TTU HSC

COMPLIANCE CERTIFICATION REPORT

SEPTEMBER 2018

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Below you will find links to the required components of the SACSCOC Compliance Certification Report for Texas Tech University Health Sciences Center. Responses to the *Principles* are located in Part 3. If you experience any technical issues, please contact Katie Randolph at (806) 743-2312 or katie.randolph@ttuhsc.edu.

Instructions

President's Welcome

Part 1: Signatures Attesting to Compliance

Part 2: List of Substantive Changes Approved Since the Last Reaffirmation

Part 3: Principles of Accreditation

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Instructions

Texas Tech University Health Sciences Center has prepared this report through the Compliance Assist accreditation management system by Campus Labs.

Requirements. To view the report, you will need a current version of a PDF reader, such as Adobe Reader XI. A free version of Adobe Reader is available at http://get.adobe.com/reader/. You will also need a web browser. Firefox is recommended for full functionality.

Flash drive. The flash drive card is located in the front pocket of the folder. To view the Compliance Certification Report, slide out the USB end from the card, flip, and insert into a USB port on your computer. Make sure the USB end is entered using the correct orientation for your device. If your computer does not recognize the flash drive, turn the card over and reinsert.

The flash drive is titled **TTUHSC CCR.** Open the folder **TTUHSC CCR 2018** and select **LaunchWebSite.** Internet access is not required, but the report will open through your default browser. Once Compliance Assist opens, you will see a welcome letter from TTUHSC President Tedd L. Mitchell. The home page also contains the following links on the left: **About the Institution**, **Navigating the Site**, and **TTUHSC Contacts**. To view the main report, select **Reaffirmation** in the black banner at the top left of the screen.

If you experience any technical difficulties, please contact one of the individuals listed below.

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TEXAS TECH UNIVERSITY
HEALTH SCIENCES CENTER™

Office of the President

September 10, 2018

Dear Colleagues:

The Texas Tech University Health Sciences Center (TTUHSC) is pleased to submit this compendium for the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) ten-year reaffirmation process. TTUHSC is one of four universities within the Texas Tech University System. The other institutions include Texas Tech University, Angelo State University, and Texas Tech University Health Sciences Center El Paso. In June 2018, TTUHSC El Paso was granted separate accreditation from TTUHSC by SACSCOC. TTUHSC is headquartered in Lubbock, Texas, with branch campuses in Amarillo, Abilene, Dallas, and Odessa. Off-campus instructional sites are located in Midland and Covenant Health System in Lubbock.

In preparation for the SACSCOC review, we evaluated each standard in the self-study on four critical factors:

1. **Mission**. As a comprehensive health sciences center, our mission is to enrich the lives of others by educating students to become collaborative health care professionals, providing excellent patient care, and advancing knowledge through innovative research. The mission is clear and guides all that our university does.

2. **Values.** TTUHSC recently initiated a journey to create a sustainable, values-based culture to drive our behaviors and daily actions. The core values include: (a) Beyond Service, (b) Kindhearted, (c) Integrity, (d) One Team, and (e) Visionary.

3. **Teaching, Learning, and Research.** TTUHSC facilitates outstanding educational experiences for future clinicians and researchers regardless of where and how our programs are delivered. In addition, TTUHSC scientists collaborate with students to diligently pursue discoveries through novel research.

4. **Operations and Infrastructure.** Our university's resources, operations, and infrastructure are appropriate to fulfill the TTUHSC mission and consistently seek to improve program quality and respond to future challenges and opportunities.

As we approach our 50th anniversary in 2019, we are proud to welcome you and demonstrate what we have accomplished to advance teaching, research, and patient care in the health sciences. We recognize and appreciate the voluntary efforts of our committed colleagues from peer institutions who assist the Commission on Colleges in this reaffirmation process. We value your review and anticipate you will find that TTUHSC serves a significant role in improving the health and welfare of communities across Texas and eastern New Mexico.

Sincerely,

Tedd L. Mitchell, M.D.
President

Part 1. SIGNATURES ATTESTING TO COMPLIANCE

By signing below, we attest to the following:

1. That Texas Tech University Health Sciences Center has conducted an honest assessment of compliance and has provided complete and accurate disclosure of timely information regarding compliance with the Standards contained in the *Principles of Accreditation*.

2. That Texas Tech University Health Sciences Center has attached a complete and accurate listing of all programs offered by the institution, the locations where they are offered, and the means by which they are offered as indicated on the updated "Institutional Summary Form Prepared for Commission Reviews," and that the comprehensive assessment of compliance reported on the Compliance Certification includes the review of all such programs.

3. That Texas Tech University Health Sciences Center has provided a complete and accurate listing of all substantive changes that have been reported and approved by the Commission since the institution's last reaffirmation as well as the date of Commission approval.

Accreditation Liaison

Rial Rolfe, Ph.D., MBA

Signature Rial Rolfe

Date 8/22/18

Chief Executive Officer

Tedd L. Mitchell, M.D.

Signature

Date 8/24/18

Part 2.

LIST OF SUBSTANTIVE CHANGES APPROVED SINCE THE LAST REAFFIRMATION

Note: ***With the passage of the revised 2010 federal regulations for accrediting agencies, institutions are expected to notify and seek approval of additional substantive changes that occur between decennial reviews. Please note the revised list below. (New required reporting is underlined.)***

Directions: For each substantive change approved since the institution's initial accreditation or last reaffirmation review, briefly describe the change and provide the date of Commission approval. If no substantive changes requiring approval have been submitted since the last comprehensive review, write "none" in the first column. If, in the review of substantive change, the institution discovers substantive changes that have not been reported according to Commission policy, the changes should be reported ***immediately*** to Commission staff.

Approval Date	Description of Substantive Change
09/09/2013	• Discontinued the Education concentration (RN-MSN) of the *Master of Science in Nursing* degree program
06/03/2014	• Initiated a *Master of Public Health* degree program
05/26/2015	• Established a dual degree program in *Doctor of Pharmacy* at TTUHSC and *Master of Business Administration* at Texas Tech University
08/24/2015	• Established a dual degree program in *Master of Science in Biotechnology* at TTUHSC and *Master of Business Administration* at Texas Tech University
08/24/2015	• Established a dual degree program in *Doctor of Philosophy in Biomedical Sciences* at TTUHSC and *Master of Business Administration* at Texas Tech University
03/04/2016	• Initiated an off-campus site at Covenant Health System in Lubbock, Texas
02/15/2017	• Established a dual degree program in *Master of Science in Biotechnology* at TTUHSC and *Juris Doctorate of Law* at Texas Tech University
02/20/2017	• Changed name of the program and degree from *Master of Rehabilitation Counseling* to *Master of Science in Clinical Rehabilitation Counseling* • Increased required credit hours for *Master of Science in Clinical Rehabilitation Counseling* from 48 to 60

2.1

Institutional Mission

The institution has a clearly defined, comprehensive, and published mission specific to the institution and appropriate for higher education. The mission addresses teaching and learning and, where applicable, research and public service.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) has a clearly defined and comprehensive mission:

"As a comprehensive health sciences center, our mission is to enrich the lives of others by educating students to become collaborative healthcare professionals, providing excellent patient care, and advancing knowledge through innovative research."

APPROPRIATENESS OF MISSION

This mission statement is comprehensive and appropriate for higher education because it addresses the primary areas of emphasis common to colleges and universities: (1) teaching, (2) research, and (3) service. More specifically, TTUHSC seeks to educate students to become collaborative healthcare professionals in medicine, nursing, pharmacy, and allied health disciplines. The institution also aims for its faculty to contribute to the existing body of knowledge through innovative biomedical research and to prepare students to engage in research appropriate to their disciplines. Finally, TTUHSC's mission statement reflects a commitment to community service through the provision of excellent patient care. This, too, is a common area of emphasis for health-related institutions.

REVIEW OF MISSION

The TTUHSC mission statement was reviewed by members of the President's Executive Council in Spring 2017. The review process began at the strategic planning retreat in January 2017. During the two-month process, institutional leaders discussed the mission, developed potential revisions, and participated in a survey to provide feedback about three proposed alternatives. Refer to the Mission Statement Review Process for documentation of this process. The revised mission statement, which was selected in March 2017, reflected minor changes in wording and did not represent a significant departure from the previous mission statement. As shown in the BOR meeting minutes, it was approved by the Texas Tech University System Board of Regents in May 2017. The Texas Higher Education Coordinating Board (THECB) also acknowledged the revision in July 2017. See the attached THECB letter.

PUBLICATION AND DISSEMINATION OF MISSION

The institution publishes its mission statement on the TTUHSC strategic planning website and THECB website. It may also be found in various institutional publications, such as the TTUHSC Fact Book, TTUHSC Student Handbook, and individual school catalogs:

2017-2018 Catalogs

- Graduate School of Biomedical Sciences
- School of Health Professions

- School of Medicine
- School of Nursing
- School of Pharmacy

These resources, which are available online, are accessible to students, faculty, staff, and community members. The mission statement is also communicated to different stakeholders during specific meetings and/or presentations. For example, the President referenced the mission review process during the strategic planning presentation at the townhall meeting in March 2017. The revised vision and mission statements were also discussed with members of the Institutional Effectiveness Advisory and Accreditation Oversight Committee at the September 2017 meeting. Refer to the IEA-AOC meeting agenda. Attendees included faculty and staff representatives across schools, major administrative departments, and campuses.

SUMMARY

Based on evidence provided in the preceding narrative, TTUHSC is in compliance with the current standard. The institution has a clearly defined and comprehensive mission that addresses education, research, and public service. It is also specific to the institution and appropriate for higher education. The mission statement is published in multiple online resources for review by faculty, staff, students, and community members regardless of academic program, campus affiliation, or instructional delivery method.

3.1.a

Degree-granting Authority

An institution seeking to gain or maintain accredited status has degree-granting authority from the appropriate government agency or agencies.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Texas Higher Education Coordinating Board (THECB) has degree-granting authority for all institutions of higher education in the state of Texas. As such, the THECB has authorized the Texas Tech University Health Sciences Center (TTUHSC) to award degrees at the baccalaureate, master's, doctoral, and professional levels. This remains unchanged since TTUHSC's reaffirmation in 2009. TTUHSC does not offer any degrees at branch campuses or off-campus instructional sites in other states. TTUHSC does deliver distance education programs to out-of-state students. Thus, the following narrative will address how the institution ensures appropriate state authorization for distance learners. For reference, *Table 3.1.a-1* lists the distance education programs at TTUHSC.

