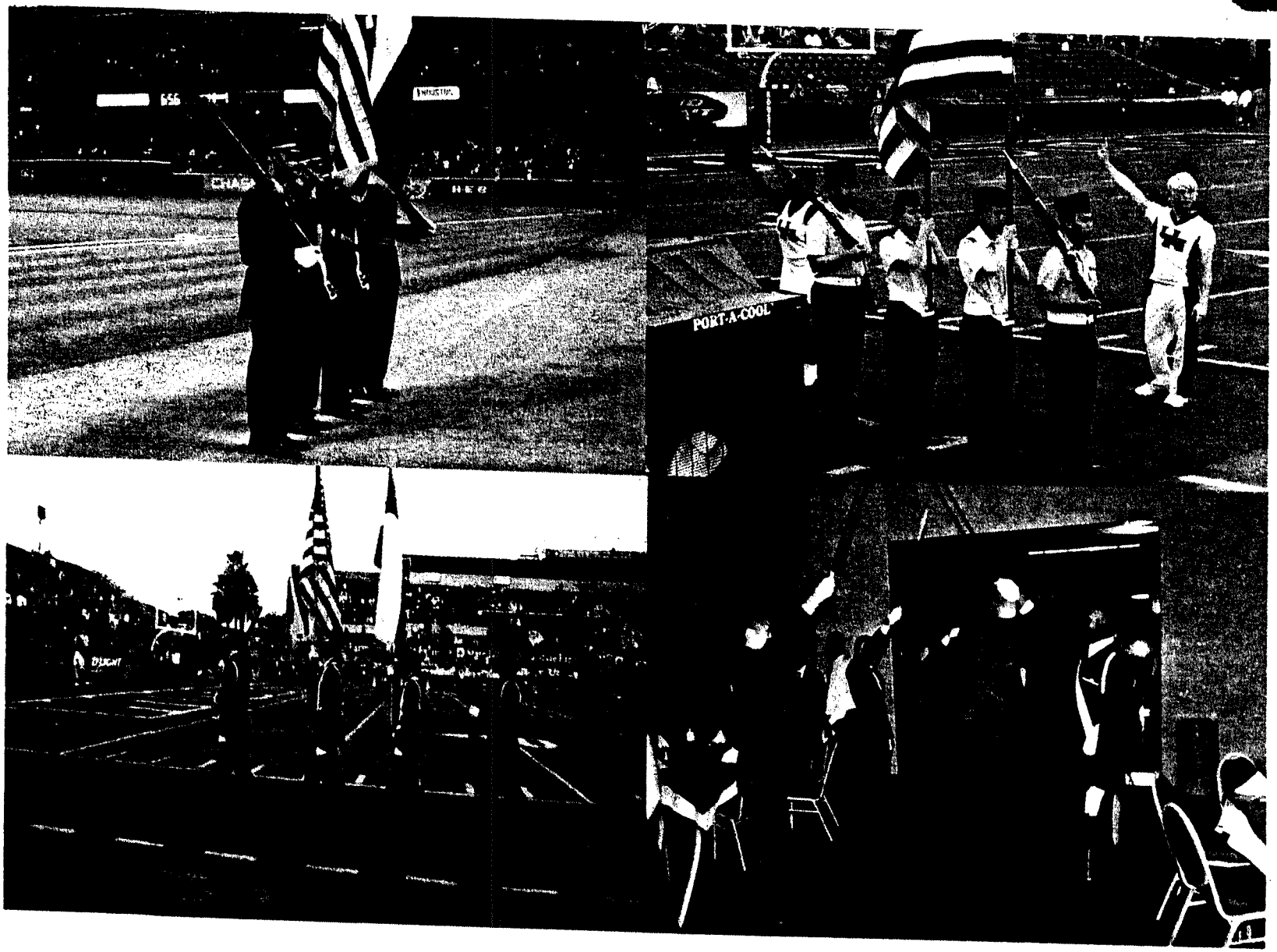
Guest Speaker Panels

Develop America's Airmen Today ... for Tomorrow

- Women in the Military
- NCOs on Leadership
- Combat Experiences
- Professional Organizations
- Interagency Operations (FBI & Coast Guard)
- International Students
- Joint Panel (Army, AF, Navy, Marines, Coast Guard)
- Second Lieutenant Experience
- Arab/Israeli Conflict
- Veterans Experience

Color Guard/Sabre Drill Team

Develop America's Airmen Today ... for Tomorrow



A&SS 8.1 - 27

Det 003 Flying Program

Develop America's Airmen Today ... for Tomorrow

- AFROTC/CAP partnership—flight orientation
  - Eight flights of one hour each per cadet
  - The most active program in the nation
  - Det 003 enhancements: USAF checklists, knee boards, upgraded headsets, flight suits, graduation certificate
- Ten lesson ground school course using FAA text
  - Optional, zero credit, free ten lesson course
  - Taught in detachment classroom; formal instruction and DVDs
  - Emphasis areas include safety and professionalism, the nuts and bolts of flying, UPT preparation; final exam on last lesson
- Flight simulator training at Texas Southern University
- Guest speakers—pilots, astronauts, & combat vets
- Field trips to NASA's Johnson Space Center

A&SS 8.1 - 28

Det 003 Flying Program

Develop America's Airmen Today ... for Tomorrow

- Summer internships at NASA's astronaut office
  - Two cadets for summer '08; four in '09
  - No other AFROTC units currently involved
- Soaring
  - Eight cadets began soaring for free in April 08
  - HQ ROTC has funded this for the 2008 – 2009 academic year
    - The only soaring program in Air Force ROTC!
- Daedalian flying scholarships
  - Fund formal flight instruction and ground school course
- Tours of local airports and FAA facilities
- US Coast Guard helicopter orientation flights
- Volunteer work at the Lone Star Flight Museum in Galveston and the *Wings over Houston* air show

A&SS 8.1 - 29

Houston Corps of Cadets

Develop America's Airmen Today ... for Tomorrow

- Key Tasks:
  - Teach cadets the importance of joint and interagency operations
  - Hosting guest speaker and panel discussions including the new Distinguished Leadership Speaker Series
  - Support the increasingly popular color guard program
  - Mentoring the 96 junior ROTC programs in the Houston area
  - Coordinating "Jog with the troops" 3 mile runs
  - Providing experts on defense related topics
  - Co-hosting annual UH-Department of Defense research conferences
  - Supporting the collaborative leadership seminars
  - Establishing an endowment fund for private ROTC scholarships

A&SS 8.1 - 30

Houston Corps of Cadets

Develop America's Airmen Today ... for Tomorrow

- Endowment to complement ROTC scholarships
  - Any Houston student who wants to become an officer in the world's greatest military should not be denied this opportunity because they cannot afford college, especially during wartime
  - Only 40% of cadets receive federal ROTC scholarships
- Texas A&M's Corps of Cadets awards $1,000,000 annually in scholarships in addition to federal ROTC scholarships
- Sources for scholarship funds:
  - UH managed Houston Corps of Cadets endowment fund
    - Military Officers Association of America--$200,000 commitment
    - Houston Chapter of the Air Force Association—Community Partners
  - University of St. Thomas—scholarship for ROTC cadets
    - The first Houston university to offer these scholarships
  - "Jog With the Troops to Support the Troops" 5K runs
  - Houston Military Affairs Committee—ROTC scholarships

A&SS 8.1-31

12/12/2008

New Commission

Develop America's Airmen Today ... for Tomorrow

- The *New Commission on the Skills of the American Workforce* recommended in their 2007 report major reforms in public and university education to bring U.S. education into the 21st Century
- Skills required in a global economy:
  - Creativity, innovation, and interdisciplinary combinations
  - Leadership, teamwork, and people skills
  - Effective problem solving and decision making
  - Computer and Information management
  - Global awareness and cultural sensitivity
- ROTC provides these and more—citizenship training, character education, professionalism, core values, and physical fitness

A&SS 8.1 - 32

Summary

Develop America's Airmen Today ... for Tomorrow

- Detachment 003 is the third newest Air Force ROTC unit, but already firmly established and growing rapidly
  - The first and only Air Force ROTC program in Houston
  - We've reached a tipping point—fastest growing det in Texas!
- Enhanced recruiting and marketing effort should increase our size—125 cadets by 2009, 150 by 2010, 200+ by 2014
- ROTC offers many benefits to students and universities
- We've received outstanding support from UH, Rice, TSU, other cross-town schools and the local community
- An idea factory--key innovations providing additional benefits— bi-annual UH-DoD Research Conferences, Collaborative Leadership Seminars, Houston Corps of Cadets teaching enhancements, research, and more!

A&SS 8.1 - 33

UH Corps of Cadets

Develop America's Airmen Today ... for Tomorrow

- Directly supports the UH System Strategic Principles and Initiatives, FY 2008

	Strategic Principle	Initiative
	1. Excellence	5,7
	2. Access	8
	3. Diversity	--
	7. Partnerships	26

A&SS 8.1 - 34

Concept & Emphasis Areas

Develop America's Airmen Today ... for Tomorrow

- Concept:
  - Offer to all UH students, faculty, staff, and the Houston community the opportunity to learn practical leadership from military and civilian instructors
  - A partnership between the Houston Corps of Cadets, CLASS, C.T. Bauer College of Business, the College of Technology, and the College of Education
- Emphasis areas:
  - Professionalism, ethics, and core values
  - The "nuts and bolts" of applied leadership
  - Servant (taking care of people) leadership
  - The "big tent" of leadership—for profits and non-profits

A&SS 8.1 - 35

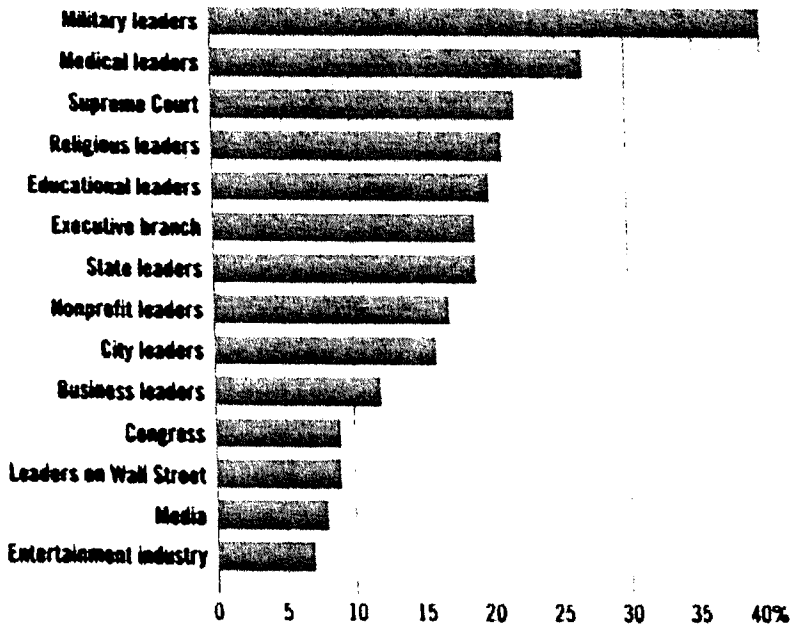
National Leadership Crisis

Develop America's Airmen Today ... for Tomorrow

A Grim Assessment

A majority of Americans believe the United States suffers from a leadership crisis. Nearly half think the country is on the wrong track; more than half think it's losing ground to other nations. Most find leaders worse now than in the past, although they have more faith in military leaders than those in any other sector.

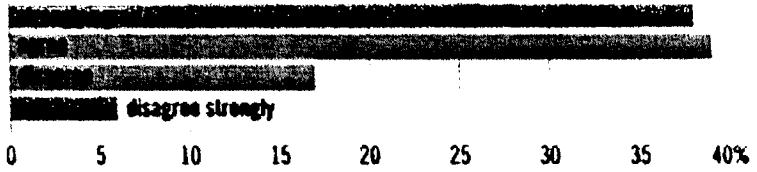
Percentage of people who have a "great deal" of confidence in...



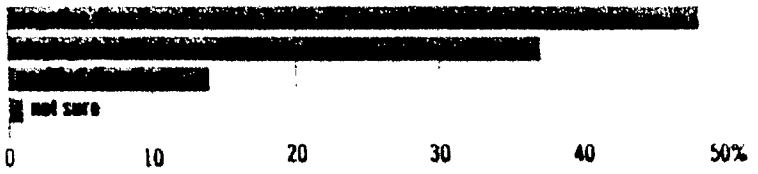
Source: Yankelovich Inc

Note: Interviews with 1,207 adult Americans took place on September 4-17, 2007. The sampling error is plus or minus 2.8%.

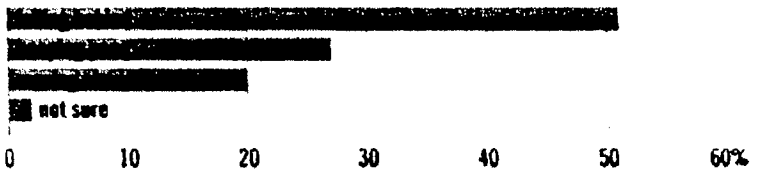
"We have a leadership crisis in the country today."



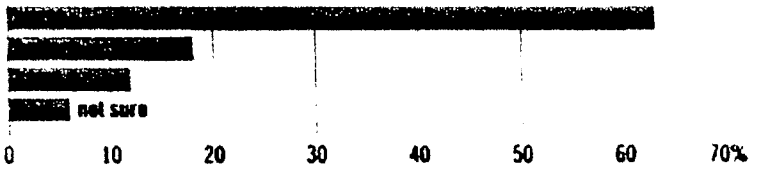
In general, do you think that the country is moving in a positive direction, a negative direction, or staying about the same?



Do you think the United States is moving ahead of other nations, keeping pace with other nations, or falling behind?



Compared with 20 years ago, do you think we have better leaders today or worse leaders today?



Source: U.S. News & World Report; 19 Nov 07

Seminar Format

Develop America's Airmen Today ... for Tomorrow

- Conducted either in the MD Anderson Library, UH Hilton, classrooms, or conference rooms
- For 75-125 participants and held from 8:00 AM until 5:00 PM
- Combination of briefings, case studies, and guest speakers
- Seminar booklet for note taking along with article handouts
- Luncheon guest speaker
  - UH president, provost, dean, vice chancellor, or athletic coach
  - Military member, NASA, local business leader, school district superintendent, etc.
- Graduation certificate presented at completion of course
- Recruiting tables for UH, individual UH colleges, and ROTC

A&SS 8.1 - 37

One-Day Seminar

Develop America's Airmen Today ... for Tomorrow

- Leadership definitions and fundamentals
- Ethics, core values, and professionalism
- Characteristics of an effective leader
- Teamwork & followership
  - Case study #1— *NASA teambuilding scenario*
- Luncheon and guest speaker
- Planning and implementation
  - Case study #2— *Planning the high school prom*
- Taking care of people
- Lifetime leadership learning
- Closing comments & graduation certificates presented

A&SS 8.1 - 38

CLS's Benefits

Develop America's Airmen Today ... for Tomorrow

- Meets an urgent national need for leadership education
- Will accelerate the university's attainment of flagship status
  - Directly supports Carnegie Community Engagement
- Supports SACS' Quality Enhancement Plan (QEP) and motto of "Learning...Leading"
- Direct evidence to Texas legislature, parents, and taxpayers that UH is doing its best to increase student success
- Enhances faculty and staff teamwork, interdisciplinary research, and professional development

A&SS 8.1 - 39

CLS's Benefits

Develop America's Airmen Today ... for Tomorrow

- Offers outstanding publicity to the university and ROTC
- Contributes to mitigating the increasing stovepiping between the U.S. military and civilian society
- Potential source of additional revenue for UH
- A tremendous recruiting tool for UH and ROTC
- Supports education reform as advocated in the *New Commission on the Skills of the American Workforce* and other studies

A&SS 8.1 - 40

UH Strategic Plan

Develop America's Airmen Today ... for Tomorrow

- The CLS supports the UH System Strategic Principles and Initiatives, FY 2008

	Strategic Principle	Initiative
	1. Excellence	3, 4, 5, 6
	4. Research	14
	5. Partnerships	15, 16, 17
	6. Faculty & Staff	19, 20

A&SS 8.1 - 41

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Audit & Compliance

ITEM: Review and Approval of Audit Report and Financial Statements, University of Houston Charter School, FY 2008

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

Approval is requested for the Audit Report and Financial Statements of the University of Houston Charter School for Fiscal Year 2008. Certification of the audit and financial information by the Board is required by the Texas Education Code, Title 2, Chapter 44, Section 44.008(d).

FISCAL NOTE:

SUPPORTING DOCUMENTATION: Audit Report and Financial Statements of the UH Charter School for FY 2008 and Texas Education Agency required Certification Form (under separate cover)

ACTION REQUESTED: Approval

COMPONENT: University of Houston

Don Guyton 11/18/08

DIRECTOR, INTERNAL AUDITING Don F. Guyton **DATE**

Renu Khator 11/25/08

CHANCELLOR Renu Khator **DATE**

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Audit & Compliance

ITEM: BOR Policy Revision – Code of Ethics

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

The purpose of the proposed revision to this policy is to require an annual conflict of interest certification by members of the board affirming their compliance with their official oath and specific provisions of Texas statutes related to ethical behavior.

FISCAL NOTE:

SUPPORTING DOCUMENTATION: Proposed Revision to BOR Policy 57.01, Code of Ethics

ACTION REQUESTED: Approval

COMPONENT: University of Houston System

Don Guyton — 11/18/08

DIRECTOR, INTERNAL AUDITING Don F. Guyton **DATE**

Renu Khator — 11/25/08

CHANCELLOR Renu Khator **DATE**

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Audit & Compliance

ITEM: BOR Conflict of Interest Certification Statement

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

The board of regents conflict of interest certification statement meets the requirements of the revisions to BOR Policy 57.01, Code of Ethics. This annual certification affirms the board members' compliance with their official oath and specific provisions of Texas statutes related to ethical behavior.

FISCAL NOTE:

SUPPORTING DOCUMENTATION: Proposed Conflict of Interest Certification Statement and related statutes

ACTION REQUESTED: Approval

COMPONENT: University of Houston System

Don Guyton — 11/18/08
DIRECTOR, INTERNAL AUDITING Don F. Guyton **DATE**

Renu Khator — 11/25/08
CHANCELLOR Renu Khator **DATE**

UNIVERSITY OF HOUSTON SYSTEM BOARD OF REGENTS

CONFLICT OF INTEREST CERTIFICATION

By signing below, I certify that I will abide by the following conditions during my term as a member of the Board of Regents of the University of Houston System:

- I do solemnly swear that I will faithfully execute the duties of the Board of Regents of the University of Houston System, and will to the best of my ability preserve, protect, and defend the Constitution and laws of the United States and of this State, so help me God. *See* Texas Constitution Art. 16, § 1.