Table 3.1.a-1. TTUHSC Distance Education Programs

Degree/Certificate Program
Graduate School of Biomedical Sciences
Graduate Certificate in Public Health
Master of Public Health
School of Health Professions
Post-Baccalaureate Certificate in Clinical Laboratory Science
Bachelor of Science in Clinical Laboratory Science (Second Degree)
Bachelor of Science in Healthcare Management
Master of Rehabilitation Counseling
Master of Science in Addiction Counseling
Master of Science in Clinical Mental Health Counseling
Master of Science in Clinical Rehabilitation Counseling
Master of Science in Healthcare Administration
Doctor of Physical Therapy (Transitional)
Doctor of Science in Physical Therapy
School of Nursing
Bachelor of Science in Nursing (Accelerated)
Bachelor of Science in Nursing (RN to BSN)
Graduate Certificates—All Concentrations
Master of Science in Nursing
Doctor of Nursing Practice

Of the degrees awarded by TTUHSC from June 1, 2017, through May 31, 2018, more than half were awarded to students enrolled in distance education programs. Approximately 5.4% of those degrees were awarded to distance students who resided outside the state of Texas. In order to ensure appropriate state authorization to

offer degrees to non-Texas students, TTUHSC is a member of the National Council for State Authorization Reciprocity Agreements, or SARA. This organization centralizes the authorization process for distance education courses and programs offered across state lines by postsecondary institutions that already have degree authorization in at least one state. Colleges or universities in a SARA state, therefore, only need their home state authorization to offer distance education to students in another SARA-member state, subject to certain limitations.

The attached map illustrates the states which are part of the SARA agreement, and the attached member list indicates that TTUHSC is recognized as an approved SARA institution. Currently, California is the only state which does not participate in SARA. TTUHSC typically enrolls a small number of distance students who live in California, but TTUHSC is exempt from seeking authorization in that state. Public institutions are not regulated in California with regard to distance education.

To be eligible to participate in SARA, an institution must meet four criteria:

- Be a degree-granting institution, awarding associate degrees or higher;
- Be physically located in the United States, including territories, districts, or Indian reservations;
- Hold proper authorization from Congress, a U.S. state, or a federally recognized Indian tribe to award degrees; and
- Hold accreditation as a single entity from an accrediting association recognized by the U.S. Secretary of Education, and which has formal recognition to accredit distance education programs.

An institution must renew annually to maintain its participation status. Refer to the November 2017 approval of TTUHSC's participation in SARA. The institution's next scheduled renewal process will be in Fall 2018. In addition, institutions participating in SARA must report on an annual basis the number of distance education students enrolled in the institution, disaggregated by the state, territory, or district in which the students reside. *Table 3.1.a-2* provides the number of reported TTUHSC students by SARA and non-SARA states for the past three reporting periods. Please note that the number of TTUHSC students enrolled in distance education programs in non-SARA states has decreased over time as the number of states participating in the SARA agreement has increased.

Table 3.1.a-2. TTUHSC Distance Education Students by SARA Status

	SARA	Non-SARA	Total
2017-2018	52	8	**60**
2016-2017	103	13	**116**
2015-2016	43	18	**61**

Beginning in Spring 2019, SARA institutions will also be required to report annually the number of distance students engaged in experiential learning placements, such as rotations, internships, and practica. This information will be disaggregated by state and two-digit Classification of Instructional Programs (CIP) codes, as assigned by the U.S. Department of Education. Such field placements typically do not constitute a physical presence in those states, but they may fall within the jurisdiction of state professional licensing boards. Any institution operating under SARA that offers courses or programs potentially leading to professional licensure must keep all prospective students, applicants, and enrolled students informed as to whether such offerings

actually meet state licensing requirements. To aid in communicating this information, TTUHSC posts on the website a list of the state licensing boards related to its distance education programs.

SUMMARY

As described in the preceding narrative, TTUHSC has degree-granting authority from the appropriate government agency or agencies. The institution has degree-granting authority from the state of Texas through the Texas Higher Education Coordinating Board, which remains unchanged since reaffirmation in 2009. TTUHSC is also a member of SARA, an affiliation which authorizes the institution to offer distance education to students in other SARA-member states. For these reasons, TTUHSC is compliant with the current standard.

3.1.b

Coursework for Degrees

An institution seeking to gain or maintain accredited status offers all coursework required for at least one degree program at each level at which it awards degrees.

Judgment

☑ Compliance ❑ Partial Compliance ❑ Non-Compliance ❑ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) offers the coursework required for at least one degree program at the master's, doctoral, and professional levels. TTUHSC does not offer all coursework required for a bachelor's degree. As a health sciences center, TTUHSC does not offer any lower division coursework, including general education courses. The same was true when TTUHSC sought initial accreditation by SACSCOC in 2004. Because the institution already has an approved alternative approach, there is no need to address this standard in more detail. No other underlying conditions have changed.

3.1.c

Continuous Operation

An institution seeking to gain or maintain accredited status is in operation and has students enrolled in degree programs.

Judgment

☐ Compliance ☐ Partial Compliance ☐ Non-Compliance ☑ Not Applicable

Narrative

Texas Tech University Health Sciences Center was accredited as a separate institution by the Commission in 2004. It is currently in operation with undergraduate and graduate students enrolled in numerous educational programs. Based on these factors, no additional response is required.

4.1

Governing Board Characteristics

The institution has a governing board of at least five members that: (a) is the legal body with specific authority over the institution; (b) exercises fiduciary oversight of the institution; (c) ensures that both the presiding officer of the board and a majority of other voting members of the board are free from any contractual, employment, personal or familial financial interest in the institution; (d) is not controlled by a minority of board members or by organizations or institutions separate from it; (e) is not presided over by the chief executive officer of the institution.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

As a component institution of the Texas Tech University System (TTU System), Texas Tech University Health Sciences Center (TTUHSC) is governed by the Board of Regents of the TTU System. The Board of Regents is a governing body of nine voting members that is the legal body with specific authority over the institution.

In accordance with the *Texas Education Code* and as reflected in the *Rules and Regulations of the Board of Regents of the Texas Tech University System (Regents' Rules)*, the Texas State Legislature delegates to the Board of Regents the power and authority to govern, control and direct the policies of the TTU System and its component institutions *(Title 3 Texas Education Codes §109.001 and §109.002* and Section 01.02.1(a), *Regents' Rules).* Distinctions in lines of authority among the board, the chancellor, the president, and TTUHSC Administration can also be found in *TTUHSC OP 10.11, Delegation of Authority by the President*, *TTUHSC OP 01.07, Organization of Texas Tech University Health Sciences Center* and the *TTUHSC Organizational Chart*.

BOARD OF REGENTS OF THE TEXAS TECH UNIVERSITY SYSTEM

The Board of Regents members are appointed by the governor of Texas with the advice and consent of the senate for staggered terms of six years each, with the terms of three members expiring January 31 of odd-numbered years *(Title 3 Texas Education Codes, §109.002 and §109.003* and Section 01.02.2(a)*, Regents' Rules).* A non-voting student regent is also appointed by the governor for a one-year term, from June 1 to May 31 (*Title 3 Texas Education Code, §51.355* and Section 01.02.2.b*, Regents' Rules).*

Current Board of Regents Membership

Throughout its history, the Board of Regents has been composed of distinguished and dedicated Texans who have been strong advocates of excellence in academic and patient care programs, meaningful scientific research and responsible public service. Current Board of Regents membership is provided in **Table 4.1-a** below. Each member's name is linked to a brief biography, which includes additional information on the member's occupation and professional affiliations.

Table 4.1-a. Texas Tech University System Board of Regents

Board Member Name and Location	Employment	Year Term Expires	Original Appointment By
L. Frederick "Rick" Francis, *Chairman* El Paso, Texas	Chairman and CEO, WestStar Bank	2019	Governor Rick Perry
Ronnie Hammonds Houston, Texas	Owner and President, Grason Communities, Ltd.	2021	Governor Greg Abbott
Christopher M. Huckabee Ft. Worth, Texas	CEO, Huckabee Architecture, Engineering, and Program Management	2021	Governor Greg Abbott
Tim Lancaster, *Vice Chairman* Abilene, Texas	President and CEO, Hendrick Health System	2019	Governor Rick Perry
J. Michael Lewis Dallas, Texas	Executive Officer, Columbus Realty Trust and Deans Food Corporation	2023	Governor Greg Abbott
Mickey L. Long Midland, Texas	President, Westex/WLP Well Service, L.P.	2021	Governor Rick Perry
John D. Steinmetz Dallas, Texas	President and CEO, Vista Bank	2023	Governor Rick Perry
John Walker Houston, Texas	CEO, EnterVest, Ltd. and, Executive Chairman, EV Energy Partners, L.P.	2023	Governor Greg Abbott
Jane Gilmore, *Student Regent*	Student, Texas Tech University Health Sciences Center School of Medicine	2019	Governor Greg Abbott

Board of Regents Structure

Within the Board of Regents, committees are established to help the board to carry out its duties. The chair of the board appoints all committee members and designates a committee chair (except as otherwise stated in the *Regents' Rules*). All other Board of Regents members are ex officio members of each committee (Section 01.02.8.a, *Regents' Rules*). The Board of Regents have four standing committees including, Academic, Clinical, Student Affairs Committee, the Facilities Committee, the Finance and Administrative Committee, and the Audit Committee (Section 01.02.8.d, *Regents' Rules).*

In addition to the standing committees, at any time during a Board of Regents meeting or at any time between Board of Regents meetings (with at least 48 hours advance notice to all members), the board chair, or not less than six members by vote, may appoint special committees, name the members, and designate the chair (Section 01.02.8.e.(1-2)*, Regents' Rules*). Any special committee so created is temporary (except the

Investment Advisory Committee) and is charged in writing as to its particular duties and functions and the period in which it is to serve (Section 01.02.8.e.(3)*, Regents' Rules*). Examples of special committees include the Investment Advisory Committee and the *Regents' Rules* Review Committee. The Investment Advisory Committee, a special committee of indefinite duration, is composed of three members appointed by the Board of Regents; one member by the Foundation Board; and five members by the Chancellor of the TTU System (Section 01.02.8.f.(4)*, Regents' Rules*). The Investment Advisory Committee meets quarterly to review and consult with investment counsel, investment managers and appropriate officers and staff of the TTU System administration (Section 01.02.8.f.(1)*, Regents' Rules*). The *Regents' Rules* Review Committee is a special committee established by the Chairman of the Board of Regents. This committee serves only in an advisory capacity, with any proposed changes to the *Regents' Rules* being submitted to the appropriate standing committee of the Board of Regents (Section 01.02.8.e.(4)*, Regents' Rules*).

BOARD OF REGENTS AUTHORITY AND RESPONSIBILITIES

The bylaws of the board, which are published in Chapter 1 of the *Regent's Rules*, clearly reiterate state law in defining the board's composition (Section 01.02.2*, Regents' Rules*), responsibilities (Section 01.01.1*, Regents' Rules*), and authority to govern (Section 01.02.1*, Regents' Rules*). The *Regents' Rules* also define the administrative structure of the Texas Tech University System, including the primary duties of the chancellor (Section 02.01.3*, Regents' Rules*) and the authority and responsibility of the presidents (Section 02.04.2*, Regents' Rules*). (See also *Standard 4.2.b, Board/Administrative Distinction*).

Composition, Responsibilities, and Authority

To serve as the legal body with specific authority over the institution, the Texas Legislature has assigned to the Board of Regents the responsibility for the "government, control, and direction of the policies" of all component institutions of the TTU System (*Title 3 Texas Education Code, §109.001-§109.002).* State law also stipulates that "the governing board of an institution of higher education shall provide the policy direction for each institution of higher education under its management and control" *(Title 3 Texas Education Code, §51.352(b)).* Taken together, these two statutes clearly establish policy-making as one of the board's primary functions. As outlined in the bylaws, the Board of Regents has the authority, for example, to establish the governing policies (Section 1.02.1*, Regents' Rules*), to approve the annual budget of the university (Section 1.02.8.d.(3)*, Regents' Rules*), and to award contracts for construction and physical improvement projects (Section 1.02.8.d.(2)(b)*, Regents' Rules*).

Fiduciary Oversight

Each member of the board has the legal responsibilities of a fiduciary in the management of funds under the control of institutions subject to the board's control and management (Section 1.01.3, *Regents' Rules*). Pursuant to Section 01.02.8.d(3), *Regents' Rules*, one of the standing committees within the board's structure is the Finance and Administrative Committee that consists of three board members and considers, summarizes facts, recommends actions, and presents alternatives to the board in areas including:

a) requests for budgets covering expenditures of educational and general funds, designated funds, auxiliary programs, and funding from external sources;
b) the pursuit, negotiation, and closing of outside financing;
c) the annual review of all actual expenditures as well as the detailed review of the expenditures of the Office of the Chancellor and the Offices of the Presidents, with the board approving all budgets;
d) review of all private fund-raising activities for the TTU System.

Board of Regents Meetings

The Board of Regents meets a minimum of four times each year, and special meetings are called on an as-needed basis (Section 01.02.7, *Regents' Rules*). Minutes of all board meetings are publicly available after each meeting is held and are posted on the Board of Regents website. For ease of reference, a representative example of a Board of Regents meeting agenda and the corresponding meeting minutes are attached (Board of Regents Meeting Minutes, August 10-11, 2017). This meeting included approval of granting of tenure, approval of changes to degree programs, approval of annual audit plan, and approval of each school's operating budgets, among other items. These minutes demonstrate the board's role as an active policy-making body, which is ultimately responsible for ensuring that the financial resources of the institution are adequate to provide a sound educational program.

BOARD OF REGENTS ETHICS AND CONFLICT OF INTEREST

As public officials and officers of the TTU System, members of the Board of Regents are subject to state laws, which include stipulations regarding personal financial disclosure, standards of conduct, and conflict of interest *(Title 5 Texas Government Code, §572.051*).

Ethics Policy and Board Control

To ensure that the Board of Regents is not controlled by a minority of Board of Regents members or by organizations or interests separate from it, the Board of Regents has adopted an ethics policy in accordance with this statute. The policy prohibits Board of Regents members from having a direct or indirect interest or taking part in business or professional activities that are in conflict with the performance of their duties as trustees of the public interest (Section 03.01*, Regents' Rules*). Thus, neither the chair of the board nor any of the voting members of the board may have contractual, employment, or personal or familial financial interests in the TTU System. (*See Standard 4.2.d, Conflict of Interest* for the Board of Regents' Acknowledgement of Compliance forms).

Furthermore, when the board takes action on an item by voting, a quorum, defined as five or more members, must be present (Section 01.02.9.d, *Regents' Rules*). Staggered term limits of six years further reduce the potential for factions of control (Section 01.02.2.a, *Regents' Rules*). Regional distribution of the board's membership, as well as confirmation of members by the senate prevent control of the board by a minority of members and undue influence by any particular business sector or other interest group.

Financial Statement Disclosure

According to *Title 5 Texas Government Code, §572.021*, all public officials, including members of the Board of Regents, must file a public financial statement annually with the Texas Ethics Commission (Section 03.03.4-5, *Regents' Rules*). Falsification of the statement or other violations of the state's standards of conduct have criminal penalties. *Title 5 Texas Government Code, §572.058* defines the procedures necessary for removing from office those state officials who falsify financial information or violate the standards of conduct. All TTU System Board of Regents members filed copies of their 2017 Personal Financial Statements to the Texas Ethics Committee in Spring 2018. Board members have the ultimate responsibility for reporting conflicts and refraining from prohibited actions. An examples of members' abstention from voting on matters in which a conflict of interest exists is provided in the minutes of Board of Regents meeting held in February 2016. (See also *Standard 4.2.d, Conflict of Interest).*

New Regent Training

The ethics and conflict of interest policies of the Board of Regents are consistent with the standards prescribed in *Title 5 Texas Government Code, §572.051*, and the board distributes its ethics policy and the *Title 5 Texas Government Code §572.051* to each new board member and each new officer not later than the third business day after the date the person becomes a board member and/or qualifies for office.

In addition, each new regent participates in a training program that focuses on the official role and duties of the members of the board and includes training in the areas of budgeting, policy development, and governance. Topics covered by this training program include the requirements of the open meetings and open records law, the requirements of conflict of interest laws and other laws relating to public officials, and the Board of Regents ethics policy (*Title 3 Texas Education Code, §61.084).*

New regent training requirements apply to all regents whose first year of service on the Board of Regents began or will begin after January 1, 2016. The training includes three components: 1) before voting, the regent must attend an intensive short course training on budgetary and personnel matters offered by the Texas Higher Education Coordinating Board (THECB); 2) within the first year of service, the new regent must attend a day-long program offered by THECB or watch a 6.5 hour online training video and pass an assessment with a score of 70 percent or above; and, 3) within 90 days of taking the Oath of Office, the regent must complete the "Open Meetings Act/Public Information Act" training offered by the Texas Attorney General. TTU System regents are exempted from the fourth requirement of a "Public Funds Investment Act" training due to the scope of its investments. A sample agenda from Regent J. Michael Lewis' orientation session and an overview of the new regent training process are attached. (See also *Standard 4.2.f, External Influence).*

BOARD OF REGENTS PRESIDING OFFICER

The presiding officer of the Board of Regents is the chair of the Board of Regents. The presidents of the four TTU System component institutions, including TTUHSC, cannot serve as the Board of Regents chairperson. Rather, the Board of Regents members select the chair from among themselves, and the chair reports and is responsible to the Board of Regents (Section 01.02.3*, Regents' Rules*). In case of the chair's death, resignation, permanent disability, removal, or disqualification, the vice chair of the board shall become the chair for the remainder of the term of the chair who vacated the office (Section 01.02.3(3), *Regents' Rules*).

The current chairman of the Board of Regents is L. Frederick "Rick" Francis of El Paso, who was appointed by Governor Rick Perry to the Board of Regents on November 18, 2003. On July 2, 2007, he was reappointed to serve a second term. Francis was reappointed to serve his third term on February 14, 2013, which will expire January 31, 2019. He was named chairman of the Board of Regents for the second time on February 23, 2017 (Board of Regents Meeting Minutes, February 2017). His first tenure as chair of the Board of Regents was from January 1, 2005 to May 11, 2007.

SUMMARY

In summary, the Board of Regents of the TTU System holds in trust the fundamental autonomy and ultimate well-being of TTUHSC. This legal body has specific authority over the institution, which is established in official documentation. The board is aware of its fiduciary responsibilities, and carries them out based on accurate information about the operations of the institution. In order to ensure the objectivity of the board's collective interests, both the presiding officer of the board and all of its voting members are free of any contractual,

employment, personal or familial financial interest in the institution. The Board of Regents is not controlled by a minority of board members or by organizations or institutions separate from it. The presiding officer of the Board of Regents is the chair, selected by the board members themselves, and cannot be the President of TTUHSC. For all of the reasons stated above, TTUHSC is in compliance with the current standard.

4.2.a

Mission Review

The governing board ensures the regular review of the institution's mission.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Board of Regents of the Texas Tech University System (TTU System) is the governing board of Texas Tech University Health Sciences Center (TTUHSC) and provides the direction, management, and control of the institution in accordance with *Title 3 Texas Education Codes, §110.01-.03* (See also *Standard 4.1, Governing Board Characteristics*).

MISSION REVIEW

One responsibility of the Board of Regents is to ensure the regular review of the mission of each of its component institutions. *Title 19 Texas Administrative Code* assigns responsibility for periodic review of mission statements to the respective institutional board, stating, "The Board of Regents shall approve or re-approve institutional mission statements. The Board of Regents shall provide the Coordinating Board a copy of its current institutional mission statements after any change has been approved by the Board of Regents" (*§5.24(2), Texas Administrative Code*). To fulfill its role and responsibilities, in accordance with the *Rules and Regulations of the Board of Regents of the Texas Tech University System (Regents' Rules),* the Board of Regents ensures focus, clarity, and mission, provides policy direction for and establishes goals consistent with the role and mission of each institution under its management and control (Sections 01.01.1-2, *Regents' Rules*).

The Board of Regents' oversight of the institutional mission is facilitated by the Academic, Clinical and Student Affairs Committee, a standing committee of the Board of Regents that consists of three appointed members and the student regent. Considerations of this committee include, the educational mission and academic programs of the various schools and units within the TTU system, the clinical programs (both patient care services and clinical investigation) within TTUHSC and their relationship to the educational mission and academic programs, and research programs within TTUHSC." (Section 01.02.8.d.(1), *Regents' Rules*). The periodic review of mission statements of TTU System component institutions are conducted by the Board of Regents as indicated the board's Comprehensive Reviews and Updates, showing a revision of the TTU System mission statement as well as the adoption of the mission statement for Texas Tech University Health Sciences Center at El Paso.