- I do solemnly swear that I have not directly or indirectly paid, offered, promised to pay, contributed, or promised to contribute any money or thing of value, or promised any public office or employment as a reward to secure my appointment or confirmation, whichever the case may be, so help me God. *See* Texas Constitution Art. 16, § 1.

- I will file a verified financial statement with the Texas Ethics Commission in accordance with Texas Government Code §§ 572.022 through 572.0252. *See* Texas Government Code § 572.021.

- If I have a personal or private interest in a measure, proposal, or decision pending before the board, I shall publicly disclose the fact to the board in a meeting called and held in compliance with Texas Government Code Chapter 551. I acknowledge that I may not vote or otherwise participate in such a decision pending before the board and further understand that my public disclosure shall be entered in the minutes of the meeting. *See* Texas Government Code § 572.058(a).

- **I shall not**:

    - Accept or solicit any gift, favor, or service that might reasonably tend to influence me in the discharge of my official duties or that I know or should know is being offered with the intent to influence my official conduct. *See* Texas Government Code 572.051(a)(1).

    - Accept other employment or engage in a business or professional activity that I might reasonably expect would require or induce me to disclose confidential information acquired by reason of my position. *See* Texas Government Code 572.051(a)(2).

    - Accept other employment or compensation that could reasonably be expected to impair my independence of judgment in the performance of my official duties. *See* Texas Government Code 572.051(a)(3).

    - Make personal investments that could reasonably be expected to create a substantial conflict between my private interest and the public interest. *See* Texas Government Code 572.051(a)(4).

    - Intentionally or knowingly solicit, accept, or agree to accept any benefit for having exercised my official powers or performed my official duties in favor of another. *See* Texas Government Code 572.051(a)(5).

    - With the intent to obtain a benefit or with intent to harm or defraud another, intentionally or knowingly misuse government property, services, personnel, or any other thing of value belonging to the government that has come into my custody or possession by virtue of my office or employment. *See* Texas Penal Code § 39.02(a)(2).

_____/_____

Signature Date

_____

Printed Name

Vernon's Ann.Texas Const. Art. 16, § 1

Vernon's Texas Statutes and Codes Annotated Currentness
Constitutionof Thestate of Texas 1876 (Refs & Annos)
Article XVI. General Provisions
§ 1. Official Oath

Sec 1 (a) All elected and appointed officers, before they enter upon the duties of their offices, shall take the following Oath or Affirmation:

"I, _____, do solemnly swear (or affirm), that I will faithfully execute the duties of the office of _____ of the State of Texas, and will to the best of my ability preserve, protect, and defend the Constitution and laws of the United States and of this State, so help me God."

(b) All elected or appointed officers, before taking the Oath or Affirmation of office prescribed by this section and entering upon the duties of office, shall subscribe to the following statement:

"I, _____, do solemnly swear (or affirm) that I have not directly or indirectly paid, offered, promised to pay, contributed, or promised to contribute any money or thing of value, or promised any public office or employment for the giving or withholding of a vote at the election at which I was elected or as a reward to secure my appointment or confirmation, whichever the case may be, so help me God."

(c) Members of the Legislature, the Secretary of State, and all other elected and appointed state officers shall file the signed statement required by Subsection (b) of this section with the Secretary of State before taking the Oath or Affirmation of office prescribed by Subsection (a) of this section. All other officers shall retain the signed statement required by Subsection (b) of this section with the official records of the office.

V.T.C.A., Government Code § 572.051

Vernon's Texas Statutes and Codes Annotated Currentness
Government Code (Refs & Annos)
Title 5. Open Government; Ethics (Refs & Annos)
Subtitle B. Ethics
Chapter 572. Personal Financial Disclosure, Standards of Conduct, and Conflict of Interest (Refs & Annos)
Subchapter C. Standards of Conduct and Conflict of Interest Provisions
§ 572.051. Standards of Conduct; State Agency Ethics Policy

(a) A state officer or employee should not:

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

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

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

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

(5) intentionally or knowingly solicit, accept, or agree to accept any benefit for having exercised the officer's or employee's official powers or performed the officer's or employee's official duties in favor of another.

(b) A state employee who violates Subsection (a) or an ethics policy adopted under Subsection (c) is subject to termination of the employee's state employment or another employment-related sanction. Notwithstanding this subsection, a state officer or employee who violates Subsection (a) is subject to any applicable civil or criminal penalty if the violation also constitutes a violation of another statute or rule.

(c) Each state agency shall:

(1) adopt a written ethics policy for the agency's employees consistent with the standards prescribed by Subsection (a) and other provisions of this subchapter; and

(2) distribute a copy of the ethics policy and this subchapter to:

(A) each new employee not later than the third business day after the date the person begins employment with the agency; and

(B) each new officer not later than the third business day after the date the person qualifies for office.

(d) The office of the attorney general shall develop, in coordination with the commission, and distribute a model policy that state agencies may use in adopting an agency ethics policy under Subsection (c). A state agency is not required to adopt the model policy developed under this subsection.

(e) Subchapters E and F, Chapter 571, do not apply to a violation of this section.

(f) Notwithstanding Subsection (e), if a person with knowledge of a violation of an agency ethics policy adopted under Subsection (c) that also constitutes a criminal offense under another law of this state reports the violation to an appropriate prosecuting attorney, then, not later than the 60th day after the date a person notifies the prosecuting attorney under this subsection, the prosecuting attorney shall notify the commission of the status of the prosecuting attorney's investigation of the alleged violation. The commission shall, on the request of the prosecuting attorney, assist the prosecuting attorney in investigating the alleged violation. This subsection does not apply to an alleged violation by a member or employee of the commission.

(g) to (i) Expired.

CREDIT(S)

V.T.C.A., Government Code § 572.021

Vernon's Texas Statutes and Codes Annotated Currentness
Government Code (Refs & Annos)
Title 5. Open Government; Ethics (Refs & Annos)
Subtitle B. Ethics
Chapter 572. Personal Financial Disclosure, Standards of Conduct, and Conflict of Interest (Refs & Annos)
Subchapter B. Personal Financial Statement
§ 572.021. Financial Statement Required

Except as provided by Section 572.0211, a state officer, a partisan or independent candidate for an office as an elected officer, and a state party chair shall file with the commission a verified financial statement complying with Sections 572.022 through 572.0252.

V.T.C.A., Government Code § 572.058

Vernon's Texas Statutes and Codes Annotated Currentness
Government Code (Refs & Annos)
Title 5. Open Government; Ethics (Refs & Annos)

Subtitle B. Ethics
Chapter 572. Personal Financial Disclosure, Standards of Conduct, and Conflict of Interest (Refs & Annos)
Subchapter C. Standards of Conduct and Conflict of Interest Provisions
§ 572.058. Private Interest in Measure or Decision; Disclosure; Removal from Office for Violation

(a) An elected or appointed officer, other than an officer subject to impeachment under Article XV, Section 2, of the Texas Constitution, who is a member of a board or commission having policy direction over a state agency and who has a personal or private interest in a measure, proposal, or decision pending before the board or commission shall publicly disclose the fact to the board or commission in a meeting called and held in compliance with Chapter 551. The officer may not vote or otherwise participate in the decision. The disclosure shall be entered in the minutes of the meeting.

(b) An individual who violates this section is subject to removal from office on the petition of the attorney general on the attorney general's own initiative or on the relation of a resident or of any other member of the board or commission. The suit must be brought in a district court of Travis County or of the county where the violation is alleged to have been committed.

(c) If the court or jury finds from a preponderance of the evidence that the defendant violated this section and that an ordinary prudent person would have known the individual's conduct to be a violation of this section, the court shall enter judgment removing the defendant from office.

(d) A suit under this section must be brought before the second anniversary of the date the violation is alleged to have been committed, or the suit is barred.

(e) The remedy provided by this section is cumulative of other methods of removal from office provided by the Texas Constitution or a statute of this state.

(f) In this section, "personal or private interest" has the same meaning as is given to it under Article III, Section 22, of the Texas Constitution, governing the conduct of members of the legislature. For purposes of this section, an individual does not have a "personal or private interest" in a measure, proposal, or decision if the individual is engaged in a profession, trade, or occupation and the individual's interest is the same as all others similarly engaged in the profession, trade, or occupation.

CREDIT(S)

Added by Acts 1993, 73rd Leg., ch. 268, § 1, eff. Sept. 1, 1993.

V.T.C.A., Penal Code § 39.02

Vernon's Texas Statutes and Codes Annotated Currentness
Penal Code (Refs & Annos)
Title 8. Offenses Against Public Administration
Chapter 39. Abuse of Office (Refs & Annos)
§ 39.02. Abuse of Official Capacity

(a) A public servant commits an offense if, with intent to obtain a benefit or with intent to harm or defraud another, he intentionally or knowingly:

(1) violates a law relating to the public servant's office or employment; or

(2) misuses government property, services, personnel, or any other thing of value belonging to the government that has come into the public servant's custody or possession by virtue of the public servant's office or employment.

(b) An offense under Subsection (a)(1) is a Class A misdemeanor.

(c) An offense under Subsection (a)(2) is:

(1) a Class C misdemeanor if the value of the use of the thing misused is less than $20;

(2) a Class B misdemeanor if the value of the use of the thing misused is $20 or more but less than $500 ;

(3) a Class A misdemeanor if the value of the use of the thing misused is $500 or more but less than $1,500;

(4) a state jail felony if the value of the use of the thing misused is $1,500 or more but less than $20,000;

(5) a felony of the third degree if the value of the use of the thing misused is $20,000 or more but less than $100,000;

(6) a felony of the second degree if the value of the use of the thing misused is $100,000 or more but less than $200,000; or

(7) a felony of the first degree if the value of the use of the thing misused is $200,000 or more.

(d) A discount or award given for travel, such as frequent flyer miles, rental car or hotel discounts, or food coupons, are not things of value belonging to the government for purposes of this section due to the administrative difficulty and cost involved in recapturing the discount or award for a governmental entity.

CREDIT(S)

Acts 1973, 63rd Leg., p. 883, ch. 399, § 1, eff. Jan. 1, 1974. Amended by Acts 1983, 68th Leg., p. 3241, ch. 558, § 7, eff. Sept. 1, 1983. Renumbered from V.T.C.A., Penal Code § 39.01 and amended by Acts 1993, 73rd Leg., ch. 900, § 1.01, eff. Sept. 1, 1994.

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Audit & Compliance

ITEM: Board of Regents Policy – Identity Theft Prevention Program

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

The Federal Trade Commission issued a regulation known as the Red Flag Rule under sections 114 and 315 of the Fair and Accurate Credit Transactions Act. The Red Flag Rule is intended to reduce the risk of identity theft by requiring institutions to implement an Identity Theft Prevention Program that includes reasonable policies and procedures to detect or mitigate identity theft. Mandatory compliance with the Red Flag Rule requires the Board of Regents to approve the initial written program. The purpose of this policy is to establish the framework for the Identity Theft Prevention Program and to provide the necessary approval of the program by the Board of Regents. The Red Flag Rule allows the Board to delegate responsibility for the program to the Chancellor.

FISCAL NOTE:

SUPPORTING DOCUMENTATION: Proposed Identity Theft Prevention Program

ACTION REQUESTED: Approval

COMPONENT: University of Houston System

Don Guyton 11/18/08

DIRECTOR, INTERNAL AUDITING Don F. Guyton **DATE**

Renu Khator 11/25/08

CHANCELLOR Renu Khator **DATE**

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.

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS

ENDOWMENT MANAGEMENT COMMITTEE

NO ITEMS FORWARDED FROM DECEMBER 3, 2008 MEETING

AND NO NEW ITEMS TO BE

PRESENTED ON

Tuesday, December 16, 2008

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Facilities, Construction and Master Planning

ITEM: Approval of the Bauer Business Building III Program

DATE PREVIOUSLY SUBMITTED:

SUMMARY: Approval is requested for, Bauer Business III Building program. The proposed program is a building of approximately 57,000 ASF/87,000 GSF.

Details of the program are provided in the attached supporting documentation. The proposed site is displayed on the campus map.

FISCAL NOTE: Funding TBD

SUPPORTING DOCUMENTATION: Bauer Business III Space Program

ACTION REQUESTED: Approval

COMPONENT: University of Houston

Renu Khator-
PRESIDENT Renu Khator **DATE** 11/25/08

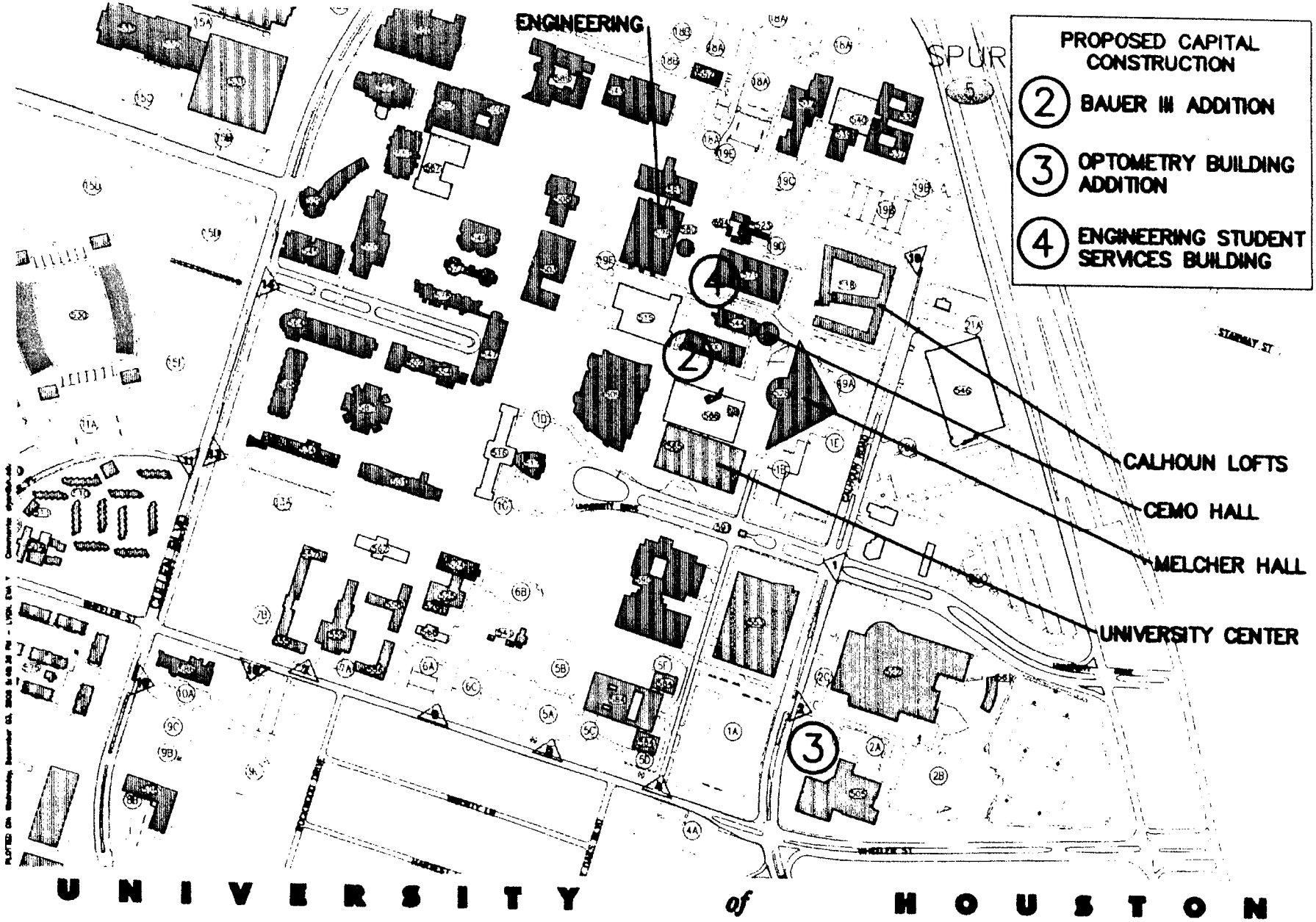
EXECUTIVE VICE CHANCELLOR Carl Carlucci **DATE** 11/20/08

Renu Khator-
CHANCELLOR Renu Khator **DATE** 11/25/08

Bauer Business III Space Program

	Program		
	Qty.	SF	Total SF
Classroom (All Floors)			
Classroom 1st Flr (seats 80, tiered)	4	2000	8000
Classroom 1st Flr (seats 52, tiered)	8	1300	10400
Seminar 3rd Flr (seats 40)	3	1000	3000
Breakout Rooms 3rd Flr	9	240	2160
			23560
EMBA Student Suite			
Classrooms 3rd Flr (seats 60, non-tiered)	4	1305	5220
EMBA Lobby/Clubhouse 2nd Flr	1	1950	1950
Breakout Rooms 3rd Flr	20	240	4800
			11970
EMBA Suite 4th Flr			
Directors	2	219.5	439
Staff (Advisors, Financial Aid)	15	117	1755
Records and Storage	2	292.5	585
Conference Room	1	390	390
Reception	1	195	195
Break Room	1	195	195
			3559
Wolff Ctr for Entrepreneurship, 4th floor			
Director	1	219.7	219.7
Project Managers	2	146.25	292.5
Staff	8	117	936
Reception	1	292.5	292.5
Conference	1	975	975
Storage	1	195	195
Copy	1	195	195
Break Room	1	195	195
Student Space	1	975	975
			4275.7
Ancillary Functions			
Student Organizations Offices	30	150	4500
Student Org. Mtg Rms (45 stud * 15 SF/stud)	2	877.5	1755
Clinical Offices	40	100	4000

Storage	6	325	1950
Student Svcs Copier, Printer, Area	3	390	1170
			13375
Total ASF			**56,740**
Total GSF			**87,296**


ENGINEERING
SPUR
PROPOSED CAPITAL CONSTRUCTION
2 BAUER III ADDITION
3 OPTOMETRY BUILDING ADDITION
4 ENGINEERING STUDENT SERVICES BUILDING
CALHOUN LOFTS
CEMO HALL
MELCHER HALL
UNIVERSITY CENTER
UNIVERSITY of HOUSTON

FC&MP 1 - 2

Professional Precinct

Residential Program

844,000 sf (2400 Beds)