TTUHSC's current mission statement was most recently reviewed and approved by the Board of Regents in May 2017, as shown in the May 18, 2017 Board of Regents Meeting Minutes. Prior to approval by the Board of Regents, the TTUHSC mission statement was reviewed by members of the TTUHSC President's Executive Council in Spring 2017. The review process began at the strategic planning retreat in January 2017. During the two-month process, institutional leaders discussed the mission, developed potential revisions, and

participated in a survey to provide feedback about three proposed alternatives. The Texas Higher Education Coordinating Board (THECB) also acknowledged the mission's revision in July 2017 (See the attached THECB letter). (See also *Standard 2.1, Institutional Mission).*

SUMMARY

Based on evidence provided in the preceding narrative, TTUHSC is in compliance with the current standard. The Board of Regents of the TTU System ensures the review of the mission of each of its component institutions. TTUHSC's mission statement was most recently reviewed in May 2017.

4.2.b

Board/Administrative Distinction

The governing board ensures a clear and appropriate distinction between the policy-making function of the board and the responsibility of the administration and faculty to administer and implement policy.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

A clear and appropriate distinction exists, in writing and practice, between the policy-making functions of the Texas Tech University System (TTU System) Board of Regents and the responsibility of the Texas Tech University Health Sciences Center (TTUHSC) administration and faculty to administer and implement policy.

GOVERNANCE

As reflected in the *Texas Education Code*, the Texas Legislature has assigned to the Board of Regents the responsibility for the "government, control, and direction of the policies" of all component institutions of the TTU System, of which TTUHSC is a member (*Title 3 Texas Education Code, §109.001-§109.002).* State law also stipulates that "the governing board of an institution of higher education shall provide the policy direction for each institution of higher education under its management and control" *(Title 3 Texas Education Code, §51.352(b)).* Taken together, these two statutes clearly establish policy-making as one of the board's primary functions. (See also *Standard 4.1, Governing Board Characteristics).*

The *Rules and Regulations of the Board of Regents of the Texas Tech University System (Regents' Rules)* reiterate the authority of the Board of Regents to govern (Section 01.02, *Regents' Rules*) and delegate to the chancellor of the TTU System the duties of "acting as executive agent of the board in implementing its policies and a system of internal controls" and "representing the TTU system in all other respects as deemed appropriate to carry out such policies, purposes and goals" (Section 02.01.3.a, *Regents' Rules*). In turn, the chancellor authorizes the president of the TTUHSC and his/her designees to "develop, administer, and coordinate all operations and programs" of the institution in keeping with the policies established by the board (Section 02.04.2.a, *Regents Rules*). Distinctions in lines of authority among the board, the chancellor, the president, and TTUHSC Administration can also be found in *TTUHSC OP 10.11, Delegation of Authority by the President*, *TTUHSC OP 01.07, Organization of Texas Tech University Health Sciences Center* and the TTUHSC Organizational Chart.

ADMINISTRATION

In practice, a review of the minutes of the Board of Regents meetings shows that the Board of Regents restricts its activities to setting policy, approving projects, overseeing system finances, and similar legislatively mandated functions. Copies of board minutes are posted on the Board of Regents website, and a representative example of meeting minutes is attached (Board of Regents minutes March 1-2, 2018).

The *Regents' Rules*, which are publicly available online, are distributed to all new regents at the time of their appointment. In addition, each new regent participates in a training program that focuses on the official role

and duties of the members of the board and includes training in the areas of budgeting, policy development, and governance. Topics covered by this training program include the role of the board and the relationship between the board and TTUHSC's administration, faculty, staff, and students (*Title 3 Texas Education Code, §61.084*). A sample agenda for a new regent orientation and an overview of the new regent training process are attached. (See also *Standard 4.2.f, External Influence).*

The *Regents' Rules* and *TTUHSC Operating Policies and Procedures* are communicated to TTUHSC faculty, staff, and students online. A link to the *Regents' Rules* is provided on the TTUHSC policies and manuals website, which also provides a link to the *TTUHSC Operating Policies and Procedures*. A listing of the most recently revised, added, combined and/or deleted *TTUHSC Operating Polices and Procedures* is provided at the top of the table of contents page for the *TTUHSC OPs*. The TTUHSC community is also notified of updates to the *TTUHSC OPs* through the TTUHSC announcement page (*TTUHSC OP 10.01.7, Operating Policies and Procedures for TTUHSC).*

FACULTY

The *Regents' Rules* also address faculty responsibilities in teaching, research, and service (Sections 04.04.3 - 04.04.7, *Regents' Rules*). For example, the Board of Regents charges faculty with the responsibility and authority to evaluate the quality of student achievement (Section 04.04.3, *Regents' Rules*) and to participate in the formulation of academic policies (Section 04.04.5, *Regents' Rules*). In addition to the institutional policies cited above, the TTUHSC Faculty Senate, whose purpose is to represent the faculty as an advisor body to the TTUHSC President on common issues affecting faculty and their responsibilities in teaching, practice, research, and service (Article II, Faculty Senate Constitution), also publish policies related to academics and faculty governance. An example of these policies include the TTUHSC Faculty Senate Bylaws.

SUMMARY

A clear and appropriate distinction exists, in writing and practice, between the policy-making functions of the Texas Tech University System (TTU System) Board of Regents and the responsibility of the Texas Tech University Health Sciences Center (TTUHSC) administration and faculty to administer and implement policy. Thus, TTUHSC remains in compliance with the current standard.

4.2.c

CEO Evaluation/Selection

The governing board selects and regularly evaluates the institution's chief executive officer.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Under the provisions of the *Texas Education Code*, the Texas State Legislature has delegated to the Board of Regents of the Texas Tech University System (TTU System) the responsibility to appoint the chancellor or other chief executive officer (CEO) of the TTU System and the president or other chief executive officer of each component institution as indicated in the *Rules and Regulations of the Board of Regents of the Texas Tech University System (Regents' Rules)* (Texas Education Code, §51.352(d), Texas Education Code §109.004, Section 02.04.1, *Regents' Rules*).

The chancellor is the Chief Executive Officer of the TTU System, who reports and is responsible to the Board of Regents. The TTUHSC president reports and is responsible to the chancellor of the TTU System (Section 02.04.1, *Regents' Rules*). This administrative report structure is illustrated in the TTUHSC Organizational Chart. The TTUHSC president is appointed by the Board of Regents by the affirmative vote of a majority of the board members in office at the time, with a recommendation provided by the chancellor for the board's consideration (Section 02.03.1, *Regents' Rules*).

SELECTION OF THE PRESIDENT

The most recent search for a TTUHSC president was initiated by the chancellor of the TTU System and the Board of Regents in October 2009. The selection process at that time required the chancellor to secure the prior approval of the Board of Regents before the chancellor appointed a president. The Board of Regents authorized the engagement of a professional executive search firm.

The chancellor coordinated the search and established two committees; a 24-member Presidential Search Advisory Committee and a 5-member Presidential Search Committee (see attached press releases that announced the Search and Advisory Committees and the rosters of those committees). The members of both the Search Committee and the Advisory Committee were required to execute a Code of Ethics and Confidentiality Agreement that set forth certain standards and guidelines for the conduct of the search.

The chancellor charged the Search Committee with soliciting, reviewing, and screening candidates for the position of president of TTUHSC and recommending a slate of highly qualified candidates for the chancellor's and the board's consideration. The Advisory Committee was established by the chancellor to ensure representation of key TTUHSC stakeholders in the selection process and included faculty, administration, staff, students, and members of communities in which TTUHSC operates. This broad-based group worked under the guidance of the Search Committee and provided assistance in identifying potential candidates, participated in the initial screenings of candidates, and ensured that their respective constituency groups were kept updated on the progress of the search. The search process was guided by a position description that was established by

the Board of Regents, the chancellor, and the Search Committee (see attached position prospectus).

The presidential search process concluded successfully when the chancellor, with the prior approval of the Board of Regents, selected Dr. Tedd L. Mitchell on February 26, 2010, as the sole finalist to be the next president of TTUHSC. The Board of Regents confirmed President Mitchell's official appointment in its meeting on April 1, 2010.

EVALUATION OF PRESIDENT

Within the policies of the Board of Regents and under the supervision of the chancellor of the TTU System, the TTUHSC president has "general authority and responsibility for the administration" of TTUHSC, including development and administration of all operations; recommendation of operating budgets; supervision of expenditures; oversight of fundraising and strategic planning; and preparation of policies, procedures, rules, and regulations for governance. Specific expectations associated with this authority are also defined (Section 02.04.2, *Regents' Rules*; see also *Standard 5.2.a, CEO Control).*

Presidents of TTU System component institutions are evaluated based on their performance in accordance with Section 02.03.4.b, *Regents' Rules*. Evaluations take place in executive sessions of the Board of Regents. As part of the annual evaluation, the Board of Regents and chancellor set goals for the component institutions for the upcoming year. The board and chancellor also provide the presidents of the component institutions with interim evaluations and feedback as needed. The Board of Regents conducted an evaluation of President Mitchell in executive session of its May 18, 2017 meeting. The most recent evaluation of President Mitchell was conducted in executive session of the Board of Regents May 17, 2018 meeting, as shown in the open meeting notice posted with the Texas Secretary of State.

SUMMARY

In summary, TTUHSC meets the requirements of compliance in the current standard. The governing board of the institution, the Board of Regents of the Texas Tech University System, selects and annually evaluates the institution's chief executive officer.

4.2.d

Conflict of Interest

The governing board defines and addresses potential conflict of interest for its members.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

As a component institution of the Texas Tech University System (TTU System), Texas Tech University Health Sciences Center (TTUHSC) has a governing body of nine voting members, the Board of Regents, which is the legal body with specific authority over the institution. As reflected in the *Texas Education Code (TEC)*, the Texas State Legislature delegates to the Board of Regents the power and authority to govern, control and direct the policies of the TTU System and its component institutions (*Title 3 Texas Education Codes, §109.001 and §109.002).* In accordance with the *Rules and Regulations of the Board of Regents of the Texas Tech University System (Regents' Rules)*, the legislature also delegates to the board the power and authority to govern, control, and direct the policies fo the TTU System (Section 01.02.2, *Regents' Rules*).

The Board of Regents members are appointed by the governor of Texas with the advice and consent of the senate for staggered terms of six years each, with the terms of three members expiring January 31 of odd-numbered years (*Title 3 Texas Education Codes, §109.002 and §109.003* and Section 01.02.2.a, *Regents' Rules*). A non-voting student regent is also appointed by the governor for a one-year term, from June 1 to May 31 *(Title 3 Texas Education Code, §51.355* and Section 01.02.2.b, *Regents' Rules*). (See also *Standard 4.1, Governing Board Characteristics).*

CONFLICT OF INTEREST

Members of the Board of Regents of the TTU System are state officials and are subject to the standards of conduct and conflict of interest provisions of *Title 5 Texas Government Code, §572.051*, which forbids state officers or employees from the following:

a. Accepting or soliciting gifts, favors or service that might reasonably influence them in the discharge of official duties;
b. Accepting employment or engaging in a business or professional activity that might induce them to disclose confidential information;
c. Accepting other employment or compensation that could reasonably be expected to impair their independence of judgment;
d. Making personal investments that could reasonably be expected to create a substantial conflict of their private interest and public interest; or,
e. Intentionally or knowingly soliciting, accepting or agreeing to accept any benefit for having exercised their official powers or duties in favor of another.

A state employee who violates this code is subject to employment-related sanctions up to and including termination and is subject to any applicable civil or criminal penalty. Accordingly, Board of Regents members

are informed of their obligation to fulfill their responsibilities in a manner consistent with the provisions of *Title 5 Texas Government Code, § 572.051* and the *Regents' Rules*. A summary of applicable ethics and conduct policies is provided in *Chapter 03.01, Personnel of the Regents' Rules*, which specifies that each member of the Board of Regents is required to perform his or her activities on behalf of the TTU System and in conformity with the following:

Ethics Policy
The ethics policy published in the *Regents' Rules* includes a general policy regarding conflicts of interest, which states that "state officers and employees may not have direct or indirect interests, including financial and other interests, engage in business transactions or professional activities, or incur any obligation of any nature that is in substantial conflict with the proper discharge of the officers' or employees' duties in the public interest" (Section 03.01, *Regents' Rules*). Section 01.03, *Regents' Rules* specifies that this ethics policy applies to members of the Board of Regents.

Provisions of Chapter 09, *Regents' Rules*
The provisions of Chapter 09, *Regents' Rules*, which prohibits investment officers, as referenced in this chapter, from having a personal relationship with any entity seeking to sell an investment to the TTU System (Section 09.02.4, *Regents' Rules*).

Conflict of Interest Policy
In addition, conflict of interest policies specifically related to Board of Regents members are published in Section 03.03, *Regents' Rules*, which states that Board of Regents members "shall avoid any actions or situations that might result in or create the appearance of using their association with the TTU System for private gain, according unwarranted preferential treatment to any outside individual or organization, losing independence or impartiality, or adversely affecting the reputation of or public confidence in the integrity of the TTU System." Both conflict of interest and presumed conflict of interest for board members are outlined in Sections 03.03.2-3, *Regents' Rules*, which states that a conflict arises when the TTU System has or is considering a transaction or other business relationship with a board member or a board member's family. For this reason, any transaction or other business relationship between the TTU System and a board member or board member's family is prohibited. Board members have the ultimate responsibility for reporting conflicts and refraining from prohibited actions. An examples of members' abstention from voting on matters in which a conflict of interest exists isprovided in the minutes of Board of Regents meeting held in February 2016.

Public Financial Statements
According to *Title 5 Texas Government Code, §572.021*, all public officials, including members of the Board of Regents, must file a public financial statement annually with the Texas Ethics Commission (Section 03.03.4-5, *Regents' Rules*). Falsification of the statement or other violations of the state's standards of conduct have criminal penalties. *Title 5 Texas Government Code, §572.058* defines the procedures necessary for removing from office those state officials who falsify financial information or violate the standards of conduct. All TTU System Board of Regents members filed copies of their 2017 Personal Financial Statements to the Texas Ethics Committee in Spring 2018.

ACKNOWLEDGEMENT BY BOARD OF REGENTS
Section 03.03.1.c, *Regents' Rules* requires each board member to review the policy, disclose all business entities in which a board member, or board member's family member, has a financial interest,

and acknowledge by his or her signature that he or she is in compliance with the letter and spirit of the policy on an annual basis (See below for 2017 signed acknowledgements). Please note, the non-voting student regent is not deemed a state officer by law and thus not required to execute the Conflict of Interest Acknowledgment form.

- L. Frederick Francis: *Conflict of Interest Acknowledgement*
- Tim Lancaster: *Conflict of Interest Acknowledgement*
- John Esparza: *Conflict of Interest Acknowledgement*
- Mickey L. Long: *Conflict of Interest Acknowledgement*
- Ronnie Hammonds: *Conflict of Interest Acknowledgement*
- Christopher M. Huckabee: *Conflict of Interest Acknowledgement*
- J. Michael Lewis: *Conflict of Interest Acknowledgement*
- John Steinmetz: *Conflict of Interest Acknowledgement*
- John Walker: *Conflict of Interest Acknowledgement*

The ethics and conflicts of interest policies of the Board of Regents are consistent with the standards prescribed in *Title 5 Texas Government Code, §572.051*, and the board distributes its policies and the *Title 5 Texas Government Code, §572.051* to each new board member and each new officer not later than the third business day after the date the person becomes a board member and/or qualifies for office.

SUMMARY

Based on evidence provided in the preceding narrative, TTUHSC is in compliance with the current standard. The Board of Regents for the TTU System maintain integrity of the educational enterprise by defining and addressing potential conflict of interests for its members. The Board of Regents maintains publication and consistent implementation of a conflict of interest policy for its members, who annually sign a conflict of interest acknowledgment form recognizing that he or she is in compliance with the letter and spirit of the policy.

4.2.e

Board Dismissal

The governing board has appropriate and fair processes for the dismissal of a board member.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center is a component institution of the Texas Tech University System (TTU System), and is governed by a board of nine regents appointed by the governor with the advice and consent of the senate (*Title 3 Texas Education Codes, §109.001–109.002* and *§110.01–110.03)*. The members hold office for staggered terms of six years, with the terms of three members expiring January 31 of odd-numbered years. A non-voting student regent is also appointed by the governor for a one-year term from June 1 to May 31 (*Title 3 Texas Education Code, §51.355*). (See also *Standard 4.1, Governing Board Characteristics).*

The Texas Constitution and state statutes control the dismissal of a member of the governing board of a public higher education system or institution in Texas. These constitutional and statutory provisions do not authorize dismissal of a board member by unilateral action of a governing board. Rather, the *Article XV, §9 of the Texas Constitution* provides for the removal from office of appointed officials: "the governor who appoints an officer may remove the officer with the advice and consent of two-thirds of the members of the senate present." Additionally, *Title 5 Texas Government Code, §665* also provides for removal from office of an appointed governing board member via an impeachment process that may be initiated by the state legislature.

Members of the Board of Regents are considered state officials and are subject to the ethics policies defined in the *Texas Government Code*, including those related to personal financial disclosure (*Texas Government Code, §572.021)* and standards of conduct and conflict of interest (*Texas Government Code, §572.051*). Any member of the Board of Regents who violates the ethics policies is subject to removal from office in accordance with the provisions delineated in *Texas Government Code, §572.058.* The process for dismissal involves a petition by the attorney general identifying the alleged violation and a decision by due process of a court or jury that the individual violated a standard of conduct for a state official.

TTUHSC has no example of implementation available regarding dismissal as no such dismissals have taken place for Board of Regents of the TTU System.

SUMMARY

In summary, the Board of Regents, governing board for the Texas Tech University System, has appropriate and fair processes for the dismissal of a board member. Substantive and procedural processes are derived from state law. No such dismissals have taken place for members of the Board of Regents of the Texas Tech University System.

4.2.f

External Influence

The governing board protects the institution from undue influence by external persons or bodies.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

As a component institution of the Texas Tech University System (TTU System), Texas Tech University Health Sciences Center (TTUHSC) has a governing body of nine voting members, the Board of Regents, which is the legal body with specific authority over the institution. As reflected in the *Texas Education Code (TEC)*, the Texas State Legislature delegates to the Board of Regents the power and authority to govern, control and direct the policies of the TTU System and its component institutions (*Title 3 Texas Education Codes, §109.001 and §109.002).* In accordance with the *Rules and Regulations of the Board of Regents of the Texas Tech University System (Regents' Rules)*, the legislature also delegates to the board the power and authority to govern, control, and direct the policies fo the TTU System (Section 01.02.2, *Regents' Rules*).

The Board of Regents members are appointed by the governor of Texas with the advice and consent of the senate for staggered terms of six years each, with the terms of three members expiring January 31 of odd-numbered years (*Title 3 Texas Education Codes, §109.002 and §109.003* and Section 01.02.2.a, *Regents' Rules).* A non-voting student regent is also appointed by the governor for a one-year term, from June 1 to May 31 (*Title 3 Texas Education Code, §51.355* and Section 01.02.2.b, *Regents' Rules).* (See also *Standard 4.1, Governing Board Characteristics).*

TTU SYSTEM POLICIES

As public officials, Board of Regents members are expected to preserve institutional independence and to defend the institution's right to manage its own affairs through its chosen administrators and employees" (*Title 3 Texas Education Code, §51.352).* All state laws relating to ethics and conduct of public officials are applicable to members of the Board of Regents, and include stipulations regarding personal financial disclosure, standards of conduct, and conflict of interest (*Title 5 Texas Government Code, §572.051).* Section 01.01.1.a, *Regents' Rules*, incorporates the statutory language and states that the board "shall preserve the independence of the TTU system and defend its right to manage its own affairs through its chosen administrators and employees."

The Board of Regents has also adopted its own ethics policy prohibiting its members from having a direct or indirect interest or taking part in business or professional activities that are in conflict with the performance of their duties as trustees of the public interest. This policy is published in Section 03.01 and Section 03.03, *Regents' Rules*. Every year, all members of the Board of Regents are required to review the conflict of interest policy, disclose all business entities, and sign an acknowledgement of compliance. (See *Standard 4.2.d, Conflict of Interest* for the Board of Regents' Acknowledgement of Compliance forms). Details about the current Board of Regents members, including information regarding each member's occupation and professional affiliations are provided in *Standard 4.1 (Governing Board Characteristics).*

To facilitate public oversight of its actions, the Board of Regents complies with the requirement of the Texas Open Meetings Act and does not conduct official business unless the business has been placed on its meeting agenda and posted publicly (*Title 5 Texas Government Code §§551.001–551.146*, specifically *§551.002* and *§551.041-.042).* Copies of board minutes are posted on the Board of Regents website, and a representative example of meeting minutes is attached (Board of Regents meeting minutes, March 1-2, 2018).

NEW REGENT TRAINING

The ethics and conflict of interest policies of the Board of Regents is consistent with the standards prescribed in *Title 5 Texas Government Code, §572.051*, and the board distributes its ethics policy and the *Title 5 Texas Government Code §572.051* to each new board member and each new officer not later than the third business day after the date the person becomes a board member and/or qualifies for office.