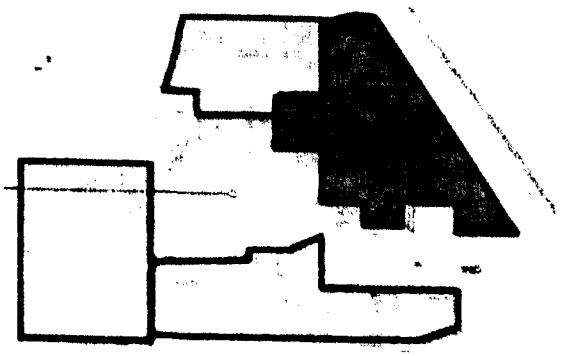
Academic Program

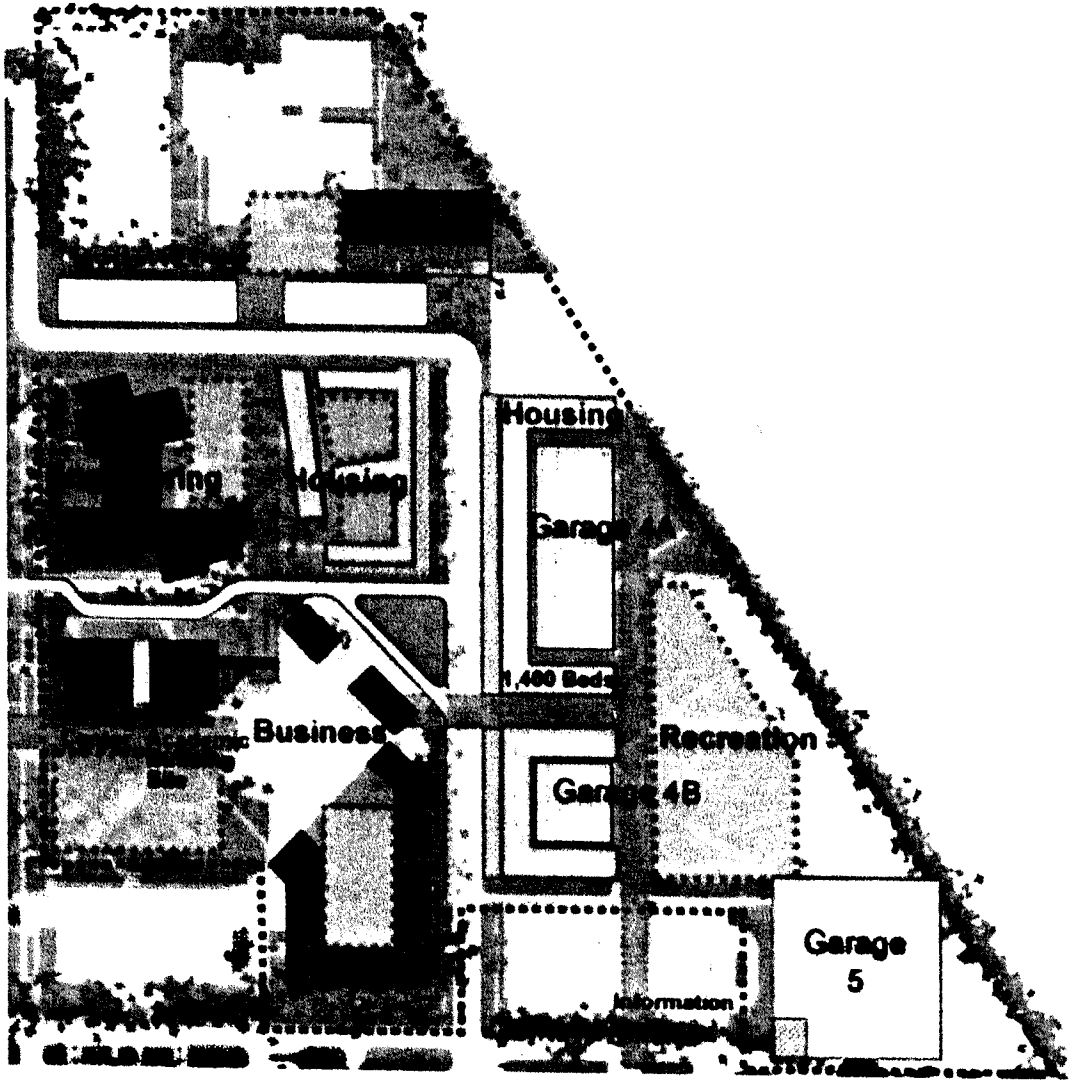
768,000 sf

TOTAL SF – 1,612,000 sf

Parking Garage

Mixed Use





UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Facilities, Construction and Master Planning Committee

ITEM: Approval of the Optometry Building Program

DATE PREVIOUSLY SUBMITTED:

SUMMARY: Approval is requested for the Optometry Addition program. The proposed program is a building of approximately 82,000 ASF/137,000 GSF

Details of the program are provided in the attached supporting documentation. The proposed site is displayed on the campus map.

FISCAL NOTE: Funding TBD

SUPPORTING DOCUMENTATION: Optometry Space Program

ACTION REQUESTED: Approval

COMPONENT: University of Houston

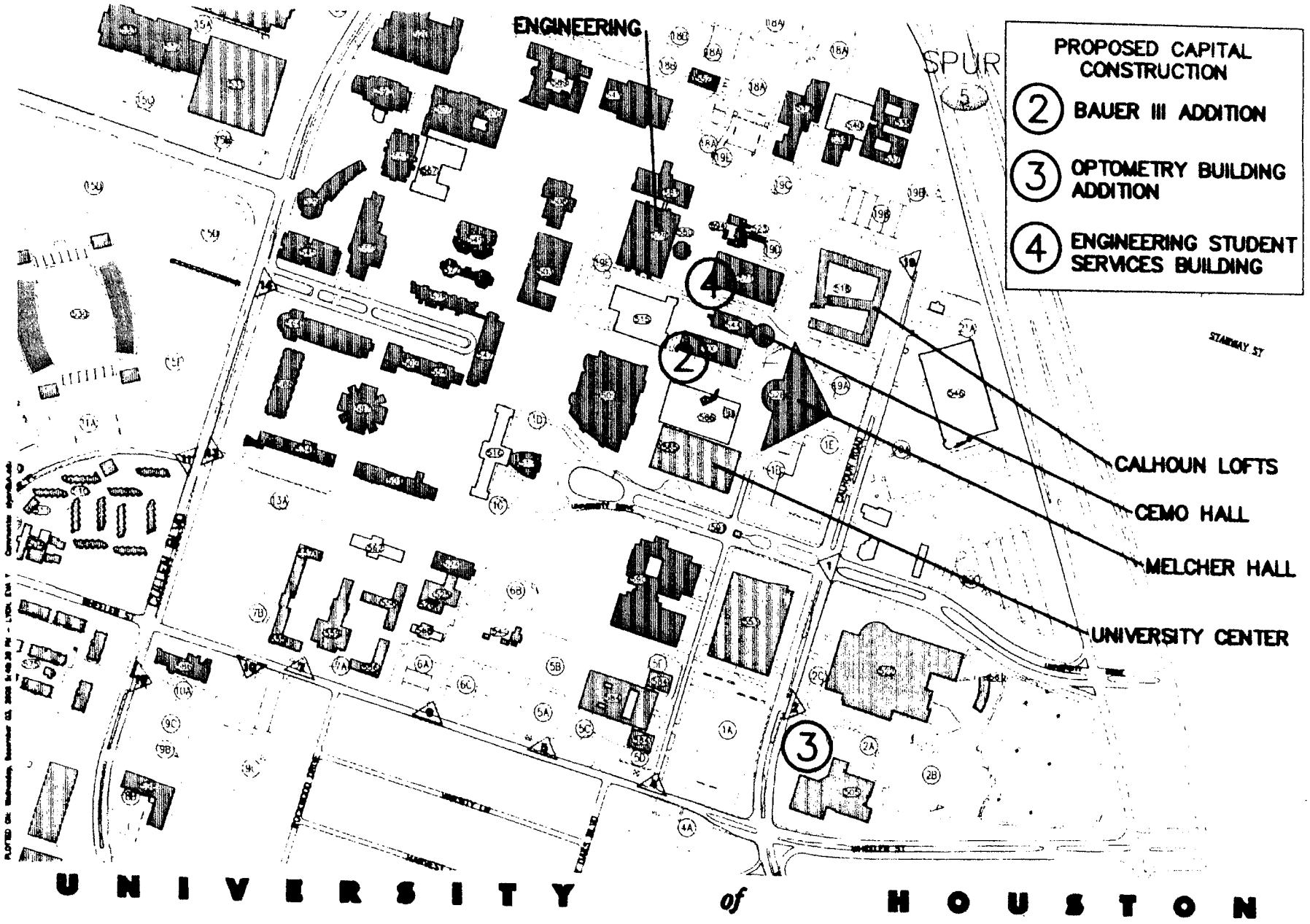
Renu Khator — 11/25/08
PRESIDENT Renu Khator **DATE**

11/20/08
EXECUTIVE VICE CHANCELLOR Carl Carlucci **DATE**

Renu Khator — 11/25/08
CHANCELLOR Renu Khator **DATE**

Optometry Expansion

	Program	
	Assignable Sq Feet	Gross Sq Feet
Ambulatory Surgical Center (ASC)	**5,975**	**9,958**
Public Areas		
Lobby, recep., waiting, check in/out		
Clinic Suite		
Pre-Op		
Surgical Suite		
Staff Work Area		
MRI/FMRI Center	0	0
Laser Center (TLC)	**2405**	**4,008**
Academic Research	**21,255**	**35,425**
Academic Areas (Audit, Classrooms)	8225	
Office/Support	5330	
Laboratory	6160	
Lab Support	1540	
Optometry Vivarium	**7425**	**12,375**
Animal Housing	4070	
Procedure Lab	1320	
Vivarium Support	2035	
Public Space (NSF)	3635	6,058
Food Service		
Security		
Classroom (50 seat)		
Public Space (in GSF)		
Entrance/Lobby		
Public Rest Rooms		
Atrium Link to Existing Building		
Building Support (NSF)	**1575**	**2,625**
Computer		
Janitor		
Building Support (in GSF)		
University Vivarium	**13,200**	**22,000**
Office/Support	385	
Laboratory	1,320	
Lab Support	330	
Animal Housing	2,310	
Procedure Lab	1,540	
Vivarium Support	2,895	
Transgenic Facility	4,420	
(Incl. Holding, Procedure, & Suppt. Space)		
CSS Dry Labs and Offices	**26,400**	**44,000**
Public Areas	440	
NeuroPsych Office/Support	4510	
NeuroPsych Clinic/Dry Lab	1155	
Neuroscience Office/Support	3950	
Neuroscience Dry Lab	3145	
CSS Office/Support	3960	
CSS Dry Lab	9240	
TOTAL (rounded)	**81,870**	**136,450**
@60% efficiency		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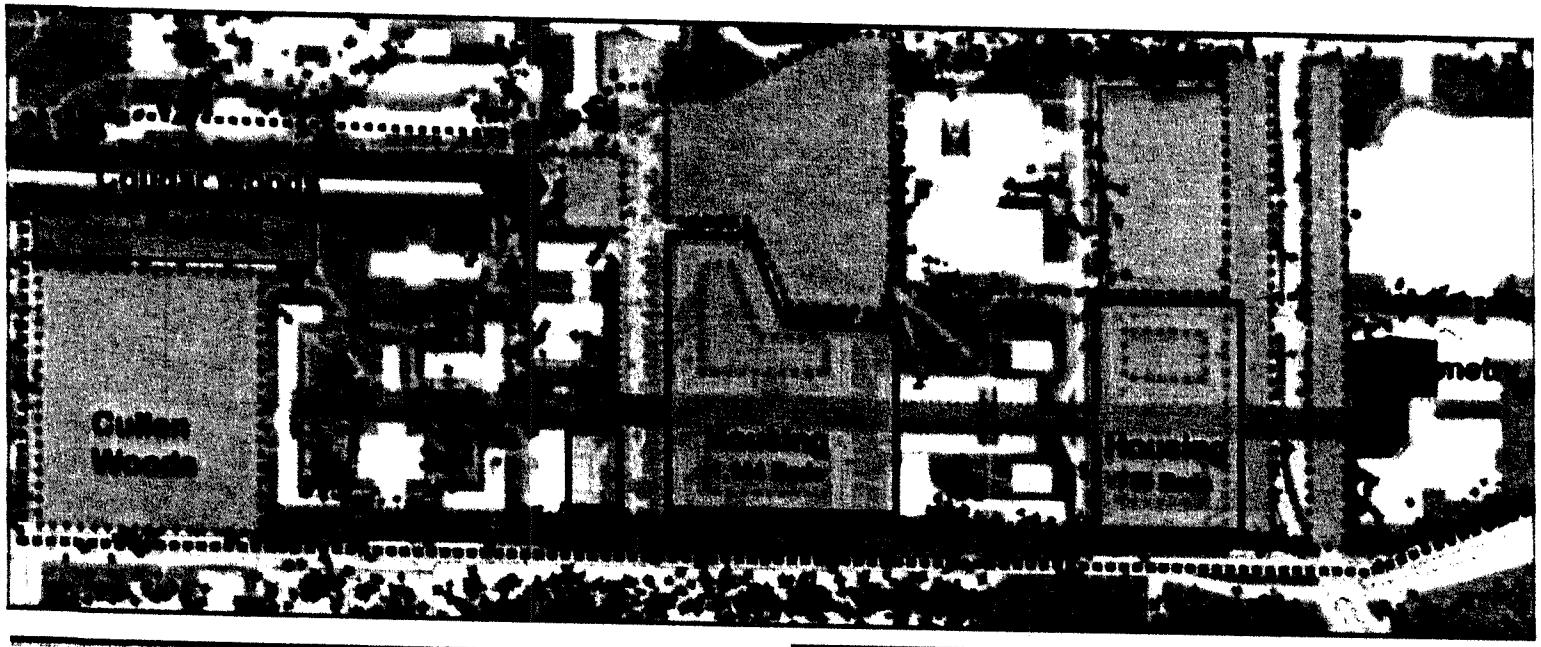
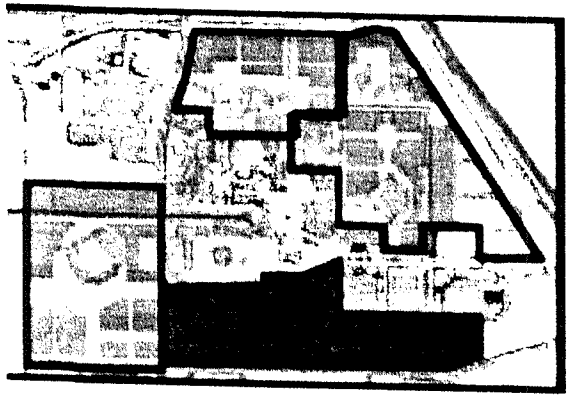
UNIVERSITY CENTER
UNIVERSITY of HOUSTON

FC&MP 2.2 - 1

Wheeler Precinct





TOTAL SF – 815.000 sf

Parking Garage

Mixed Use

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Facilities, Construction and Master Planning

ITEM: Approval of the Engineering Student Services Building Program

DATE PREVIOUSLY SUBMITTED:

SUMMARY: Approval is requested for, Engineering Student Services Building Program. The program proposes a building of approximately 67,000 ASF/102,000 GSF.

Details of the program are provided in the supporting documentation. The proposed site is displayed on the campus map.

FISCAL NOTE: Funding TBD

SUPPORTING DOCUMENTATION: Engineering Student Services Space Program

ACTION REQUESTED: Approval

COMPONENT: University of Houston

Renu Khator
PRESIDENT Renu Khator **DATE** 11/25/08

EXECUTIVE VICE CHANCELLOR Carl Carlucci **DATE** 11/26/08

Renu Khator
CHANCELLOR Renu Khator **DATE** 11/25/08

Cullen College of Engineering

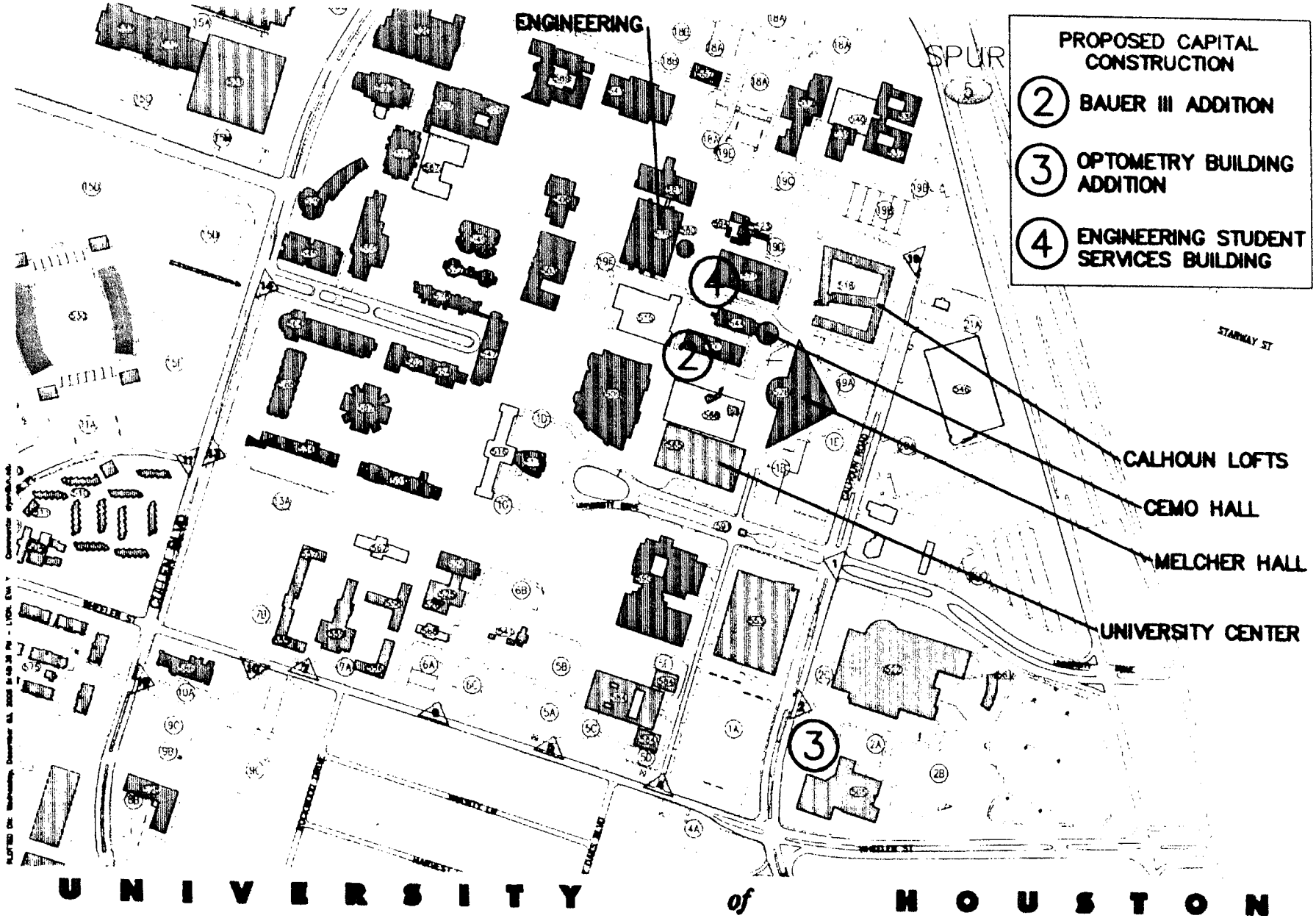
11/20/2008

Student Services Building (approx 100,000 GSF)