In addition, each new regent participates in a training program that focuses on the official role and duties of the members of the board and includes training in the areas of budgeting, policy development, and governance. Topics covered by this training program include the requirements of the open meetings and open records law, the requirements of conflict of interest laws and other laws relating to public officials, and the Board of Regents ethics policy (*Title 3 Texas Education Code, §61.084).*

New regent training requirements apply to all regents whose first year of service on the Board of Regents began or will begin after January 1, 2016. The training includes three components: 1) before voting, the regent must attend an intensive short course training on budgetary and personnel matters offered by the Texas Higher Education Coordinating Board (THECB); 2) within the first year of service, the new regent must attend a day-long program offered by THECB or watch a 6.5 hour online training video and pass an assessment with a score of 70 percent or above; and, 3) within 90 days of taking the Oath of Office, the regent must complete the "Open Meetings Act/Public Information Act" training offered by the Texas Attorney General. TTU System regents are exempted from the fourth requirement of a "Public Funds Investment Act" training due to the scope of its investments. A sample agenda from Regent J. Michael Lewis' orientation session and an overview of the new regent training process are attached.

SUMMARY

Based on evidence provided in the preceding narrative, TTUHSC is in compliance with the current standard. The Board of Regents of the TTU System protects the institution from undue influence by external persons or bodies. The Board of Regents has been vested with the authority to make decisions regarding the institution without the influence of outside persons, boards, religious, or legislative bodies. Such outside influences do not interfere with the Board of Regents' ultimate authority to fulfill its responsibilities or interfere with the operations of TTUHSC.

4.2.g

Board Self-evaluation

The governing board defines and regularly evaluates its responsibilities and expectations.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) is compliant with Requirement 4.2.g, *Board Self-evaluation*. To promote continuous improvement, the Texas Tech University System (TTU System) Board of Regents regularly self-evaluates its responsibilities and expectations.

BOARD OF REGENTS OF THE TEXAS TECH UNIVERSITY SYSTEM

As a component of the TTU System, TTUHSC is governed by the Board of Regents. The Board of Regents is a governing body of nine voting members that is the legal body with specific authority over the institution. In accordance with the *Texas Education Code* and as reflected in the *Rules and Regulations of the Board of Regents of the Texas Tech University System (Regents' Rules)*, the Texas State Legislature delegates to the Board of Regents the power and authority to govern, control and direct the policies of the TTU System and its component institutions *(Title 3 Texas Education Codes, §109.001 and §109.002 and Section 01.02.1, Regents' Rules).*

In addition, *Title 3 Texas Education Code, §51.352* outlines the responsibilities of governing boards of institutions of higher education. In accordance with *Title 3 Texas Education Code §51.352*, Section 01.01.1, *Regents' Rules* states that the board shall:

a) preserve the independence of the TTU system and defend its right to manage its own affairs through its chosen administrators and employees;
b) enhance the public image of all components of the TTU system;
c) interpret the community to the campus and interpret the campus to the community;
d) nurture each institution under its governance to the end that each institution achieves its full potential within its role and mission; and
e) insist on clarity of focus and mission of each institution under its governance.

For more information on the characteristics of the TTU System Board of Regents, see *Standard 4.1 (Governing Board Characteristics).*

SELF-EVALUATION OF THE BOARD

Though a formal board self-evaluation process was not implemented until March 2018, the TTU System Board of Regents has evaluated its responsibilities and expectations consistently through, 1) regular reviews of the Board of Regents' Bylaws, 2) annual reviews of institutional strategic plans, and 3) annual reviews of the TTU System Chancellor and presidents of the TTU System's four component institutions. (See also Standards *4.1, Governing Board Characteristics*, *4.2.a, Mission Review*, and *4.2.c, CEO Evaluation/Selection).*

Section 01.01.04, *Regents' Rules* was established in March 2018*,* and requires that the Board of Regents of the TTU System regularly complete a self-evaluation using assessment practices and strategies appropriate for the circumstances that the TTU System is facing at the time.

During the Executive Session of the May 2018 Board of Regents meeting, the Board conducted its first formal self-evaluation. Advance preparations for the Board to conduct this self-evaluation involved the chair and vice chair of the Board separately calling each Regent individually prior to the meeting at which the self-evaluation was discussed by the Regents as a group. During these advance calls and the group discussion that followed, a discussion guide that had been provided to all Regents was used to assist in the evaluation of key elements of the performance of the Board. The discussion guide was derived from the "Questions to Consider" section of the Commission's *Resource Manual* for the *Principles of Accreditation,* focusing on ten different performance indicators.

Key findings of the self-evaluation included areas of critical strength as well as areas in which improvement is needed. The key findings are as follows:

(1) The Board consists of members who have strong and sometimes differing opinions, but the principle of 1-member/1-vote is observed so that small groups of Regents do not dominate Board decisions through “block voting.”

(2) The members of the Board are mindful of and sensitive to potential conflicts of interest, and Regents are comfortable addressing such issues through consultations with each other and, when necessary, the System’s General Counsel.

(3) The Regents identified a need for better communication between the Board and executive administration of the System and the component institutions.

(4) The Board as a whole needs to spend more time learning about and evaluating major policy issues the System and its component institutions must address. To this end, the Board should spend more time engaged in strategic thinking as opposed to tactical planning.

For a complete and comprehensive self-evaluation of the Board of Regents of the TTU System, please see the Board Self Evaluation 2018 document.

SUMMARY

As the body that holds in trust the fundamental autonomy and ultimate well-being of the institution, the Board of Regents of the TTU System is a critical element in the success of TTUHSC. The TTU System Board of Regents regularly evaluates its responsibilities and expectations as required by Section 01.01.04, *Regents' Rules*, promoting continuous improvement system-wide. Thus, TTUHSC is in compliance with the current standard.

4.3

Multi-level Governance

If an institution's governing board does not retain sole legal authority and operating control in a multi-level governance system, then the institution clearly defines that authority and control for the following areas within its governance structure: (a) institution's mission, (b) fiscal stability of the institution, and (c) institutional policy.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Board of Regents of the Texas Tech University System (TTU System) maintains legal authority and operating control over Texas Tech University Health Sciences Center (TTUHSC), as defined by Texas law and the *Rules and Regulations of the Board of Regents of the Texas Tech University System* (*Regents' Rules).* TTUHSC's branch campuses of Abilene, Amarillo, Dallas, and Odessa are also controlled and operated by the Board of Regents of the TTU System.

According to the *Texas Education Code*, the governing board of an institution of higher education in Texas is responsible for providing policy direction for each institution of higher education under its management and control (*Texas Education Code, §51.352.b*). Chapters 109 and 110 of the *Texas Education Code* provide specific information regarding the role and responsibilities of the Board of Regents of the TTU System. See, for example, *Texas Education Code, §109.001.c* and *Texas Education Code, §110.01-03*. The Board of Regents is also subject to the authority of the Texas Higher Education Coordinating Board (THECB), which is charged with actively promoting quality education in the various regions of the state. The THECB is responsible for coordinating institutions of higher education in Texas, as detailed in the *Texas Education Code, §61.051*.

As stated in *Chapter 01, Bylaws* of the *Regents' Rules*, the Board of Regents accepts and adopts the role and responsibilities assigned by law to the governing boards of public institutions and systems of higher education in the State of Texas. To facilitate public oversight of its actions, the Board of Regents complies with the requirement of the Texas Open Meetings Act and does not conduct official business unless the business has been placed on its meeting agenda and posted publicly (*Title 5 Texas Government Code §§551.001–551.146*, specifically *§551.002* and *§551.041-.042).* Copies of board minutes are posted on the Board of Regents website, and a representative example of meeting minutes is attached (Board of Regents meeting minutes, March 1-2, 2018).

INSTITUTIONAL MISSION

One responsibility of the Board of Regents is to ensure the regular review of the mission of each of its component institutions. The Texas Higher Education Coordinating Board (THECB) regularly reviews TTUHSC's role, mission, and degree programs in cooperation with the Board of Regents.*Title 19 Texas Administrative Code* assigns responsibility for periodic review of mission statements to the respective institutional board, stating, "The Board of Regents shall approve or re-approve institutional mission statements. The Board of Regents shall provide the Coordinating Board a copy of its current institutional mission statements after any

change has been approved by the Board of Regents" (*§5.24(2), Texas Administrative Code*). To fulfill its role and responsibilities, in accordance with the *Regents' Rules*, the Board of Regents ensures focus, clarity, and mission, provides policy direction for and establishes goals consistent with the role and mission of each institution under its management and control (Sections 01.01.1-2, *Regents' Rules*).

The Board of Regents' oversight of the institutional mission is facilitated by the Academic, Clinical and Student Affairs Committee, a standing committee of the Board of Regents that consists of three appointed members and the student regent. Considerations of this committee include, the educational mission and academic programs of the various schools and units within the TTU system, the clinical programs (both patient care services and clinical investigation) within TTUHSC and their relationship to the educational mission and academic programs, and research programs within TTUHSC." (Section 01.02.8.d(1), *Regents' Rules*). The periodic review of mission statements of TTU System component institutions are conducted by the Board of Regents as indicated the board's Comprehensive Reviews and Updates, showing a revision of the TTU System mission statement as well as the adoption of the mission statement for Texas Tech University Health Sciences Center at El Paso.

TTUHSC's current mission statement was most recently reviewed and approved by the Board of Regents in May 2017, as shown in the May 18, 2017 Board of Regents Meeting Minutes. Prior to approval by the Board of Regents, the TTUHSC mission statement was reviewed by members of the TTUHSC President's Executive Council in Spring 2017. The review process began at the strategic planning retreat in January 2017. During the two-month process, institutional leaders discussed the mission, developed potential revisions, and participated in a survey to provide feedback about three proposed alternatives. The Texas Higher Education Coordinating Board also acknowledged the mission's revision in July 2017 (See the attached THECB letter). (See also *Standard 2.1, Institutional Mission*, and *Standard 4.2.a, Review of Mission).*

FISCAL STABILITY OF THE INSTITUTION

As defined in *Chapter 7, Fiscal Management* of the *Regents' Rules*, the board and the principal officers of the TTU System have fiduciary responsibilities in the administration of all funds subject to the control and management of the TTU System (Section 07.01*, Regents' Rules*).

Budget Rules and Procedures

According to the Board of Regents' budget rules and procedures (Section 07.04*, Regents' Rules*), the board is required by law to approve an annual budget covering the operation of the ensuing fiscal year. This budget is prepared within the limits of revenue available from legislative appropriations and estimated local and other funds. The budget is constructed along organizational lines using appropriate fund groupings required by state law or recommended by the State Auditor's Office or the State Comptroller's Office.

The budget is also prepared in accordance with rules of the THECB. The *Texas Education Code* authorizes the THECB to evaluate the state's information requirements for the purposes of maintaining a uniform system of financial accounting and reporting consistent with national standards for institutions of higher education (*Title 3 Texas Education Code, §61.065).* The governing board of each institution must approve an itemized current operating budget on or before September 1 of each year and submit copies to the THECB, the Governor's Budget and Planning Office, the Legislative Budget Board, and the Legislative Reference Library by December 1 of each fiscal year (*Title 19 Texas Administrative Codes, §13.42* and *§13.43).* The TTUHSC operating budget for Fiscal Year 2018 was approved by the Board of Regents during the August 2017 Board of Regents meeting (see

attached meeting minutes). (See also *Standard 13.1, Financial Resources).*

The board fulfills its oversight responsibilities by reviewing and approving general budgeting policies and establishing general budget priorities. The board delegates detailed budgetary development and control to the chancellor, the presidents, and the chief fiscal officers of the component institutions (Section 07.04.2.c*, Regents' Rules*). The Finance and Administration Committee, a standing committee of the board, oversees the budgeting process and reviews all requests for budgets covering expenditures of educational and general funds, designated funds, and auxiliary programs (Section 01.02.8.d.(3)*, Regents' Rules*). (See also *Standard 13.3, Financial Responsibility).*

Debt Management

The Board of Regents is also responsible for authorizing the issuance of all TTU System indebtedness in accordance with the board's debt management policy (Section 07.05, *Regents' Rules).* All debt programs are made in accordance with applicable state and federal statutes and regulations. To the extent permitted by law, the board may grant to the chancellor the authority to issue short-term indebtedness. The short-term debt program is utilized for capital projects during construction and for equipment acquisition. All conversions to long-term or bond indebtedness are approved by the board. The TTU System Office of Investments is charged with managing the TTU System's debt. For more information, please see *Standard 13.3 (Financial Responsibility).*

Office of Audit Services

The TTU system-wide Office of Audit Services has been established to assist the Board of Regents and other units of the TTU System by providing risk-based and objective assurance, advice, and insight (Section 07.02.1, *Regents' Rules*), including financial and other types of risks.The Office of Audit Services reports directly to the Board of Regents and functions independently of TTUHSC and the other component institutions in the TTU System. Operating policies governing the Office of Audit Services are defined in Section 07.02*, Regent's Rules* and in *HSC OP 04.01, Operation of the Office of Audit Services*.

The Office of Audit Services prepares an Annual Audit Report and a combined Annual Financial Report as required by the Texas Internal Auditing Act (*Title 5 Texas Government Code, §2102.009).* The Annual Audit Report includes a list of completed audits and other services provide by the Office of Audit Services during the past fiscal year, the audit plan for the upcoming year, organizational charts, a description of the risk assessment process, and documentation of external quality assurance review. The Annual Audit Report for the Year Ended August 31, 2017 and the Annual Audit Plan for the Year Ending August 31, 2018 for are attached. Additional examples from previous fiscal years are available on the TTU System website. The Annual Financial Report for Fiscal Year 2017 is also attached.

In addition to the internal audits conducted by the Office of Audit Services, TTUHSC is periodically the subject of audits or reviews performed by the State Auditor's Office, the State Comptroller's Office, the Texas Higher Education Coordinating Board, the Legislative Budget Board, other state or federal agencies, or external auditors engaged by those agencies. *TTUHSC OP 04.02, Audits and Reviews by External Auditors* sets forth the procedures for communication among TTUHSC departments and Office of Audit Services related to audits and reviews by external auditors. For more information, please see *Standard 13.3 (Financial Responsibility).*

INSTITUTIONAL POLICY

As reflected in the *Texas Education Code* and reiterated in the *Regents' Rules*, the Texas Legislature has assigned to the Board of Regents responsibility for the "government, control, and direction of the policies" of all component institutions of the TTU System, of which TTUHSC is a member (*Title 3 Texas Education Code, §109.002* and Section 01.02.1*, Regents' Rules*). The Board of Regents delegates responsibility to the TTUHSC president for preparing and submitting to the chancellor the operating policies, procedures, rules, and regulations for the governance of TTUHSC (Section 02.04.2.j*, Regents' Rules*).

The Board of Regents publishes system-wide policies and procedures in the *Regents' Rules*, which are published on the TTU System website. The Board of Regents regularly examines the *Regents' Rules*, conducting comprehensive updates and chapter-level amendments as needed. See, for example, October 2017 Board of Regents meeting minutes where the board approved amendments to *Chapter 08, Facilities* of the *Regents' Rules* regarding approval of major construction policies to add even more transparency to those processes. All updates and amendments are summarized as Comprehensive Reviews/Updates and Amendments and posted on the Board of Regents website.

TTUHSC Operating Policies and Procedures (TTUHSC OP), available on the TTUHSC website, are developed in concert with the appropriate administrative and academic input and participation of the affected constituencies. TTUHSC has established a standard process for developing and approving *TTUHSC OPs*, which is defined in *HSC OP 10.01, Operating Policies and Procedures for TTUHSC,* which aligns with the SACSCOC best practice statement on "Developing Policy and Procedure Documents." Department heads or other appropriate administrators may initiate a new operating policy affecting their department or division by routing the proposed operating policy through administrative channels for evaluation and endorsement, as outlined in *TTUHSC OP 10.01*. A listing of the most recently revised, added, combined and/or deleted *TTUHSC Operating Polices and Procedures* is provided at the top of the table of contents page for the *TTUHSC OPs.* The TTUHSC community is also notified of updates to the *TTUHSC OPs* through the TTUHSC announcement page (*TTUHSC OP 10.01.7, Operating Policies and Procedures for TTUHSC).*

To maintain an accurate and effective body of operating policies and procedures that conform to generally accepted practices and policies of higher education, each *TTUHSC OP* is subject to regular review. The review cycle and responsible personnel are identified in each policy. In addition to scheduled reviews, a *TTUHSC OP* can be revised at any time, if needed. Anyone wishing to recommend revisions forwards the proposed revisions to the personnel identified in the review section of the *TTUHSC OP*, and the revision process then follows procedures outlined in *HSC OP 10.01, Operating Policies and Procedures for TTUHSC*.

The *TTUHSC OPs* are subordinate to higher authorities, including federal law, rules, and regulations; state law, rules, and regulations; and *Regents' Rules*. Should there occur at any time a conflict between a TTUHSC OP and a policy and/or procedure as reflected in documents of higher authority (e.g., federal law, state law, Coordinating Board policy, *Regents' Rules*), the policy and/or procedure document of higher authority will prevail (*HSC OP 10.01, Operating Policies and Procedures for TTUHSC).*

SUMMARY

The TTU System and TTUHSC clearly define in writing the authority and control over the following areas with the TTU System's governance structure: institution's mission, fiscal stability of the institution, and institutional policy. According to the *Texas Education Code* and as shown through written policies and procedures as

defined in the *Rules and Regulations of the Board of Regents of the Texas Tech University System* and in *TTUHSC Operating Policies and Procedures,* the Board of Regents of the TTU System maintains legal authority and operating control over Texas Tech University Health Sciences Center. The Board of Regents delegates authority to each of their component systems as documented in the *Regents' Rules*. Thus, TTUHSC is in compliance with the current standard.

5.1

Chief Executive Officer

The institution has a chief executive officer whose primary responsibility is to the institution.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) has a president, who is the chief executive officer of the institution. The president is not the presiding officer of the Board of Regents of the Texas Tech University System (TTU System), but has the appropriate authority and responsibility to administer and execute the policies that advance TTUHSC's board-approved mission, goals, and priorities.

GOVERNANCE

The Texas State Legislature has delegated to the Board of Regents of the TTU System the responsibility to appoint the chancellor or other chief executive officer of the system and to appoint the president or other chief executive officer of each component institution (*Texas Education Code, §51.352(d)).* In accordance with the *Rules and Regulations of the Board of Regents of the Texas Tech University System (Regents' Rules),* the legislature also delegates to the board the power and authority to govern, control, and direct the policies fo the TTU System (Section 01.02.1(a), *Regents' Rules*).

The chancellor is the Chief Executive Officer of the TTU System, who reports and is responsible to the Board of Regents. The presiding officer of the Board of Regents is the chairperson, selected by board members from among their own number. The chairperson reports to and is responsible to the board, and must be free of any employment financial interest in a TTU System component institution (Section 01.02.3, *Regents' Rules*). The TTUHSC president reports and is responsible to the chancellor of the TTU System (Section 02.04.1, *Regents' Rules*). This administrative report structure is illustrated in the TTUHSC Organizational Chart.

Within the policies of the Board of Regents and under the supervision of the chancellor of the TTU System, the TTUHSC president has “general authority and responsibility for the administration" of TTUHSC, including development and administration of all operations; recommendation of operating budgets; supervision of expenditures; oversight of fundraising and strategic planning; and preparation of policies, procedures, rules, and regulations for governance. Specific expectations associated with this authority are also defined (Section 02.04.2, *Regents’ Rules*; see also *Standard 5.2.a, CEO Control).*

CURRENT TTUHSC PRESIDENT

The current president of TTUHSC is Dr. Tedd L. Mitchell, who also serves as a tenured professor in the TTUHSC School of Medicine, Department of Internal Medicine (see Curriculum Vitae, Tedd L. Mitchell). Dr. Mitchell was selected and confirmed as TTUHSC President in 2010 after a coordinated search effort by the chancellor who established a 24-member Presidential Search Advisory Committee and a 5-member Presidential Search Committee. Detailed information regarding the selection process that resulted in Dr. Mitchell's appointment is provided in *Standard 4.2.c (CEO Evaluation/Selection).*

The *TTUHSC Operating Policies and Procedures* further define the president's authority as follows: "The president oversees the educational, fiscal, operational and research programs of TTUHSC. The President is charged with developing, implementing, and reviewing academic policies and programs including the education, research, and clinical missions of the Health Sciences Center. The Office of the President coordinates activities of academic deans and directors and informs and advises the Chancellor on academic matters" (*TTUHSC OP 01.07.4, Organization of Texas Tech University Health Sciences Center, TTUHSC President).* The TTUHSC president also has the responsibility to establish a clear delegation of authority to selected senior administrative officers to facilitate the management of TTUHSC (*TTUHSC OP 10.11, Delegation of Authority by the President).* Accordingly, the TTUHSC president has primary responsibility and appropriate authority for the administration of TTUHSC. Administrators who report directly to the TTUHSC president are identified on the TTUHSC Organizational Chart.