Area	Assignable Sq Feet	Gross Sq Feet	Total ASF	Total GSF
Auditorium				
Entry	1,182	1,818		
Main Auditorium	2,089	3,214		
	3,271	5,032	3,271	5,032
Dean's Office				
Dean				
Associate Dean				
Associate Dean				
Assistant to Dean				
Administrative Assistant				
Events Coordinator				
Director Business Operations				
Assistant College Business Admin				
Financial Assistant				
Development Director				
Development Secretary				
Reception Area				
Student Worker				
Equipment/Break Room				
Mailbox/Storage Room				
File Room				
	1,950	3,000	1,950	3,000
Engineering Career Center				
Director	136	209		
ISIP Manager	136	209		
CoOp Director	136	209		
Office Assistant	218	335		
Associate Director, Alumni Placement	202	311		
Student Worker	303	466		
Interview Rooms	1,356	2,086		
Reception Area	113	174		
Waiting Area	575	885		
Copy Area	136	209		
Storage Room	113	174		
Break Area	163	251		
Conference Room	657	1,011		
Training Room	657	1,011		
	4,901	7,540	4,901	7,540
Food Service				
Vending Area	348	535	348	535
Hi-Tech Classrooms				
Active Learning Classroom	900	1,385		
Visualization Lab-Graduate	1,000	1,538		
Visualization Lab-Undergraduate	1,250	1,923		
EERC	136	209		
EERC	750	1,154		

EERC	1,093	1,682		
EERC	1,548	2,382		
EERC	150	231		
EERC	275	423		
	7,102	10,926	7,102	10,926
Student Design/Competition Center	4,500	6,923	4,500	6,923
Student Advising, Recruiting, Retention				
Reception Area	163	251		
Reception Area	202	311		
Advising/ Dean's Office	247	380		
Advising/ Dean's Office	136	209		
Advising/ Dean's Office	136	209		
Advising/ Dean's Office	136	209		
Advising/ Dean's Office	136	209		
Advising/ Dean's Office	136	209		
Advising/ Dean's Office	136	209		
Advising/ Dean's Office	136	209		
Advising/ Dean's Office	136	209		
Advising/ Dean's Office	0	0		
Advising/ Dean's Office	0	0		
Advising/ Dean's Office	136	209		
Advising/ Dean's Office	0	0		
Advising/ Dean's Office	271	417		
Advising/ Dean's Office	94	145		
PROMES	191	294		
PROMES	136	209		
PROMES	136	209		
PROMES	101	155		
PROMES	94	145		
PROMES	191	294		
PROMES	4,602	7,080		
Recruiting	191	294		
Recruiting	136	209		
Recruiting	407	626		
Recruiting	94	145		
Support	202	311		
Support	404	622		
Support	136	209		
Support	136	209		
Support	136	209		
Support	657	1,011		
Support	287	442		
Support	216	332		
	10,654	16,391	10,654	16,391
Computing				
Security Desk	101	155		
General Access Computer Stations	288	443		
Staff Offices	136	209		
Staff Offices	136	209		
Staff Offices	303	466		
Staff Offices	303	466		
Staff Offices	303	466		

Computing Center	136	209		
Computing Center	0	0		
Computing Center	300	462		
Computing Center	3879	5,968		
Computing Center	136	209		
Computing Center	247	380		
Computing Center	348	535		
Computing Center	247	380		
Network Support	371	571		
Network Support	247	380		
	7481	11,509	7481	11,509
Food Services				
Food Services-Servery	1268	1,951		
Food Services-Inside seating	683	1,051		
Convenience Store	1049	1,614		
	3000	4,615	3000	4,615
Student Organizations				
Student Org: Multipurpose Meeting Rooms-Large	858	1,320		
Student Org: Multipurpose Meeting Rooms-Medium	449	691		
Student Organization Rooms-Large	6658	10,243		
Student Organization Rooms-Small	2863	4,405		
Gaming Area	767	1,180		
	11595	17,838	11595	17,838
Study Rooms				
Individual Study Area(s)	1972	3,034		
Multipurpose Group Study Rooms	3254	5,006		
	5226	8040	5226	8,040
Undergraduate Laboratories	6500	10,000	6500	10,000
TOTAL GSF			66,528	**102,351**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UNIVERSITY of HOUSTON

FC&MP 3.2 - 1

Professional Precinct

Residential Program

844,000 sf (2400 Beds)

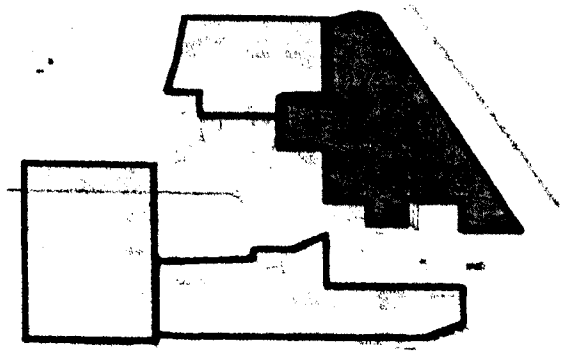
Academic Program

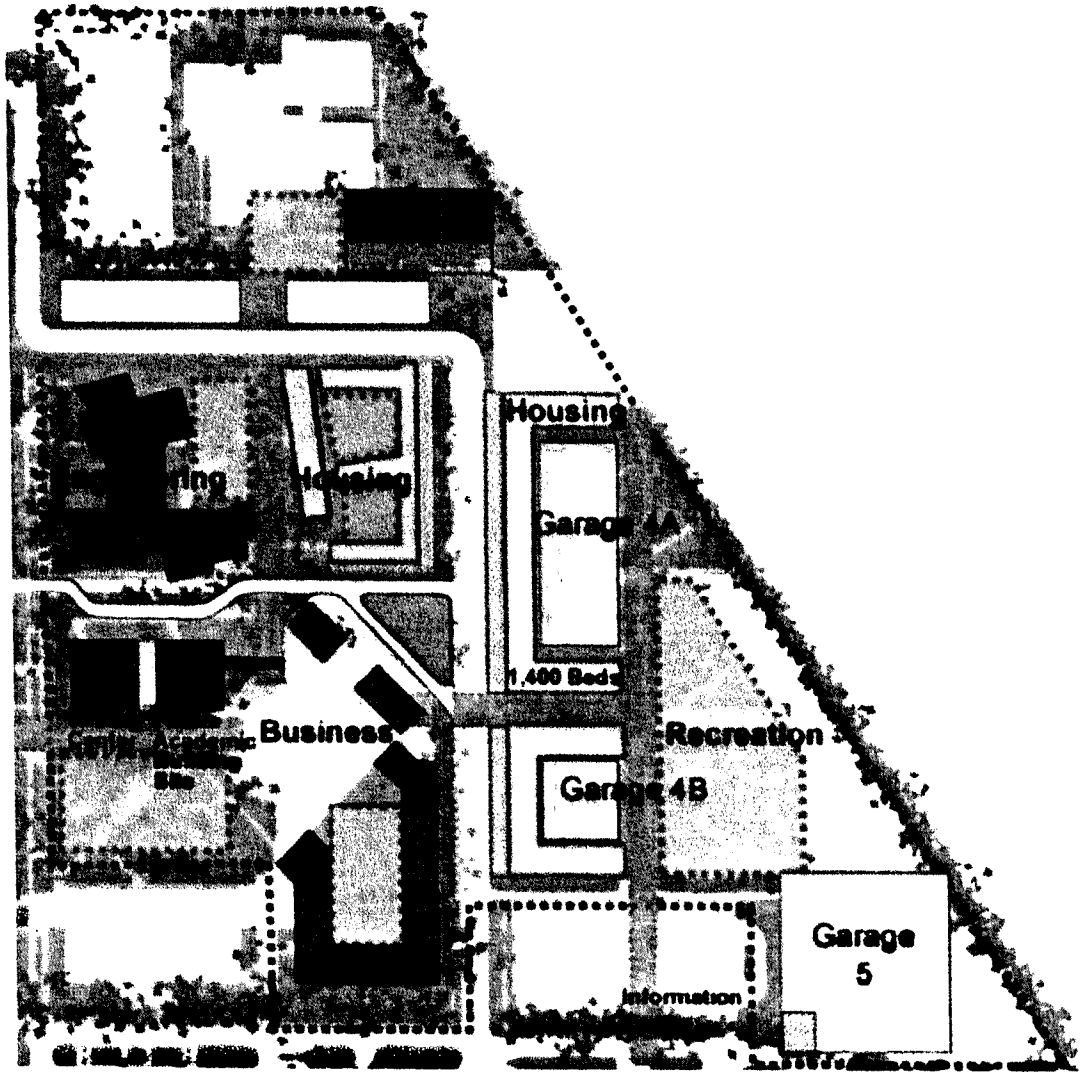
768,000 sf

TOTAL SF – 1,612,000 sf

Parking Garage

Mixed Use





UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Facilities, Construction and Master Planning

ITEM: National Incident Management System

DATE PREVIOUSLY SUBMITTED:

SUMMARY: Implementation of the National Incident Management System throughout the University of Houston System.

On February 28, 2003, the President issued Homeland Security Presidential Directive (HSPD)-5, which directed the Secretary of Homeland Security to develop and administer a National Incident Management System (NIMS).

The Texas Governor's Executive Order RP40 (Issued February 23, 2005) mandated the National Incident Management System as the State standard for incident management.

FISCAL NOTE:

SUPPORTING DOCUMENTATION: Homeland Security Presidential Directive-5
Executive Order RP40 - February 23, 2005

ACTION REQUESTED: Approval

COMPONENT: University of Houston

Renu Khator

PRESIDENT Renu Khator **DATE** 11/25/08

EXECUTIVE VICE CHANCELLOR Carl Carlucci **DATE** 11/20/08

Renu Khator

CHANCELLOR Renu Khator **DATE** 11/25/08

For Immediate Release
Office of the Press Secretary
February 28, 2003

Homeland Security Presidential Directive/HSPD-5

Subject: Management of Domestic Incidents

Purpose

(1) To enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive national incident management system.

Definitions

(2) In this directive:

(a) the term "Secretary" means the Secretary of Homeland Security.

(b) the term "Federal departments and agencies" means those executive departments enumerated in 5 U.S.C. 101, together with the Department of Homeland Security; independent establishments as defined by 5 U.S.C. 104(1); government corporations as defined by 5 U.S.C. 103(1); and the United States Postal Service.

(c) the terms "State," "local," and the "United States" when it is used in a geographical sense, have the same meanings as used in the Homeland Security Act of 2002, Public Law 107-296.

Policy

(3) To prevent, prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies, the United States Government shall establish a single, comprehensive approach to domestic incident management. The objective of the United States Government is to ensure that all levels of government across the Nation have the capability to work efficiently and effectively together, using a national approach to domestic incident management. In these efforts, with regard to domestic incidents, the United States Government treats crisis management and consequence management as a single, integrated function, rather than as two separate functions.

(4) The Secretary of Homeland Security is the principal Federal official for domestic incident management. Pursuant to the Homeland Security Act of 2002, the Secretary is responsible for coordinating Federal operations within the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. The Secretary shall coordinate the Federal Government's resources utilized in response to or recovery from terrorist attacks, major disasters,

or other emergencies if and when any one of the following four conditions applies: (1) a Federal department or agency acting under its own authority has requested the assistance of the Secretary; (2) *the resources of State and local authorities are overwhelmed and Federal assistance has been requested* by the appropriate State and local authorities; (3) more than one Federal department or agency has become substantially involved in responding to the incident; or (4) the Secretary has been directed to assume responsibility for managing the domestic incident by the President.

(5) Nothing in this directive alters, or impedes the ability to carry out, the authorities of Federal departments and agencies to perform their responsibilities under law. All Federal departments and agencies shall cooperate with the Secretary in the Secretary's domestic incident management role.

(6) The Federal Government recognizes the roles and responsibilities of State and local authorities in domestic incident management. Initial responsibility for managing domestic incidents generally falls on State and local authorities. The Federal Government will assist State and local authorities when their resources are overwhelmed, or when Federal interests are involved. The Secretary will coordinate with State and local governments to ensure adequate planning, equipment, training, and exercise activities. The Secretary will also provide assistance to State and local governments to develop all-hazards plans and capabilities, including those of greatest importance to the security of the United States, and will ensure that State, local, and Federal plans are compatible.

(7) The Federal Government recognizes the role that the private and nongovernmental sectors play in preventing, preparing for, responding to, and recovering from terrorist attacks, major disasters, and other emergencies. The Secretary will coordinate with the private and nongovernmental sectors to ensure adequate planning, equipment, training, and exercise activities and to promote partnerships to address incident management capabilities.

(8) The Attorney General has lead responsibility for criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the United States, or directed at United States citizens or institutions abroad, where such acts are within the Federal criminal jurisdiction of the United States, as well as for related intelligence collection activities within the United States, subject to the National Security Act of 1947 and other applicable law, Executive Order 12333, and Attorney General-approved procedures pursuant to that Executive Order. Generally acting through the Federal Bureau of Investigation, the Attorney General, in cooperation with other Federal departments and agencies engaged in activities to protect our national security, shall also coordinate the activities of the other members of the law enforcement community to detect, prevent, preempt, and disrupt terrorist attacks against the United States. Following a terrorist threat or an actual incident that falls within the criminal jurisdiction of the United States, the full capabilities of the United States shall be dedicated, consistent with United States law and with activities of other Federal departments and agencies to protect our national security, to assisting the Attorney General to identify the perpetrators and bring them to justice. The Attorney General and the Secretary shall establish appropriate relationships and mechanisms for cooperation and coordination between their two departments.

(9) Nothing in this directive impairs or otherwise affects the authority of the Secretary of Defense over the Department of Defense, including the chain of command for military forces from the President as Commander in Chief, to the Secretary of Defense, to the commander of military forces, or military command and control procedures. The Secretary of Defense shall provide military support to civil authorities for domestic incidents as directed by the President or when consistent with military readiness and appropriate under the circumstances and the law. The Secretary of Defense shall retain command of military forces providing civil support. The Secretary of Defense and the Secretary shall establish appropriate relationships and mechanisms for cooperation and coordination between their two departments.

(10) The Secretary of State has the responsibility, consistent with other United States Government activities to protect our national security, to coordinate international activities related to the prevention, preparation, response, and recovery from a domestic incident, and for the protection of United States citizens and United States interests overseas. The Secretary of State and the Secretary shall establish appropriate relationships and mechanisms for cooperation and coordination between their two departments.

(11) The Assistant to the President for Homeland Security and the Assistant to the President for National Security Affairs shall be responsible for interagency policy coordination on domestic and international incident management, respectively, as directed by the President. The Assistant to the President for

Homeland Security and the Assistant to the President for National Security Affairs shall work together to ensure that the United States domestic and international incident management efforts are seamlessly united.

(12) The Secretary shall ensure that, as appropriate, information related to domestic incidents is gathered and provided to the public, the private sector, State and local authorities, Federal departments and agencies, and, generally through the Assistant to the President for Homeland Security, to the President. The Secretary shall provide standardized, quantitative reports to the Assistant to the President for Homeland Security on the readiness and preparedness of the Nation -- at all levels of government -- to prevent, prepare for, respond to, and recover from domestic incidents.

(13) Nothing in this directive shall be construed to grant to any Assistant to the President any authority to issue orders to Federal departments and agencies, their officers, or their employees.

Tasking

(14) The heads of all Federal departments and agencies are directed to provide their full and prompt cooperation, resources, and support, as appropriate and consistent with their own responsibilities for protecting our national security, to the Secretary, the Attorney General, the Secretary of Defense, and the Secretary of State in the exercise of the individual leadership responsibilities and missions assigned in paragraphs (4), (8), (9), and (10), respectively, above.

(15) The Secretary shall develop, submit for review to the Homeland Security Council, and administer a National Incident Management System (NIMS). This system will provide a consistent nationwide approach for Federal, State, and local governments to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, and local capabilities, the NIMS will include a core set of concepts, principles, terminology, and technologies covering the incident command system; multi-agency coordination systems; unified command; training; identification and management of resources (including systems for classifying types of resources); qualifications and certification; and the collection, tracking, and reporting of incident information and incident resources.

(16) The Secretary shall develop, submit for review to the Homeland Security Council, and administer a National Response Plan (NRP). The Secretary shall consult with appropriate Assistants to the President (including the Assistant to the President for Economic Policy) and the Director of the Office of Science and Technology Policy, and other such Federal officials as may be appropriate, in developing and implementing the NRP. This plan shall integrate Federal Government domestic prevention, preparedness, response, and recovery plans into one all-discipline, all-hazards plan. The NRP shall be unclassified. If certain operational aspects require classification, they shall be included in classified annexes to the NRP.

(a) The NRP, using the NIMS, shall, with regard to response to domestic incidents, provide the structure and mechanisms for national level policy and operational direction for Federal support to State and local incident managers and for exercising direct Federal authorities and responsibilities, as appropriate.

(b) The NRP will include protocols for operating under different threats or threat levels; incorporation of existing Federal emergency and incident management plans (with appropriate modifications and revisions) as either integrated components of the NRP or as supporting operational plans; and additional opera-tional plans or annexes, as appropriate, including public affairs and intergovernmental communications.

(c) The NRP will include a consistent approach to reporting incidents, providing assessments, and making recommendations to the President, the Secretary, and the Homeland Security Council.

(d) The NRP will include rigorous requirements for continuous improvements from testing, exercising, experience with incidents, and new information and technologies.

(17) The Secretary shall:

(a) By April 1, 2003, (1) develop and publish an initial version of the NRP, in consultation with other Federal departments and agencies; and (2) provide the Assistant to the President for Homeland Security with a plan for full development and implementation of the NRP.

(b) By June 1, 2003, (1) in consultation with Federal departments and agencies and with State and local governments, develop a national system of standards, guidelines, and protocols to implement the NIMS; and (2) establish a mechanism for ensuring ongoing management and maintenance of the NIMS, including regular consultation with other Federal departments and agencies and with State and local governments.

(c) By September 1, 2003, in consultation with Federal departments and agencies and the Assistant to the President for Homeland Security, review existing authorities and regulations and prepare recommendations for the President on revisions necessary to implement fully the NRP.

(18) The heads of Federal departments and agencies shall adopt the NIMS within their departments and agencies and shall provide support and assistance to the Secretary in the development and maintenance of the NIMS. All Federal departments and agencies will use the NIMS in their domestic incident management and emergency prevention, preparedness, response, recovery, and mitigation activities, as well as those actions taken in support of State or local entities. The heads of Federal departments and agencies shall participate in the NRP, shall assist and support the Secretary in the development and maintenance of the NRP, and shall participate in and use domestic incident reporting systems and protocols established by the Secretary.

(19) The head of each Federal department and agency shall:

(a) By June 1, 2003, make initial revisions to existing plans in accordance with the initial version of the NRP.

(b) By August 1, 2003, submit a plan to adopt and implement the NIMS to the Secretary and the Assistant to the President for Homeland Security. The Assistant to the President for Homeland Security shall advise the President on whether such plans effectively implement the NIMS.

(20) Beginning in Fiscal Year 2005, Federal departments and agencies shall make adoption of the NIMS a requirement, to the extent permitted by law, for providing Federal preparedness assistance through grants, contracts, or other activities. The Secretary shall develop standards and guidelines for determining whether a State or local entity has adopted the NIMS.

Technical and Conforming Amendments to National Security Presidential Directive-1 (NSPD-1)

(21) NSPD-1 ("Organization of the National Security Council System") is amended by replacing the fifth sentence of the third paragraph on the first page with the following: "The Attorney General, the Secretary of Homeland Security, and the Director of the Office of Management and Budget shall be invited to attend meetings pertaining to their responsibilities.".

Technical and Conforming Amendments to National Security Presidential Directive-8 (NSPD-8)

(22) NSPD-8 ("National Director and Deputy National Security Advisor for Combating Terrorism") is amended by striking "and the Office of Homeland Security," on page 4, and inserting "the Department of Homeland Security, and the Homeland Security Council" in lieu thereof.

Technical and Conforming Amendments to Homeland Security Presidential Directive-2 (HSPD-2)

(23) HSPD-2 ("Combating Terrorism Through Immigration Policies") is amended as follows:

(a) striking "the Commissioner of the Immigration and Naturalization Service (INS)" in the second sentence of the second paragraph in section 1, and inserting "the Secretary of Homeland Security" in lieu thereof ;

(b) striking "the INS," in the third paragraph in section 1, and inserting "the Department of Homeland Security" in lieu thereof;

(c) inserting ", the Secretary of Homeland Security," after "The Attorney General" in the fourth paragraph in section 1;

(d) inserting ", the Secretary of Homeland Security," after "the Attorney General" in the fifth paragraph in section 1;

(e) striking "the INS and the Customs Service" in the first sentence of the first paragraph of section 2, and inserting "the Department of Homeland Security" in lieu thereof;

(f) striking "Customs and INS" in the first sentence of the second paragraph of section 2, and inserting "the Department of Homeland Security" in lieu thereof;

(g) striking "the two agencies" in the second sentence of the second paragraph of section 2, and inserting "the Department of Homeland Security" in lieu thereof;

(h) striking "the Secretary of the Treasury" wherever it appears in section 2, and inserting "the Secretary of Homeland Security" in lieu thereof;

(i) inserting ", the Secretary of Homeland Security," after "The Secretary of State" wherever the latter appears in section 3;

(j) inserting ", the Department of Homeland Security," after "the Department of State," in the second sentence in the third paragraph in section 3;

(k) inserting "the Secretary of Homeland Security," after "the Secretary of State," in the first sentence of the fifth paragraph of section 3;

(l) striking "INS" in the first sentence of the sixth paragraph of section 3, and inserting "Department of Homeland Security" in lieu thereof;

(m) striking "the Treasury" wherever it appears in section 4 and inserting "Homeland Security" in lieu thereof;

(n) inserting ", the Secretary of Homeland Security," after "the Attorney General" in the first sentence in section 5; and

(o) inserting ", Homeland Security" after "State" in the first sentence of section 6.

Technical and Conforming Amendments to Homeland Security Presidential Directive-3 (HSPD-3)

(24) The Homeland Security Act of 2002 assigned the responsibility for administering the Homeland Security Advisory System to the Secretary of Homeland Security. Accordingly, HSPD-3 of March 11, 2002 ("Homeland Security Advisory System") is amended as follows:

(a) replacing the third sentence of the second paragraph entitled "Homeland Security Advisory System" with "Except in exigent circumstances, the Secretary of Homeland Security shall seek the views of the Attorney General, and any other federal agency heads the Secretary deems appropriate, including other members of the Homeland Security Council, on the Threat Condition to be assigned."

(b) inserting "At the request of the Secretary of Homeland Security, the Department of Justice shall permit and facilitate the use of delivery systems administered or managed by the Department of Justice for the purposes of delivering threat information pursuant to the Homeland Security Advisory System." as a new paragraph after the fifth paragraph of the section entitled "Homeland Security Advisory System."

(c) inserting ", the Secretary of Homeland Security" after "The Director of Central Intelligence" in the first sentence of the seventh paragraph of the section entitled "Homeland Security Advisory System".

(d) striking "Attorney General" wherever it appears (except in the sentences referred to in subsections (a) and (c) above), and inserting "the Secretary of Homeland Security" in lieu thereof; and

(e) striking the section entitled "Comment and Review Periods."

GEORGE W. BUSH

# # #

Return to this article at:
http://www.whitehouse.gov/news/releases/2003/02/20030228-9.html

CLICK HERE TO PRINT

Executive Order RP40 - February 23, 2005

Relating to the designation of the National Incident Management System as the incident management system for the State of Texas.

BY THE
GOVERNOR OF THE STATE OF TEXAS
Executive Department
Austin, Texas
February 23, 2005

WHEREAS, the President of the United States has issued Homeland Security Directive No. 5 that directs the Secretary of the Department of Homeland Security to develop and administer a National Incident Management System (N.I.M.S.), which would provide a consistent nationwide approach for Federal, State, local, and tribal governments to work together more effectively and efficiently to prevent, prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity; and

WHEREAS, the collective input and guidance from all Federal, State, local, and tribal homeland security partners has been, and will continue to be, vital to the development, effective implementation and utilization of a comprehensive N.I.M.S.; and

WHEREAS, it is necessary and desirable that all Federal, State, local, and tribal emergency agencies and personnel coordinate their efforts to effectively and efficiently provide the highest levels of incident management; and

WHEREAS, to facilitate the most efficient and effective incident management, it is critical that Federal, State, local, and tribal organizations utilize standardized terminology, standardized organizational structures, interoperable communications, consolidated action plans, unified command structures, uniform personnel qualification standards, uniform standards for planning, training, and exercising, comprehensive resource management, and designated incident facilities during emergencies or disasters; and

WHEREAS, the N.I.M.S. standardized procedures for managing personnel, communications, facilities and resources will improve the State's ability to utilize federal funding to enhance local and state agency readiness, maintain first responder safety, and streamline incident management processes; and

WHEREAS, the Incident Command System components of N.I.M.S. are already an integral part of various incident management activities throughout the State, including current emergency management training programs; and

WHEREAS, the National Commission on Terrorist Attacks (9-11 Commission) recommended adoption of a standardized Incident Command System;

NOW, THEREFORE, I, Rick Perry, Governor of Texas, by virtue of the power and authority vested in me by the Constitution and laws of the State of Texas as the Chief Executive Officer, do hereby order the following:

The National Incident Management System (N.I.M.S.) is hereby declared the State standard for incident management.

This executive order supersedes all previous orders on this matter that are in conflict or inconsistent with its terms and this order shall remain in effect and in full force until modified, amended, rescinded, or superseded by me or by a succeeding Governor.

Given under my hand this the 23rd day of February, 2005.

RICK PERRY
Governor
ATTESTED BY:
ROGER WILLIAMS
Secretary of State

GOVERNOR'S DIVISION OF EMERGENCY MANAGEMENT

Office of the Governor

RICK PERRY
Governor

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512-424-2138 Duty Hours
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Physical Address:
5805 N. Lamar Blvd.
Austin, Texas 78752

STEVEN McCRAW
Director
Office of Homeland Security

JACK COLLEY
State Coordinator

June 27, 2005

Dear Emergency Management Colleague:

Homeland Security Presidential Directive (HSPD) 5, *Management of Domestic Incidents,* directed the Department of Homeland Security to develop and administer the National Incident Management System (NIMS). The NIMS provides a consistent nationwide approach for Federal, State, territorial, tribal, and local governments to work effectively and efficiently together to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. On March 1, 2004, the Department of Homeland Security (DHS) issued the NIMS to provide a comprehensive national approach to incident management, applicable to all jurisdictional levels and across functional disciplines.

Governor Perry issued Executive Order RP 40 on February 23, 2005, adopting the NIMS as the statewide system to be used for emergency prevention, preparedness, response, recovery, and mitigation activities, as well as in support of all actions taken to assist local entities.

The US Department of Homeland Security has issued steps that State, territorial, tribal, and local entities should take during FY 2005 (October 1, 2004 – September 30, 2005) to become compliant with the NIMS. The State has further defined these requirements for local jurisdictions in the attached document. A copy of the full NIMS document can be found at www.dhs.gov or www.fema.gov/nims.

Implementation of and compliance with the NIMS is critical to ensuring full and robust preparedness across our state. HSPD-5 established ambitious deadlines for NIMS adoption and implementation. FY2005 is a start up year for NIMS implementation and full compliance with the NIMS is not required for you to receive FY 2005 grant funds. However, in order to receive FY 2006 preparedness grant funding, the minimum FY 2005 compliance requirements described in the attached documents must be met. Applicants will be required to certify as part of their FY 2006 grant applications that they have met the FY 2005 NIMS compliance requirements.

I look forward to working with you to ensure the State of Texas and all its local communities can meet this demanding challenge to continue to provide the best possible protection to your citizens. If you have further questions or issues, please don't hesitate to contact me. You may also contact my representative, Denita Powell at 512-424-2453 or by e-mail at denita.powell@txdps.state.tx.us.

Sincerely,

Jack Colley
State Coordinator

JC/dlp/kw

Attachments: 1. Summary of Texas NIMS Compliance Requirements
2. Expanded Definition of NIMS Requirements
3. The Texas Regional Response Network

cc: Emergency Management Coordinator
Regional Liaison Officer

Attachment 1
Summary of Texas NIMS Compliance Requirements

The following guidelines are the State requirements for NIMS compliance for Fiscal Year (FY) 2005 and 2006. All FY 2005 requirements must be completed no later than October 1, 2005 and FY 2006 requirements must be met no later than October 1, 2006 to be eligible for grant funding. Attachment 2 provides more detailed information on each of the requirements.

1. **Fiscal Year 2005 (Complete by October 1, 2005)**

   a. **Formal Adoption of NIMS/ICS.** Formally recognize the NIMS/ICS and adopt those principles and policies by city ordinance, county court order, or resolution. Forward a copy of the legal document to GDEM for incorporation into your file.

   b. **Strategy for Full NIMS Compliance.** Develop a strategy during 2005 that will allow full NIMS compliance no later October 1, 2006. This includes determining which requirements have already been met and establishing a timeframe for NIMS implementation. This can simply be an internal planning document on file within the local jurisdiction.

   c. **Institutionalizing the Use of the Incident Command System (ICS).** (See Attachment 2 for more information.

NOTE: Those jurisdictions receiving grant funding through the Emergency Management Performance Grant (EMPG) program have additional requirements levied during FY 2005. Please refer to your grant award packages for those requirements.

2. **Fiscal Year 2006 (Complete by October 1, 2006)**

   a. **Establish a NIMS Baseline.** Utilize NIMCAST or another assessment tool to show NIMS compliance. Although this requirement does not have to be completed until October 1, 2006, you should start your assessment while developing your strategy for NIMS compliance. A baseline assessment will be required in order to be eligible for FY 2007 grant funding.

   b. **Training.** All emergency response personnel in leadership positions must complete the NIMS Awareness Course, *National Incident Management System (IS 700), An Introduction* or an equivalent course.

   c. **Update your Emergency Management Plans to incorporate NIMS/ICS.** Your Emergency Management Plan (EMP) must be updated to incorporate the NIMS/ICS no later than October 1, 2006. In addition, standard operating guides and procedures must be updated. Copies of updated planning documents (including formal changes) must be sent to GDEM for review.

   d. **Exercises.** All exercises must include NIMS/ICS. After action reports must include evaluations of these systems. *Sample after action reports can be obtained from the* GDEM web site **www.txdps.state.tx.us/dem**.

e. **Mutual Aid Agreements.**

1) Jurisdictions should be party to mutual aid agreements with neighboring or nearby jurisdictions, as well as relevant private sector and non-governmental organizations.
2) Jurisdictions must use the Texas Regional Response Network (TRRN) to identify response assets available for use at the local and regional level for mutual aid support.

f. **Communications Interoperability.** Jurisdictions must continue to work with the Council of Governments on communications interoperability.

Attachment 2
Expanded Definition of NIMS Requirements

1. **Incident Management System**

   Fully integrate the NIMS/ICS into their preparedness, response, and recovery system for major accidents, disasters, or terrorist incidents.

   a. Counties and incorporated cities must formally adopt the NIMS/ICS principles and policies through court order or ordinance no later than October 1, 2005. A sample court order and city ordinance is available on the GDEM web site. Including NIMS/ICS in your Emergency Management Plan will not be sufficient to comply with this requirement. A copy of the court order, city ordinance, or resolution must be forwarded to GDEM for incorporation into your file.

   b. Those counties and cities that have not adopted the NIMS/ICS as identified above will not be eligible for Homeland Security ODP funding in FY 2006.

2. **Establish a NIMS Baseline Assessment.**

   a. A baseline assessment must be accomplished to show that the jurisdiction has met the NIMS compliance requirements. This is accomplished through NIMCAST or through other means, such as an evaluation through a contract organization or the use of a locally developed assessment tool. Any contract or locally developed tools must include an assessment of all areas of emergency management including operational response. (See the NIMCAST system for areas that should be included in the assessment.)

   b. The NIMS Integration Center (NIC) has developed the NIMS Capability Assessment Support Tool (NIMCAST). The NIMCAST is a web-based self-assessment system that States, territories, tribes, and local governments can use to evaluate their incident response and management capabilities. This useful tool identifies the requirements established within the NIMS and can assist you in determining the extent to which you are already compliant, as well as identify the NIMS requirements that you are not currently meeting. As gaps in compliance with the NIMS are identified, States, territories, tribes, and local entities should use existing initiatives; such as the Office for Domestic Preparedness (ODP) Homeland Security grant programs, to develop strategies for addressing those gaps.

      1) NIMCAST is currently available at www.fema.gov/nimcast. You can register on line for this assessment. As a jurisdiction, you should consider assigning a generic user ID and password, since several of your department directors may need to answer assessment questions.
      2) NIMCAST is not a required assessment, however, by October 1, 2006, all jurisdictions must have a baseline assessment for compliance with NIMS in order to be eligible for grant funds. The NIMCAST is a very good tool to use to accomplish this baseline assessment.
      3) Any identified shortcomings should be incorporated into your NIMS Strategy to ensure they are addressed and corrected as needed.
      4) Any shortcomings you are not capable of correcting at the local level should be forwarded to Johnna Cantrell, Homeland Security Supervisor, in our office at the

address listed at the top of this letter, for use in developing long-term strategies for the State.

3. Preparedness

a. Planning

1) During FY 2005, GDEM recommends local jurisdictions review and update (as needed) the following annexes to ensure they include the NIMS/ICS. After review, any changes to the documents may be made by full revision or page change. A copy of the revised annexes or changes will be forwarded to GDHEM for review and incorporation into your files.

   a) Basic Plan
   b) Annex I, Emergency Public Information
   c) Annex M, Resource Management
   d) Annex N, Command & Control
   e) Annex V, Terrorist Incident Response

2) During FY 2006, jurisdictions must complete integration of NIMS/ICS into the remaining annexes for your Emergency Management Plan. The entire Emergency Management Plan must be NIMS compliant by October 1, 2006 in order to be eligible for grant funding for FY 2007.

3) The State will provide updated Local Sample Planning documents, State Planning Standard Checklists, and Planning Notes for the FY 2005 recommendations, no later than June 30, 2005. The remaining documents will be updated no later than March 30, 2006. These documents will be added to the web site as they are completed.

b. Training.

1) The requirements for completion of IS 700 NIMS Awareness Course, has been extended. The following personnel must complete either an approved in-residence NIMS course (listed below) or take the IS 700 course by October 1, 2006.

   a) Executive Level – Political and government leaders, agency and organization administrators and department heads; personnel that fill ICS roles such as Unified Commanders, Incident Commanders, Command Staff, General Staff in either Area Command or single incidents; senior-level Multi-Agency Coordination System (regional emergency operations centers, etc.) personnel; EOC Section Chiefs, Branch Directors, Unit Leaders; and other emergency management/response personnel who require a higher level of ICS/NIMS Training.

   b) Managerial Level – Agency and organization management between the executive level and first level supervision; personnel who fill ICS roles as Branch Directors, Division/Group Supervisors, Unit Leaders, technical specialists; strike team and task force leaders, single resource leaders and field supervisors; midlevel Multi-Agency Coordination System personnel; EOC Section Chiefs, Branch Directors, Unit Leaders; and other emergency management/response personnel who require a higher level of ICS/NIMS Training.

2) Although the following courses are not required in order to qualify for grant funding, they can be completed in lieu of the IS 700 course.

   a) **Texas Forest Service Courses.**
      1. G-193, 24-Hour, National Incident Management System – Incident Command System Course.
      2. IS 700, NIMS Awareness Course.

   b) **Texas Engineering Extension Service (TEEX)**
      1. Incident Management System/Tabletop (ICS/TTX), 20-Hour course taught as part of the Weapons of Mass Destruction Exercise Program.
      2. Incident Command System (ICS) for Public Health, 20-Hour course taught as part of the WMD and the Department of State Health Services (DSHS) Exercise Programs.
      3. Incident Management/Unified Command (IM/UC) 24-Hour online basic awareness course.
      4. Enhanced Incident Management/Unified Command (IM/UC) 28-Hour Course.

3) Local jurisdictions should ensure that any contracted Incident Command System training includes NIMS as part of the curriculum. Only DHS/ODP can accredit a NIMS course.

4) The IS 700 course can be taught by local instructors, however, the instructor must use the approved course from the EMI web site and all students must take the end-of-course exam on the EMI Web Site. Please contact Bruce Woods at the Texas Forest Service at (979) 458-7362 or by E-Mail at bwoods@tfs.tamu.edu or Harold Martin at GDEM at (512) 424-2195 or by E-Mail at harold.martin@txdps.state.tx.us with any questions on this course.

5) The Texas Forest Service must certify all NIMS training curriculum that is not delivered through an approved State or Federal agency prior to obtaining DHS/ODP accreditation. Please contact Bruce Woods at TFS for more information.

6) Development and use of a centralized tracking system is recommended.

d. Exercises.

1) Jurisdictions should begin the process of integrating the NIMS into exercises.

2) All State-sponsored exercises will include the NIMS/ICS during FY 2005.

3) Effective October 1, 2005, all local exercises must include the NIMS/ICS in the evaluation in order to obtain credit for Federal or State assistance funding.

4. Mutual Aid Agreements

a. *Each jurisdiction should be party to a mutual aid agreement* with all neighboring or nearby jurisdictions, as well as relevant private sector and non-governmental organizations.

b. Jurisdictions should continue to work with the Councils of Government to develop and join regional mutual aid agreements.

c. Jurisdictions must use the Texas Regional Response Network (TRRN) to identify response assets available for use at the local and regional level for mutual aid support. If mutual aid assets are available, the equipment must be entered into the system no later than October 1, 2006.

5. Resource Management

a. Update and/or review your Annex M, Resource Management to your Emergency Management Plan. An updated local sample annex, State Planning Standard, and planning notes will be available on the GDEM web site no later than June 30, 2005 to assist with this task.

b. Identify all response resources by the Resource Typing Definitions developed by FEMA and NEMA.

c. Resource typing definitions provide emergency managers with the information they need to request and receive the resources they need during an emergency or disaster. Typed definitions for 120 response resources have been completed. Like the Glossary, the Resource Typing Definitions will be continuously updated, revised, and expanded. Eight groups representing key functional disciplines consisting of federal, state and local specialists were part of the effort to develop the definitions. Resources are classified by 'Category' which refers to function and 'Kind,' to include teams, personnel, equipment, and supplies. Information about the level of capability is referred to as 'Type,' which is a measure of minimum capabilities to perform the function. Type I implies a higher capability than Type II. The metrics shown for each resource are measurements of standards and are applicable to like resources.

d. The Texas Regional Response Network (TRRN) can help you with this task. In addition to the 120 types identified, the Texas Forest Service has added types for equipment not already identified. See Attachment 3 for more information on this system.

6. Communications, Information Management, and Supporting Technology

Continue to work with the Council of Governments on communications interoperability.

Attachment 3
The Texas Regional Response Network (TRRN)

1. For two years the Governor's Division of Emergency Management (GDEM) has contracted with the Texas Forest Service to develop a comprehensive, user-friendly database for use by state and local jurisdictions. The purpose of the Texas Regional Response Network (T.R.R.N.) is to aid in response and planning efforts by allowing system users to collect and retrieve resource information. Basically, it is a computerized filing system for potentially available resources and equipment. The system allows users to:

   a. Enter data on fire, law enforcement, search and rescue, public works, and other state and local emergency resources using the national Resources Typing System. This data can be entered for local use only or identified as mutual aid resources available to other jurisdictions.
   b. Search for resources by category, type, county, Council of Government, Disaster District, or from a user selected location.
   c. Apply on-line for system access.
   d. Display search results on an interactive map.
   e. Provide points of contact information for mutual aid resources requests.

2. The TRRN system can be accessed at two websites. The operational system is located at **www.trrn.state.tx.us** and is hosted at a secured AT & T server complex.

3. A training site is located at **http://trrn.tamu.edu/training** and contains some sample resource data. Functionally this application is identical to the operational site, however the data in this system if for training purposes only.

4. The TRRN was adopted as the Statewide Mutual Aid Database in November 2004. Use of this system is mandatory for all jurisdictions to participate in the FY 2006 preparedness grant program. Jurisdictions must have entered all equipment within their community that is available for mutual aid assistance to other jurisdictions during response. The State has started this process by:

   a. Entering large equipment items that were purchased through the Homeland Security ODP grant funds during the past three years. Equipment purchased for local and regional use. This process is ongoing and may take several months.
   b. Working with the Council of Governments to identify and enter regional response equipment not purchased through the ODP funds.

5. Those jurisdictions that already have resources identified in another software product should work with the Texas Forest Service to explore methods of downloading the information to the TRRN.

6. **Contact TFS, Don Galloway at .** Don Galloway 979-458-6507 or dgalloway@tfs.tamu.edu for more information or questions.

FEMA

Fact Sheet

Revised: March 2007
NIMS Integration Center
202-646-3850

NIMS ICS-100 TRAINING: WHO MUST TAKE IT, WHAT IT COVERS

All Federal, State, territorial, tribal, private sector and nongovernmental personnel at the following levels of responsibility in emergency management operations – first-line supervisor (Sergeant/Lieutenant), mid-level management (Captain/Shift Commander) and command (Battalion Chief/Division Chief/ District Commander/PIO) and general staff (Operations/Planning/Logistics/Finance-Admin).*

To obtain the ICS-100 course materials or take the course online go to http://www.training.fema.gov/EMIWeb/IS/is100.asp

The course is designed to be taken online or course materials may be downloaded and used in a group or classroom setting. Answer sheets may be obtained by calling the EMI Independent Study Office at (301) 447-1256 or ordered online at: http://www.training.fema.gov/EMIWeb/IS/ansreq.asp

Approved ICS-100 level training may be developed and conducted by Federal, State, tribal, and local agencies as well as private training vendors however it must include the following topics and objectives.

* Purpose of ICS: Identify requirements to use ICS, three purposes of ICS and common incident tasks.
* Basic Features of ICS: Describe the basic features of ICS.
* Incident Commander and Command Staff Functions: Describe the role and function of the Incident Commander and Command Staff.
* General Staff Functions: Describe the role and function of the Operations, Planning, Logistics and Finance/Administration sections.
* Facilities: Describe the six basic ICS facilities, identify facilities that may be located together, and identify facility map symbols.
* Common Responsibilities: Describe common mobilization responsibilities and common responsibilities at an incident, list individual accountability responsibilities, and describe common demobilization responsibilities.

** All Federal, State, Tribal and local emergency personnel need to decide who within their organizations should take this training.*

Supersedes Fact Sheet, NIMS ICS-100 TRAINING in FY06: WHO MUST TAKE IT, WHAT IT COVERS, dated Dec 2005

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www.fema.gov/emergency/nims
NIMS-Integration-Center@dhs.gov

FEMA

Fact Sheet

Revised: March 2007
NIMS Integration Center
202-646-3850

IS-700 NIMS Awareness Training: Who Must Take It, What It Covers

Who must take IS-700 NIMS? All personnel with a direct role in emergency preparedness, incident management or response must complete NIMS IS-700.

IS-700 NIMS: An Introduction is a Web-based awareness level course that explains NIMS components, concepts and principles. Although it is designed to be taken online interactively, course materials may be downloaded and used in a group or classroom setting.

To obtain the ICS-100 course materials or take the course online go to
http://www.training.fema.gov/EMIWeb/IS/is700.asp

Who must take IS-700?

Executive Level – Political and government leaders, agency and organization administrators and department heads; personnel that fill ICS roles as Unified Commanders, Incident Commanders, Command Staff, General Staff in either Area Command or single incidents; senior level Multi-Agency Coordination System personnel; senior emergency managers; and Emergency Operations Center Command or General Staff.

Managerial Level – Agency and organization management between the executive level and first level supervision; personnel who fill ICS roles as Branch Directors, Division/Group Supervisors, Unit Leaders, technical specialists, strike team and task force leaders, single resource leaders and field supervisors; midlevel Multi-Agency Coordination System personnel; EOC Section Chiefs, Branch Directors, Unit Leaders; and other emergency management/response personnel who require a higher level of ICS/NIMS Training.

Responder Level – Emergency response providers and disaster workers, entry level to managerial level including Emergency Medical Service personnel; firefighters; medical personnel; police officers; public health personnel; public work/utility personnel; and other emergency management response personnel.

Note: Multi-Agency Coordination System personnel include those persons who are charged with coordinating and supporting incident management activities. These emergency management personnel typically function from an emergency operations center.

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www.fema.gov/emergency/nims
NIMS-Integration-Center@dhs.gov

ICS COMMAND STAFF POSITIONS

ALL ICS COMMAND AND GENERAL STAFF POSITIONS REQUIRE THE COMPLETION OF THE FOLLOWING TRAINING COURSES:

ICS 100 Introduction to ICS
ICS 200 Basic ICS
ICS 300 Intermediate ICS
ICS 400Advanced ICS
IS 700 NIMS Introduction
IS 800-B National Response Framework

INCIDENT COMMANDER

The Incident Commander's responsibility is the overall management of the incident. On most incidents the command activity is carried out by a single Incident Commander. The Incident Commander is selected by qualifications and experience. The Incident Commander may have a Deputy I.C., who may be from the same agency, or from an assisting agency. Deputy positions may also be used at section and branch levels of the ICS organization. Deputy positions must have the same qualifications as the person for whom they work as they must be ready to take over that position at any time.

Responsibilities:

- Assess the situation and/or obtain a briefing from the prior Incident Commander.
- Determine Incident Objectives and strategy.
- Establish the immediate priorities.
- Establish an Incident Command Post.
- Establish an appropriate organization.
- Ensure planning meetings are scheduled as required.
- Approve and authorize the implementation of an Incident Action Plan.
- Ensure that adequate safety measures are in place.
- Coordinate activity for all Command and General Staff.
- Coordinate with activated DOCs and EOCs as required.
- Coordinate with key people and officials.
- Approve requests for additional resources or for the release of resources.
- Keep agency administrator informed of incident status.
- Approve the use of trainees, volunteers, and auxiliary personnel.
- Authorize release of information to the news media.
- Order the demobilization of the incident when appropriate.

Incident Commander for Foreseeable Campus Emergencies:
Assistant Vice President for Public Safety & Security/Chief of Police
Assistant Chief of Police
Fire Marshal

December 5, 2008

INFORMATION OFFICER

The Information Officer is responsible for developing and releasing information about the incident to the news media, to incident personnel, and to other appropriate agencies and organizations. Only one Information Officer will be assigned for each incident, including incidents operating under Unified Command and multi-jurisdiction incidents.

The Information Officer may have assistants as necessary, and the assistants may also represent assisting agencies or jurisdictions.

Responsibilities

Agencies have different policies and procedures relative to the handling of public information.

- Determine from the Incident Commander if there are any limits on information release.
- Develop material for use in media briefings.
- Coordinate and validate information with Information Officers at agency DOCs and EOCs when activated, to ensure consistency.
- Obtain Incident Commander's approval of media releases.
- Inform media and conduct media briefings.
- Arrange for tours and other interviews or briefings that may be required.
- Obtain media information that may be useful to incident planning.
- Maintain current information summaries and/or displays on the incident and provide information on status of incident to assigned personnel.
- Maintain Unit Log.

Information Officer for Foreseeable Campus Emergencies:

AVC/AVP, University Relations
Executive Director, Communications
Director, Media Relations

LIAISON OFFICER

Incidents that are multi-jurisdictional, or have several agencies involved, may require the establishment of the Liaison Officer position on the Command Staff. The Liaison Officer is the contact for the personnel assigned to the incident by assisting or cooperating agencies. These are personnel other than those on direct tactical assignments or those involved in a Unified Command.

Responsibilities and Duties:

- Be a contact point for Agency Representatives .
- Maintain a list of assisting and cooperating agencies and Agency Representatives .
- Assist in establishing and coordinating inter-agency contacts.
- Keep agencies supporting the incident aware of incident status.
- Monitor incident operations to identify current or potential inter-organizational problems.
- Participate in planning meetings, providing current resource status, including imitations and capability of assisting agency resources.
- Maintain Unit Log.

Liaison Officer for Foreseeable Campus Emergencies:
AVC/AVP, Legal Affairs/General Counsel
Executive Associate to the Chancellor/President
Assistant VC for Planning & Initiatives

SAFETY OFFICER

The Safety Officer's function is to develop and recommend measures for assuring personnel safety, and to assess and/or anticipate hazardous and unsafe situations. Only one Safety Officer will be assigned for each operational period of an incident. The Safety Officer may have assistants as necessary, and the assistants may also represent assisting agencies or jurisdictions. Safety Assistants may have specific responsibilities such as air operations, hazardous materials, etc.

Responsibilities:

- Participate in planning meetings.
- Identify hazardous situations associated with the incident.
- Review the Incident Action Plan for safety implications.
- Exercise emergency authority to stop and prevent unsafe acts that are outside the scope of the Incident Action Plan.
- Investigate accidents that have occurred within the incident area.
- Assign assistants as needed.
- Review and approve the medical plan.
- Maintain Unit Log.

Safety Officer for Foreseeable Campus Emergencies:
Assistant Chief of Police
Fire Marshal
Director of Environmental Health and Risk Management

ICS GENERAL STAFF POSITIONS

OPERATIONS SECTION

The Operations Section is responsible for managing tactical operations at the incident site directed toward reducing the immediate hazard, saving lives and property, establishing situation control, and restoring normal conditions. Incidents can include acts of terrorism, wildland and urban fires, floods, hazardous material spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, war-related disasters, public health and medical emergencies, and other incidents requiring an emergency response.

Operations Section Chief directly manages all incident tactical activities and implements the IAP. The Operations Section Chief may have one or more deputies (preferably from other agencies in multijurisdictional incidents). Deputies will be qualified to a similar level as the Operations Section Chief. An Operations Section Chief should be designated for each operational period and will have direct involvement in the preparation of the IAP for the period of responsibility.

Responsibilities:

- Manage tactical operations. Interact with next level lower in the Section, (Branch, Division/Group) to develop the operations portion of the Incident Action Plan. Request resources needed to implement Operational tactics as a part of the Incident Action Plan development (ICS 215).
- Assist in development of the Operations portion of the Incident Action Plan.
- Supervise the execution of the Incident Action Plan for Operations. Maintain close contact with subordinate positions. Ensure safe tactical operations.
- Request additional resources to support tactical operations.
- Approve release of resources from assigned status (not release from the incident).
- Make or approve expedient changes to the Incident Action Plan during the Operational Period as necessary.
- Maintain close communication with the Incident Commander.
- Coordinate with activated Operations Sections at agency DOCs and EOCs.
- Maintain Unit Log.

Operations Section Chief for Foreseeable Campus Emergencies:

AVC/AVP, Plant Operations
AVP, Student Affairs Administration
Executive VC/VP, Academic and Faculty Affairs

PLANNING/INTELLIGENCE SECTION

The Planning/Intelligence Section collects, evaluates, processes, and disseminates information for use at the incident. When activated, the Section is managed by the Planning/Intelligence Section Chief who is a member of the General Staff. There are four units within the Planning/Intelligence Section that can be activated as necessary:

- **Resources Unit**
- **Situation Unit**
- **Documentation Unit**
- **Demobilization Unit**

Planning/Intelligence Section Chief oversees all incident-related data gathering and analysis regarding incident operations and assigned resources, develops alternatives for tactical operations, conducts planning meetings, and prepares the IAP for each operational period. This individual will normally come from the jurisdiction with primary incident responsibility and may have one or more deputies from other participating jurisdictions.

Responsibilities:

- Collect and process situation information about the incident.
- Supervise preparation of the Incident Action Plan.
- Provide input to the Incident Commander and Operations Section Chief in preparing the Incident Action Plan.
- Reassign out-of-service personnel already on-site to ICS organizational positions as appropriate.
- Establish information requirements and reporting schedules for Planning/Intelligence Section units (e.g., Resources, Situation Unit).
- Determine need for any specialized resources in support of the incident.
- If requested, assemble and disassemble strike teams, task forces, platoons, or squads not assigned to operations.
- Establish special information collection activities as necessary, e.g., weather, environmental, toxics, etc.
- Assemble information on alternative strategies.
- Provide periodic predictions on incident potential.
- Report any significant changes in incident status.
- Compile and display incident status information.
- Oversee preparation of Incident demobilization plan.
- Incorporate the incident traffic plan (from Ground Support) and other supporting plans into the Incident Action Plan.
- Coordinate with Planning/Intelligence Sections at activated agency DOCs and EOCs
- Maintain Unit Log.

Planning/Intelligence Section Chief for Foreseeable Campus Emergencies:
Lieutenant, Emergency Management/Professional Services
Director, Planning
Manager, Telecommunications

LOGISTICS SECTION

All incident support needs are provided by the Logistics Section, with the exception of aviation support. Aviation support is handled by the Air Support Group in the Air Operations Branch. The Logistics Section is managed by the Logistics Section Chief, who may assign a Deputy. A Deputy is most often assigned when all designated units (listed below) within the Logistics Section are activated.

Six units may be established within the Logistics Section:

- **Support Branch**
  - **Supply Unit**
  - **Facilities Unit**
  - **Ground Support Unit**

- **Service Branch**
  - **Communications Unit**
  - **Food Unit**
  - **Medical Unit**

Logistics Section Chief is responsible for providing facilities, services, and material in support of the incident. The LSC participates in the development and implementation of the Incident Action Plan (IAP) and activates and supervises the Branches and Units within the Logistics Section.

The Logistics Section Chief will determine the need to activate or deactivate a unit. If a unit is not activated, responsibility for that unit's duties will remain with the Logistics Section Chief.

Responsibilities:

- Manage all incident logistics.
- Provide logistical input to the IC in preparing the Incident Action Plan.
- Brief Branch Directors and Unit Leaders as needed.
- Identify anticipated and known incident service and support requirements.
- Request additional resources as needed.
- Review and provide input to the Communications Plan, Medical Plan and Traffic Plan.
- Supervise requests for additional resources.
- Coordinate with activated Logistics Sections at agency DOCs and EOCs.
- Oversee demobilization of Logistics Section.

Logistics Section Chief for Foreseeable Campus Emergencies:

AVP, University Services
Director, Purchasing
Associate Director, Residential Life and Housing Operations

FINANCE/ADMINISTRATION SECTION

The Finance/Administration Section is responsible for managing all financial aspects of an incident. Not all incidents will require a Finance/Administration Section. Only when the involved agencies have a specific need for Finance/Administration services will the Section be activated. There are four units which may be established within the Finance/Administration Section:

- **Time Unit**
- **Procurement Unit**
- **Compensation/Claims Unit**
- **Cost Unit**

Finance/Administration Section Chief tracks and reports to the IC the financial "burn rate" as the incident progresses. This allows the IC to forecast the need for additional funds before operations are affected negatively. This is particularly important if significant operational assets are under contract from the private sector. The Section Chief may also need to monitor cost expenditures to ensure that statutory rules that apply are met. Close coordination with the Planning Section and Logistics Section is also essential so that operational records can be reconciled with financial documents.

Responsibilities:

- Manage all financial aspects of an incident.
- Provide financial and cost analysis information as requested.
- Gather pertinent information from briefings with responsible agencies.
- Develop an operating plan for the Finance/Administration Section; fill supply and support needs.
- Determine need to set up and operate an incident commissary.
- Meet with Assisting and Cooperating Agency Representatives as needed.
- Maintain daily contact with agency DOCs or EOCs on Finance/Administration matters. This is particularly critical in proclaimed disasters where State and Federal reimbursement is likely.
- Ensure that all personnel time records are accurately completed and transmitted to home agencies, according to policy.
- Provide financial input to demobilization planning.
- Ensure that all obligation documents initiated at the incident are properly prepared and completed.
- Brief agency administrative personnel on all incident-related financial issues needing attention or follow-up.

Finance/Administration Section Chief for Foreseeable Campus Emergencies:

Executive Director, Finance
Director of Environmental Health & Risk Management
AVC/AVP, Finance

NIMS Incident Types

Type 5	■ The incident can be handled with one or two single resources with up to six personnel. ■ Command and General Staff positions (other than the Incident Commander are not activates. ■ No written Incident Action Plan (IAP) is required. ■ The incident is contained within the first operational period and often within an hour to a few hours after resources arrive on the scene. ■ Examples include a vehicle fire, an injured person, or a police traffic stop.
Type 4	■ Command and General Staff functions are activated only if needed. ■ Several resources are required to mitigate the incident. ■ The incident is usually limited to one operational period in the control phase. ■ The agency administrator may have briefings, and ensure the complexity analysis and delegation of authority are updated. ■ No written Incident Action Plan (IAP) is required but a documented operational briefing will be completed for all incoming resources. ■ The role of the agency administrator includes operational plans including objectives and priorities. ■ Examples include a building fire or large protest/rally.
Type 3	■ When capabilities exceed initial emergency response, the appropriate ICS positions should be added to match the complexity of the incident. ■ Some or all of the Command and General Staff positions may be activated, as well as Division/Group supervisor and/or Unit Leader level positions. ■ A Type 3 Incident Management Team (IMT) or incident command organization manages initial action incidents with a significant number of resources, an extended attack incident until containment/control is achieved, or an expanding incident until transition to a Type 1 or 2 team. ■ The incident may extend into multiple operational periods. ■ A written IAP may be required for each operational period. ■ Examples include a chemical leak with evacuation, tropical storm/hurricane or a hostage stand-off.
Type 2	■ This type of incident extends beyond the capabilities for local control and is expected to go into multiple operational periods. A Type 2 Incident may require the response of resources out of area, including regional and/or national resources, to effectively manage the operations, command and general staffing. ■ Most or all of the Command and General Staff positions are filled. ■ A written IAP is required for each operational period. ■ Many of the functional units are needed and staffed. ■ Operations personnel normally do not exceed 200 per operational period and total incident personnel do not exceed 500 (guidelines only). ■ The agency administrator is responsible for the incident complexity analysis, agency administrator briefings, and the written delegation of authority. ■ Examples include a devastating flood or earthquake.
Type 1	■ This type of incident is the most complex, requiring national resources to safely and effectively manage and operate. ■ All Command and General Staff positions are activated. ■ Operations personnel often exceed 500 per operational period and total incident personnel will usually exceed 51,000. ■ Branches need to be established. ■ The agency administrator will have briefings, and ensure that the complexity analysis and delegation of authority are updated. ■ Use of resource advisors at the incident base is recommended. ■ There is a high impact on the local jurisdiction, requiring additional staff for office administrative and support functions. ■ Examples include a major terroristic attack, or a Katrina level disaster.

12/5/2008

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Finance and Administration

ITEM: Banking and investment resolutions for University of Houston System

DATE PREVIOUSLY SUBMITTED:

SUMMARY: Approval is requested to amend the resolutions for banking and investment accounts. The amendments are due to personnel changes as indicated below.

All Banking resolutions	Add:	Tom Ehardt Associate Vice Chancellor for Finance
	Delete:	Jim McShan
All Investment resolutions	Add:	Tom Ehardt Associate Vice Chancellor for Finance
	Delete:	Jim McShan

FISCAL NOTE:

SUPPORTING DOCUMENTATION: Summary of authority for resolutions

ACTION REQUESTED: Approval

COMPONENT: University of Houston System

Renu Khator
PRESIDENT Renu Khator **DATE** 11/25/08

EXECUTIVE VICE CHANCELLOR Carl Carlucci **DATE** 11/20/08

Renu Khator
CHANCELLOR Renu Khator **DATE** 11/25/08

University of Houston System
Office of the Treasurer
Board Approved Staff Signatory / Wire Transfer Authority
As of December 16, 2008

UH System Component	Account Name	Primary Account Purpose	Signatory & Wire Authority	Title	Comments
University of Houston	Disbursement	Fund clearing of checks issued by the University of Houston main campus	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	Credit Card Clearing	Receive credit card payments from merchant activity throughout UH campus	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	Operating	Primary depository account for checks, fed wire & ach transactions, etc. at UH	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
UH Clear Lake	Disbursement	Fund clearing of checks issued by UH Clear Lake	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	Credit Card Clearing	Receive credit card payments from merchant activity at CL campus	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	Operating	Primary depository account for checks, fed wire & ach transactions, etc. at UHCL	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
UH Downtown	Disbursement	Fund clearing of checks issued by UH Downtown	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	Credit Card Clearing	Receive credit card payments from merchant activity throughout UHD campus	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	Operating	Primary depository account for checks, fed wire & ach transactions, etc. at UHD	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority

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University of Houston System
Office of the Treasurer
Board Approved Staff Signatory / Wire Transfer Authority
As of December 16, 2008

UH System Component	Account Name	Primary Account Purpose	Signatory & Wire Authority	Title	Comments
UH Victoria	Disbursement	Fund clearing of checks issued by UH Victoria	Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
			Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Admin. & Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	Operating	Primary depository account for checks, fed wire & ach transactions, etc. at UHV	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
System Administration	Operating	Primary depository account for checks, fed wire & ach transactions, etc. at Sys. Admin.	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	Disbursement	Fund clearing of checks issued by UH System Administration	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	Payroll Clearing	Fund the issuance of payroll checks for all UH System components	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	Payroll Direct Deposit	Fund the issuance of direct deposit payroll for all UH System components	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	Master Concentration	Fund payroll accounts and act as the clearing account for all excess or deficit funds movement from/to UH System operating accounts and the sweep account	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority
	(1) Student Loan Repayment	Receipt of federal student loan repayment proceeds for all campuses	Carl P. Carlucci	Exec. Vice Chancellor for Admin. and Finance	Existing authority
			Tom Ehardt	Assoc. Vice Chancellor for Finance	Add authority
			Raymond S. Bartlett	Treasurer	Existing authority
			Roberta Puryear	Assistant Treasurer	Existing authority
			E. A. Montgomery	Manager, Treasury Operations	Existing authority
			Sheryl L. Walton	Manager, Cash & Bank Administration	Existing authority

(1) Account with US Bank

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UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Finance and Administration Committee

ITEM: Purchase Order for Public Broadcasting Service

DATE PREVIOUSLY SUBMITTED:

SUMMARY

Approval is requested to continue KUHT's 100% participation in the Public Broadcasting Service's National Program Service, Member Service, and Station Independence Programs for Fiscal Year 2009.

Public Broadcasting Service – 2009 fees $1,959,200
Paid by CPB Community Service Grant $1,361,093 with the remainder paid from local funds Dept H0436

FISCAL NOTE: $1,959,200.00

SUPPORTING DOCUMENTATION: Purchase Order

ACTION REQUESTED: Approval

COMPONENT: University of Houston

Renu Khator
PRESIDENT Renu Khator 11/25/08 **DATE**

EXECUTIVE VICE CHANCELLOR Carl Carluci 11/20/08 **DATE**

Renu Khator
CHANCELLOR Renu Khator 11/25/08 **DATE**

Requisition Coversheet

Requisition # 0000014889

Business Unit: 00730
Dept. Name: KUHT-TV
H0008
Address: KUHT-TV
4343 ELGIN LOBBY

Requestor: DAVIDE David,Ella Mae
Requestor Ph #:

Vendor ID: 0000004329
Name: PUBLIC BROADCASTING SERVICE
Address: 10
14400 COLLECTIONS CENTER DR
CHICAGO, IL 60693
USA

Phone:

Fax:

Gross Amount: $1,959,200.00

Budget Check: Valid

Line #	Account	Fund	Dept ID	Program	Project	Budget Ref	Chartfield 1	Amount
1-1-1	53501	5021	H0436	C0001	G097931			1,333,703.00
2-1-1	53501	4041	H0436	C0645	NA	BP2009		252,320.00
3-1-1	54803	5021	H0436	C0001	G097928			27,390.00
4-1-1	54803	4041	H0436	C0643	NA	BP2009		205,734.00
5-1-1	53501	4041	H0436	C0645	NA	BP2009		127,492.00
6-1-1	53501	4041	H0436	C0645	NA	BP2009		9,828.00
7-1-1	53501	4041	H0436	C0645	NA	BP2009		2,733.00

Line #	Category	Description	Quantity	UOM	Price	Ext. Amount
1	91515	FY09 National Program Service Assessment for KUHT-TV (NPS)	1.0000	LOT	1,333,703.00000	1,333,703.00
2	91515	FY09 National Program Service Assessment for KUHT (NPS)	1.0000	LOT	252,320.00000	252,320.00
3	91515	FY09 Member Service Assessment (MSA)	1.0000	LOT	27,390.00000	27,390.00
4	91515	FY09 Member Service Assessment (MSA)	1.0000	LOT	205,734.00000	205,734.00
5	91515	FY09 Station Independance Program (PFP)	1.0000	LOT	127,492.00000	127,492.00
6	91515	FY09 Plus Assessment	1.0000	LOT	9,828.00000	9,828.00
7	91515	FY09 Estimated Copyright Assessment	1.0000	LOT	2,733.00000	2,733.00

P/B: Membership fees and purchase rights to broadcast PBS programs. Allows KUHT-TV to continue ot's mission of outreach to the community.

Prior PO: 730.. 16503

Any questions call Ella @ 3-8424

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Finance and Administration Committee

ITEM: Appointment of Members to the Systemwide Art Acquisition Committee

DATE PREVIOUSLY SUBMITTED:

SUMMARY: Approval is requested for the appointment of members to serve on the Systemwide Art Acquisition Committee.

FISCAL NOTE:

SUPPORTING DOCUMENTATION: Committee Membership and Charge to the Committee

ACTION REQUESTED: Approval

COMPONENT: University of Houston System

Renu Khator
PRESIDENT Renu Khator **DATE** 11/25/08

EXECUTIVE VICE CHANCELLOR Carl Carlucci **DATE** 11/20/08

Renu Khator
CHANCELLOR Renu Khator **DATE** 11/25/08

System Wide Art Acquisition Committee Roster

Name	Affiliation/Museum	Expiration
Welcome W. Wilson	Regent	Indefinite Term
Michele 'Mica' Mosbacher	Regent	Indefinite Term
David Irvin (Interim Director for Facilities, Planning and Construction for UH)	Chair, SWAAC	Indefinite Term
Elizabeth Ghrist	Comm. Representative	December 31, 2009
Mariana Servitje	Comm. Representative	December 31, 2009
Vacant	Comm. Representative	
Clint Willour	Galveston Arts Center	Indefinite
Kim Davenport	Rice University Art Gallery	Indefinite
Alison de Lima Greene	Museum of Fine Arts	Indefinite
Toby Kamps	Contemporary Arts Museum	Indefinite
Franklin Sirmons	Menil Collection	Indefinite
Claudia Schmuckli (temp.)	Blaffer Gallery	Indefinite
Charles Alcorn	UH Victoria	December 31, 2009
Mark Cervenka	UH Downtown	December 31, 2009
Mary Ann Shallberg	UH Clear Lake	December 31, 2009
Michael Guidry	Ad Hoc Member	Indefinite

Charge to the Systemwide Art Acquisition Committee (SWAAC)

This committee has been formed in an advisory capacity to the University of Houston Board of Regents, Chancellor, and Presidents, to aid in the building of a distinguished collection of twentieth and twenty-first century American art for all universities of the University of Houston System.

The Board of Regents of the University of Houston approved the acquisition of public art in 1966 to be funded under state and federal laws. These acquisitions are to be financed in whole or part by the 1% for Art Program, which was enacted into law in the State of Texas in 1969.

This Committee has been formed to select and acquire a notable collection for the benefit of the universities and community at large. For the System to be recognized for its appreciation of learning and imaginative innovation that characterize the best original research and creative performance in the arts, the artwork collected and displayed must come about as a result of informed and reasoned judgments by those most qualified to make them.

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Finance and Administration

ITEM: Purchase of 4902 Gulf Freeway Property

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

Approval is requested for the purchase of the "4902 Gulf Freeway Property" a five +/- acre parcel improved with a 103,000 square foot warehouse and office facility located south of I-45 Gulf Freeway between the UH Campus and University Business Park. The property is owned by S. N. G. Associates of Texas Limited Partnership. The purchase price will not exceed $2.5 million.

FISCAL NOTE:

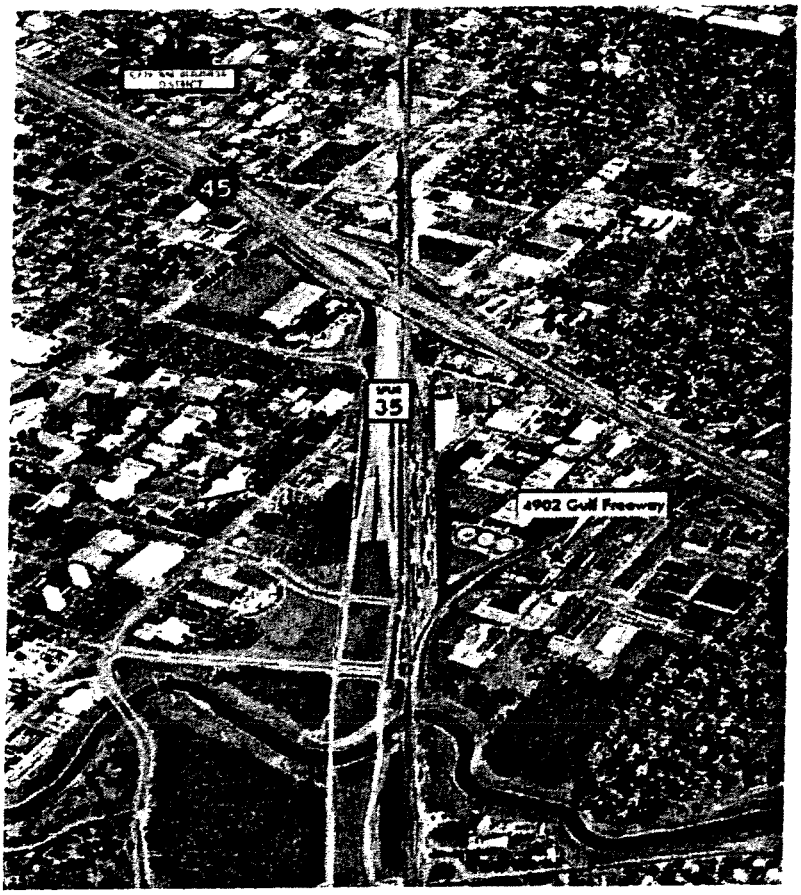
SUPPORTING DOCUMENTATION: 4902 Gulf Freeway Property Summary

ACTION REQUESTED: Approval

COMPONENT: University of Houston

PRESIDENT Renu Khator	Renu Khator	**DATE** 12/3/08
EXECUTIVE VICE CHANCELLOR	Carl Carlucci	**DATE** 12/03/08
CHANCELLOR Renu Khator	Renu Khator	**DATE** 12/3/08

4902 Gulf Freeway Warehouse Property



4902 Gulf Freeway

Five acre site improved with 103,325 sf warehouse-office facility located adjacent to University Business Park (on east) and west of the UPRR Tracts and Spur 5. Property represents a flexible facility to accommodate variety of UH storage and office needs. It is well positioned to assimilate into the overall University Business Park Campus. Anticipated purchase price, $2.5M +/- represents an attractive value. Due diligence assessment of property and negotiation of contract terms underway with anticipated conclusion December 15 and if acquisition proves worthwhile, closing December 18, 2008.

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Finance and Administration

ITEM: Contract to Provide Electrical Service for the University of Houston System

DATE PREVIOUSLY SUBMITTED: N/A

SUMMARY:
The existing electrical service supply contract will expire March 2009. The UH System, through a Request for Proposal bidding procedure, will select the provider offering the most economical and reliable source for electrical energy. Approval is requested for a Delegation of Authority to the Chancellor to negotiate and execute the contract with the selected provider upon agreement of the General Terms and Conditions. Breakdown of estimated University of Houston System costs at points of use are as follows:

UH	$22,350,000
UH-CLEAR LAKE	3,000,000
UH-DOWN TOWN	2,100,000
UH-VICTORIA	320,000
UHS SUGARLAND	150,000
UH-CINCO RANCH	80,000
TOTAL	$28,000,000

FISCAL NOTE: Estimated annual UH System expenditure: $28,000,000.

SUPPORTING DOCUMENTATION: Electricity Contract, Proposed Timeline

ACTION REQUESTED: Approval

COMPONENT: University of Houston System

Renu Khator
PRESIDENT Renu Khator **DATE** 11/25/08

EXECUTIVE VICE CHANCELLOR Carl Carlucci **DATE** 11/20/08

Renu Khator
CHANCELLOR Renu Khator **DATE** 11/25/08

University of Houston System
Electricity Contract, Proposed Timeline

Date	Event
November 26,2008	Issue RFP
December 9, 2008	Deadline for Questions
December 9, 2008	Regents Committee Approve Delegation to Chancellor
December 16, 2008	Regents Approve Delegation to Chancellor
December 16, 2008	Initial Proposals Due
December 17, 2008	Commence Evaluating Top Respondents
Dec. 17, 2008-Jan. 26, 2009	Study Market for Optimal Final Bid Timing
By January 26, 2009	Obtain Best and Final Pricing
Jan. 26-Feb.15, 2009	Finalize and Sign Contract
Feb. 15-March 15, 2009	Arrange for Meter Conversion to New Electrical Provider
April 1, 2009	New Contract Begins with First Meter Reads

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Finance and Administration

ITEM: Ratification of Emergency Contracts related to Hurricane Ike

DATE PREVIOUSLY SUBMITTED: N/A

SUMMARY:

Approval is requested for contracts issued for emergency repairs made to university facilities associated with Hurricane Ike recovery. In accordance with Board Policy 55.01.02, Subsection E, the Chancellor was previously delegated authority to write contracts associated with Hurricane Ike recovery that would otherwise require Board approval, provided that these contracts would be submitted for Board approval at the next Board meeting.

Only one contract was issued as a result of this delegation. This $2.2 million contract was awarded to Roadrunner for services related to build back in the College of Architecture.

FISCAL NOTE: Source of Funds:

SUPPORTING DOCUMENTATION: Presentation on status of Hurricane Ike build back.

ACTION REQUESTED: Approval

COMPONENT: University of Houston System

Renu Khator — 11/25/08
PRESIDENT Renu Khator **DATE**

[signature] — 11/20/08
EXECUTIVE VICE CHANCELLOR Carl Carlucci **DATE**

Renu Khator — 11/25/08
CHANCELLOR Renu Khator **DATE**

Summary of Emergency Contracts related to Hurricane Ike

The Roadrunner Contract for Ike damage at the College of Architecture is a not to exceed $2.2M contract for the initial emergency work, damaged material removal, emergency equipment and initial buildback of the College of Architecture building after Hurricane Ike. The contract requires detailed time sheets, invoices and other documentation for every submitted charge against this contract. Each submittal is compared to wage and equipment supply rates bid months prior to Ike, Means and other cost guides.

The scope of this contract includes but is not limited to the following:

- Extract major amounts of water from the building and provide temporary waterproof enclosures
- Remove all wet and damaged material including all of the ceilings, most of the flooring, all library shelving and a significant portion of the interior walls
- Remove all Mold infestations, disinfect all surfaces and wipe with moldicides
- Provide dehumidifiers, water extractors, air scrubbers and other emergency equipment required for restoration and to insure occupant health
- Provide temporary HVAC/air systems into the building to assist with initial emergency work in the first weeks after Ike
- Rent and install Scaffold for high ceiling and atrium removal and renovation
- Remove the existing damaged copper roof and provide a temporary roof in order to make the building watertight
- Package, Remove, Store and Begin initial drying and restoration of over 100,000 Architectural Library books
- Install temporary construction to accommodate relocated Architectural classes and offices
- Provide over 100 workers to accomplish all of the above and assist the University and other Building contractors in the cleaning, temporary requirements and permanent buildback of the building

FACS
Forensic Accounting and Claims Services

Project Costs to Date, by Building
University of Houston
Hurricane Ike Loss
Date of Loss September 13, 2008

Bldg #	Location Description	Estimated Property Damages
101	Wortham House	$ 5,000
106	TLC2	50,000
117	Missouri City Tran Tower	1,280
120	UHS Sugarland	500,000
501	Roy Cullen	300,000
503	Technology Annex	31,688
504	Child Care Center	100,000
505	Optometry Building	900,000
506	Communications	816,000
509	MD Anderson Library	1,924,000
510	Cougar Place	650,000
515	Power Plant	350,000
516	E. Cullen	500,000
517	Cullen Performance Hall	200,000
518	Calhoun Lofts	650,000
519	UH Police	25,000
520	Moores School of Music	15,000
522	Rec & Wellness Ctr	2,000,000
528	Melcher Hall	200,000
529	SERC	200,000
530	Robertson Stadium	12,000
531	Hofheinz	500,000
532	Susanna Garrison Gymnasium	510,000
533	Melcher Gym	567,500
534	Heyne	450,000
535	EHRM Chemical Waste Building	1,000
536	Ctr Public Broadcasting	850,000
537	Law Center	150,000
543	College of Architecture	6,000,000
543	Architecture Books	4,000,000
549	Graduate School of Socia Work	45,900
550	S&R 1	25,000
551	S&R 2	60,000
553	Welcome Center	tbd
555	Law Hall	60,000
556	Settegast Hall	60,000
557	Bates Hall	60,000
558	Taub Hall	60,000
559	Oberholtzer Hall	60,000
564	Fleming	700,000
573	Athletic Alumni	1,000,000
578	Agnes Arnold Hall	300,000
579	Cullen College of Engineering	844,155
581	Engineering D3	500,000
584	Moody Towers	250,000
585	General Svs	250,000
587	Farish Hall	450,000
588	McElhinney	500,000

FACS
Forensic Accounting and Claims Services

Project Costs to Date, by Building
University of Houston
Hurricane Ike Loss
Date of Loss September 13, 2008

Bldg #	Location Description	Estimated Property Damages
589	Fine Arts	1,000,000
590	Hilton Hotel	200,000
593	Houston Science Ctr.	500,000
596	Computing Center	150,000
605	UHCL Misc Damages	500,000
661	UHD - Shea St. Bldg	1,500,000
701	Pharmacy at TMC	1,000
753	Coastal Center	18,000
764&766	Schlumberger	150,000
n/a	Landscaping	1,000,000
n/a	Debris Cleanup	800,000
n/a	Hurricane Prep Work	500,000
n/a	Initial Build back	500,000
n/a	Business Losses	500,000
n/a	Athletic Exterior Fac	400,000
n/a	Exterior Lighting	200,000
n/a	Misc Equip Losses	200,000
n/a	Forensic Storm Acct.	375,000
n/a	Exterior Signage	50,000
n/a	Miscellaneous	1,000,000
n/a	FEMA Consulting	5,000
Various	Departmental Cost Centers	-
Totals		$ 37,232,523

UNIVERSITY OF HOUSTON SYSTEM
BOARD OF REGENTS AGENDA

COMMITTEE: Finance and Administration

ITEM: Negotiate Purchase of University Business Park

DATE PREVIOUSLY SUBMITTED:

SUMMARY:

Approval is requested to negotiate the purchase of the University Business Park.

FISCAL NOTE:

SUPPORTING DOCUMENTATION: University Business Park, Potential Acquisition Review, December 16, 2008

ACTION REQUESTED: Approval

COMPONENT: University of Houston

PRESIDENT	Renu Khator	**DATE**
		12/11/08
EXECUTIVE VICE CHANCELLOR	Carl Carlucci	**DATE**
Renu Khator		12/11/08
CHANCELLOR	Renu Khator	**DATE**

University Business Park

Potential Acquisition Review

December 16, 2008

F&A 7.1 - 1

University Business Park

University Business Park is a 69 acre property improved with 14 buildings, (manufacturing, warehouse and office facilities) totaling 578,000 sf of space and 30 +/- acres of vacant land located at 5000 Gulf Freeway in close proximity to UH campus. The former Schlumberger Technologies Corporate headquarters was constructed 1953-1970. It is currently owned by Houston UBP Partners LP (Mr. Avi Ron). The property is of interest to UH as an extension of campus to accommodate a variety of activities including research programs, administrative service offices, storage, operational academic programs, industry partnerships and other functions of the university, both academic and operational.

The property is currently 77% leased (467,000 sf) to tenants including UH with 150,000 sf of office and other uses. The balance is leased to third party tenants generating revenues. There is an opportunity to reduce UH occupancy costs through ownership and recover a portion of ownership/holding costs from outside leasing revenues while transitioning into greater UH occupancy as new operations are moved to this location, freeing up space on the main campus.

UH Is pursuing this potential acquisition through an appraisal process in which two appraisers will determine value from which purchase negotiations can proceed. Simultaneously, UH is pursuing due diligence analysis of the property's condition-physical improvements, environmental conditions as well as title and other normal due diligence.

The outcome of this process will provide the information necessary to make an informed decision on acquisition in both price and property condition. Financial analysis is also underway to determine fiscal impact, financing alternatives, tax issues, economics of debt service relative to earned revenues and avoidance of lease payments to outside parties. This process is estimated to take approximately 60 days with conclusions in Jan/Feb. 2009

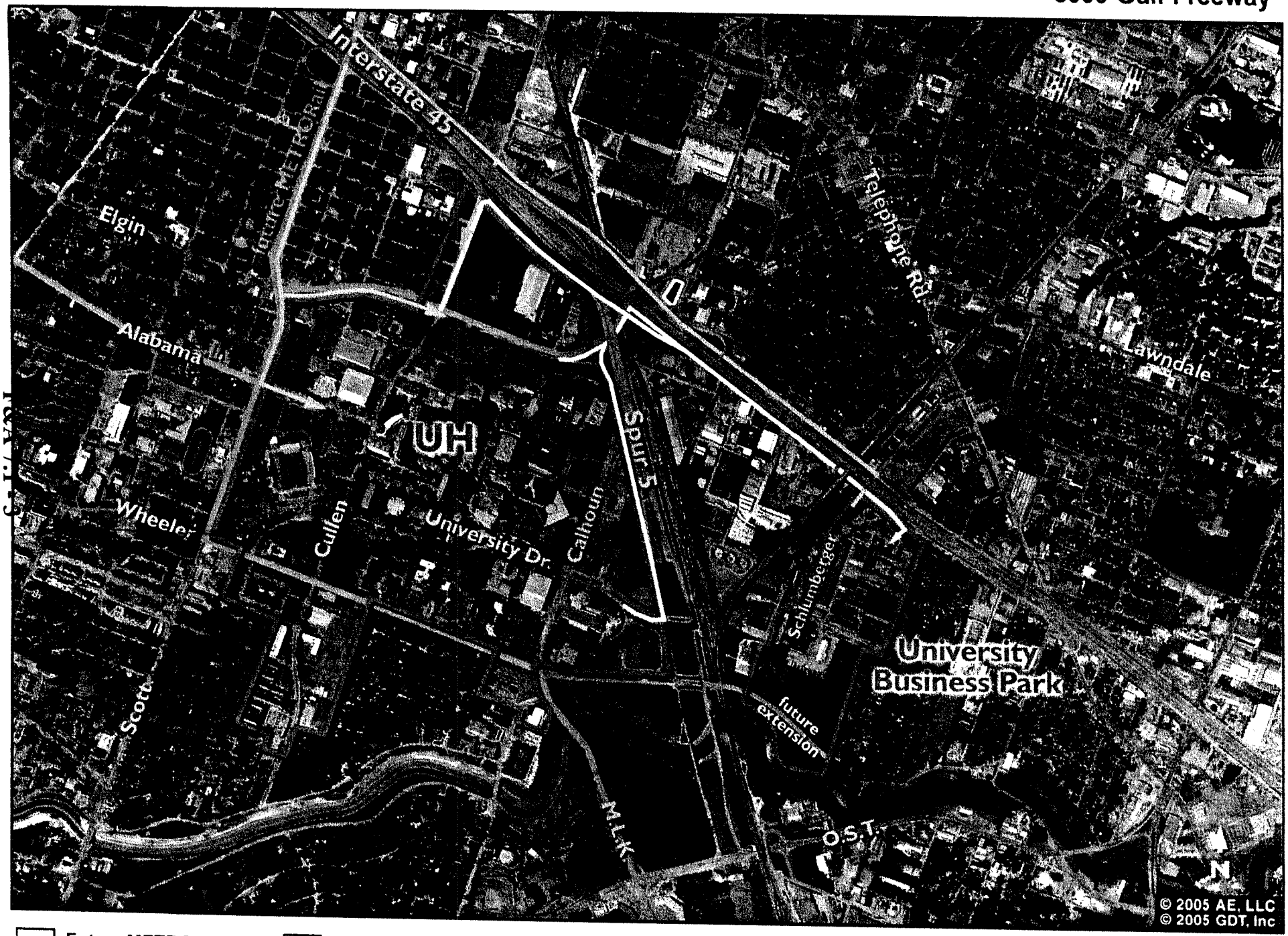
Attached Exhibits illustrate the UBP Property and location.

December 12, 2008

F&A 7.1 - 2

University Business Park

5000 Gulf Freeway



Future METRORail

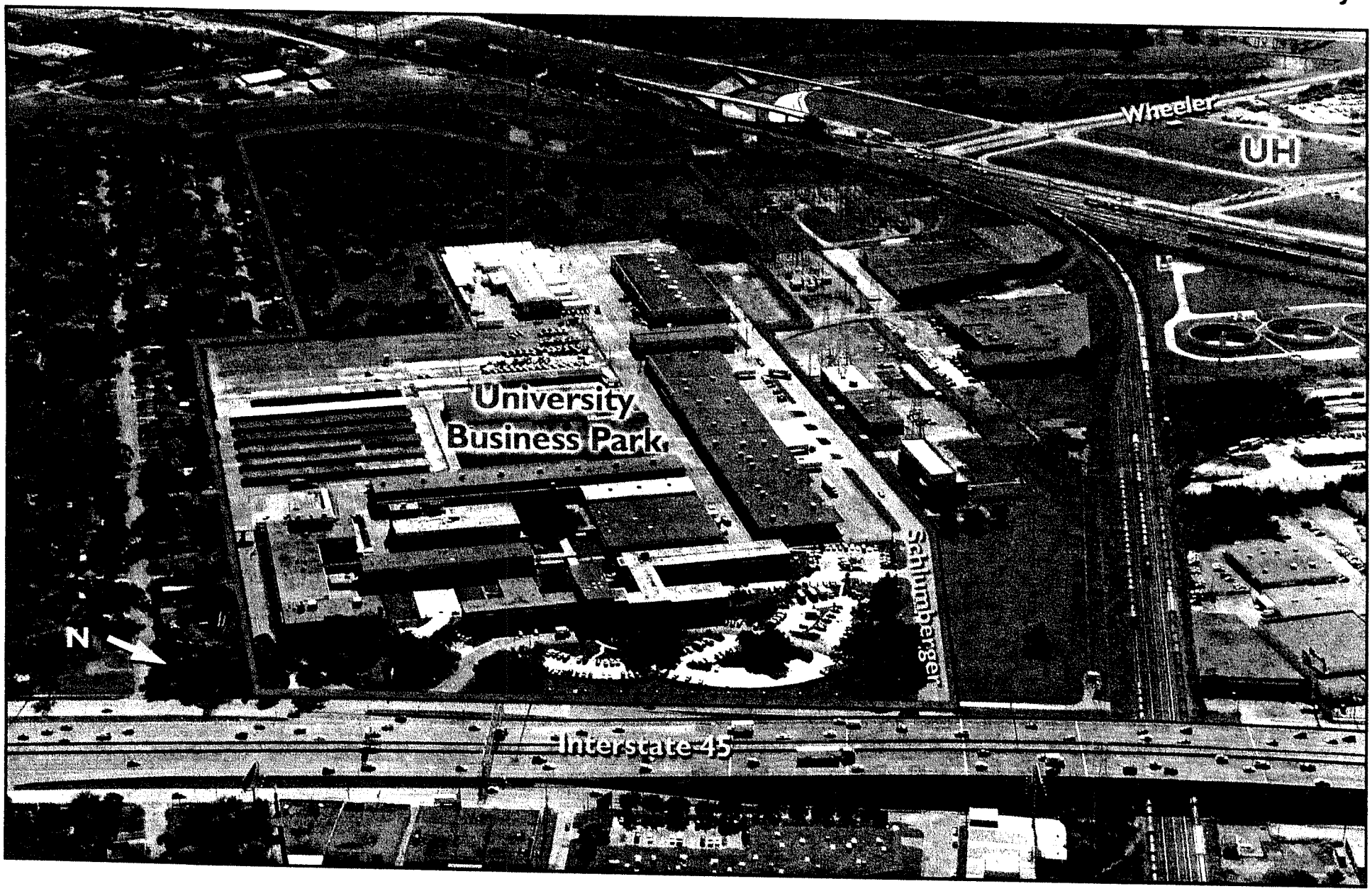
Route to UBP from UH

Route to UH from UBP

CUSHMAN & WAKEFIELD

University Business Park

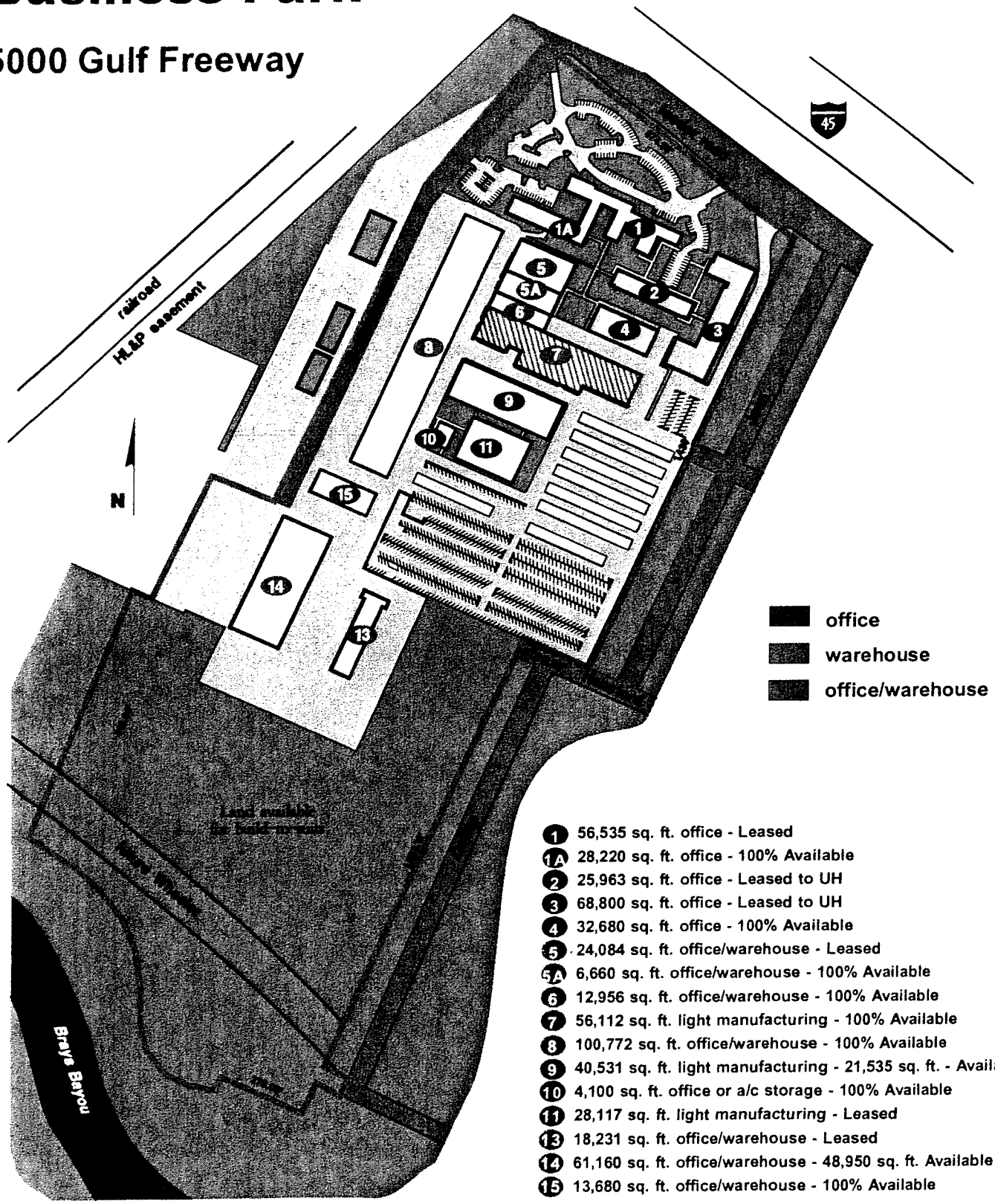
5000 Gulf Freeway



CUSHMAN & WAKEFIELD
Global Real Estate Solutions

University Business Park

5000 Gulf Freeway



1. 56,535 sq. ft. office - Leased
1A. 28,220 sq. ft. office - 100% Available
2. 25,963 sq. ft. office - Leased to UH
3. 68,800 sq. ft. office - Leased to UH
4. 32,680 sq. ft. office - 100% Available
5. 24,084 sq. ft. office/warehouse - Leased
5A. 6,660 sq. ft. office/warehouse - 100% Available
6. 12,956 sq. ft. office/warehouse - 100% Available
7. 56,112 sq. ft. light manufacturing - 100% Available
8. 100,772 sq. ft. office/warehouse - 100% Available
9. 40,531 sq. ft. light manufacturing - 21,535 sq. ft. - Available
10. 4,100 sq. ft. office or a/c storage - 100% Available
11. 28,117 sq. ft. light manufacturing - Leased
13. 18,231 sq. ft. office/warehouse - Leased
14. 61,160 sq. ft. office/warehouse - 48,950 sq. ft. Available
15. 13,680 sq. ft. office/warehouse - 100% Available

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