CONFLICT OF INTEREST AND EVALUATION

In accordance with Section 03.04.01.1.a, *Regents' Rules*, executive administration of the component institutions of Texas Tech University System, including university presidents, are to "serve the public trust and have a clear obligation to fulfill their responsibilities in a manner consistent with this duty and the provisions of *Chapter 572, Texas Government Code*, and in particular with the standards of conduct set out in *Section 572.051* of that chapter."

Accordingly, Dr. Tedd L. Mitchell, president of TTUHSC, is to act in a manner consistent with his responsibilities to the TTU system and avoid circumstances in which his financial or other ties to outside persons or entities could present an actual, potential, or apparent conflict of interest or impair the reputation of the TTU system. (See Section 03.04.1(b), *Regents' Rules*). Consistent with this, Dr. Mitchell annually submits a Personal Financial Statement with the Texas Ethics Commission as required under *Chapter 572.021, Texas Government Code*. This document provides confirmation of Dr. Mitchell's recent submission to the Texas Ethics Commission in March 2018.

Presidents are evaluated based on their performance in accordance with Section 02.03.4, *Regents' Rules*. Annually, the chancellor presents to and discusses with the Board of Regents the chancellor's evaluation of the performance of the presidents of all component institutions in the TTU System. After the chancellor and the Board of Regents have agreed upon the annual evaluation of the president's performance, the chancellor shall share the evaluation with the president (Section 02.03.4.b, *Regents' Rules).* The most recent evaluation of President Mitchell was conducted in executive session of the Board of Regents May 17, 2018 meeting, as shown in the open meeting notice posted with the Texas Secretary of State.

SUMMARY

In summary, the president of TTUHSC serves as chief executive officer and has primary responsibility to the institution. The president has primary responsibility for priorities and initiative that advance TTUHSC's board-approved mission, goals, and priorities. The president's responsibilities are not shared among competing interests and the president does not hold any other position other than that of institutional chief executive officer. Therefore, TTUHSC is in compliance with Standard 5.1.

5.2.a

CEO Control

The chief executive officer has ultimate responsibility for, and exercises appropriate control over, the following: (a) the institution's educational, administrative, and fiscal programs and services.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) has a president, who is the chief executive officer of the institution. The president is not the presiding officer of the Board of Regents of the Texas Tech University System (TTU System), but has the appropriate authority and responsibility to administer and execute the policies that advance TTUHSC's board-approved mission, goals, and priorities (See *Standard 4.1 Governing Board Characteristics).*

In accordance with the *Rules and Regulations of the Board of Regents of the Texas Tech University System (Regents' Rules)* and under the supervision of the chancellor of the TTU System, the TTUHSC president has "general authority and responsibility for the administration" of TTUHSC. (Section 02.04.2, *Regents' Rules*). In particular, the Board of Regents charges the president of TTUHSC with specified duties delineated in the Section 02.04.02, *Regents' Rules*, to include, among others:

- the development, administration, and coordination of all operations and programs of TTUHSC
- the development and administration of polices relating to students and proper management of services to patients
- ensuring that TTUHSC provides a high quality educational curriculum and faculty for the benefit of students
- the recommendation of operating budgets and supervision of expenditures under approved budgets
- ensuring the proper administration of the financial affairs of TTUHSC, including the accounting, financial oversight, and financial report preparation
- the preparation and submission to the chancellor the operating policies, procedures, rules, and regulations for the governance of TTUHSC
- the initiation of development of long-range strategic plans
- ensuring that TTUHSC acquires the necessary public and private resources for successful achievement of its goals and objectives
- the development and implementation of policies that ensure TTUHSC remains in compliance with any accreditation requirements
- the development and implementation of programs that promote ethical behavior and ensure compliance with all applicable policies, laws, and rules governing public higher education in Texas

The *TTUHSC Operating Policies and Procedures* further define the president's authority as follows: "The president oversees the educational, fiscal, operational and research programs of TTUHSC. The President is charged with developing, implementing, and reviewing academic policies and programs including the

education, research, and clinical missions of the Health Sciences Center. The Office of the President coordinates activities of academic deans and directors and informs and advises the Chancellor on academic matters" (*HSC OP 01.07.4, Organization of Texas Tech University Health Sciences Center, TTUHSC President*). Accordingly, the TTUHSC president has primary responsibility and appropriate authority for the administration of TTUHSC.

The TTUHSC president also has the responsibility to establish a clear delegation of authority to selected senior administrative officers to facilitate the management of TTUHSC *(TTUHSC OP 10.11, Delegation of Authority by the President)*. The president of TTUHSC works closely with the deans and various vice presidents, demonstrated on TTUHSC's Organizational Chart that is available in the public TTUHSC Fact Book, to ensure that the institution's educational, administrative, and fiscal programs and services are carried out in an effective manner and that such priorities address TTUHSC's mission and align with strategic priorities stated in its 2018-2020 Strategic Plan.

As an example of the president's oversight of the institution's educational services, all new educational programs and significant changes to existing programs are subject to the policies and procedures described in *TTUHSC OP 60.11, New Degree Programs, Implementing Significant Curricular Changes, and Degree and Certificate Program Termination.* This policy, which applies to traditional and distance education programs, describes the roles of faculty, program directors, department chairs, school deans, the TTUHSC President, and Texas Tech University (TTU) System Board of Regents in the development of new programs and/or the revision of existing programs. See, for example, the approval routing sheet for expanding the Doctor of Pharmacy program from two to four years on the Dallas campus.

SUMMARY

In summary, the president of TTUHSC has ultimate responsibility for and exercises appropriate control over the institution's educational, administrative, and fiscal program and services. Thus, TTUHSC maintains compliance with the current standard.

5.2.b

Control of Intercollegiate Athletics

The chief executive officer has ultimate responsibility for, and exercise appropriate control over, the following: (b) the institution's intercollegiate athletics program.

Judgment

☐ Compliance ☐ Partial Compliance ☐ Non-Compliance ☑ Not Applicable

Narrative

Texas Tech University Health Sciences Center does not have an intercollegiate athletics program.

5.2.c

Control of Fund-Raising Activities

The chief executive officer has ultimate responsibility for, and exercises appropriate control over, the following: (c) the institution's fund raising activities.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

As a component institution of the Texas Tech University System (TTU System), TTUHSC is governed by the Board of Regents. (See *Standard 4.1, Governing Board Characteristics).* As described in the *Rules and Regulations of the Board of Regents of Texas Tech University System (Regents' Rules)*, "the board and the principal officers of the TTU System have fiduciary responsibilities in the administration of all funds subject to the control and management of the TTU System" (Section 07.01, *Regents' Rules*).

Within the policies of the Board of Regents and under the supervision of the chancellor of the TTU System, the president of TTUHSC has "general authority and responsibility for the administration" of the institution (Section 02.04.2, *Regents' Rules*). In particular, in relation to this standard, the president of TTUHSC is charged by the board with (1) working actively to ensure that the institution secures sufficient financial resources from public and private sources to achieve its goals and objectives and (2) engaging in "fundraising activities that increase the institution's endowment and address the needs of all the institution's schools and colleges" (Section 02.04.2.l, *Regents' Rules*).

The *TTUHSC Operating Policies and Procedures* further define the president's authority as follows: "The president oversees the educational, fiscal, operational and research programs of TTUHSC. The President is charged with developing, implementing, and reviewing academic policies and programs including the education, research, and clinical missions of the Health Sciences Center. The Office of the President coordinates activities of academic deans and directors and informs and advises the Chancellor on academic matters" *(TTUHSC OP 01.07.4, Organization of Texas Tech University Health Sciences Center, TTUHSC President).* The TTUHSC president also has responsibility to establish clear delegation of authority to selected senior administrative officers *(TTUHSC OP 10.11, Delegation of Authority by the President)*. Accordingly, the TTUHSC president has primary responsibility and appropriate authority for the administration of TTUHSC.

The TTU System's Vice Chancellor for Institutional Advancement, in cooperation with TTUHSC's Associate Vice Chancellor for Institutional Advancement/Vice President of External Relations assists the president in these responsibilities. The TTU System's Vice Chancellor reports directly to the chancellor of the TTU System and oversees all fundraising for the system, including annual campaigns, major and planned gifts, and corporate and foundation support. TTUHSC's Associate Vice Chancellor for Institutional Advancement/Vice President of External Relations oversees the TTUHSC Office of Institutional Advancement who is responsible for soliciting, coordinating, approving, and reporting all fund raising from the private sector (*TTUHSC OP 02.01.2.a(1)*). This includes both projects and proposals initiated by the Office of Institutional Advancement and those initiated elsewhere in TTUHSC and its related corporate entity. The Associate Vice Chancellor of Institutional

Advancement/Vice President of External Relations reports directly to the president, as indicated in the TTUHSC Organizational Chart.

The TTUHSC Office of Institutional Advancement maintains offices on the main campus in Lubbock and on the Amarillo, Abilene, Midland, and Odessa campuses. Staff members and development officers in all of these offices report to TTUHSC's Associate Vice Chancellor of Institutional Advancement/Vice President of External Relations on a regular basis through meetings, phone calls, and email. All of TTUHSC's development offices are governed by the policies and procedures defined in *HSC OP Chapter 2, Institutional Advancement* (outlined below), and *Section 06, Regents' Rules, Institutional Advancement*.

HSC OP 02.01: Office of Institutional Advancement Relationships and Responsibilities
HSC OP 02.02: Solicitation of Gifts and Grants from Private Philanthropic Sources
HSC OP 02.03: Acceptance of Gifts and Grants from Private Philanthropic Sources
HSC OP 02.04: Processing, Management, and Publicity of Gifts and Grants from Private Philanthropic Sources
HSC OP 02.05: Confidentiality of Information on ADVANCE System
HSC OP 02.06: Reporting of Gifts and Grants from Private Philanthropic Sources
HSC OP 02.07: Disclosure of Certain Gifts from Foreign Persons
HSC OP 02.08: Operation and Maintenance of Endowment Funds
HSC OP 02.09: Gifts of Securities

The Vice President for Finance and Administration/Chief Financial Officer (CFO) of TTUHSC, in cooperation with the Office of Institutional Advancement, establishes the procedures used for accounting and disbursement of all gifts. The CFO has the authority and responsibility for approving the procedures used for receipting, accounting, and disbursement of all funds handled by TTUHSC employees (*TTUHSC OP 02.01.2.b(1)*). The CFO also reports directly to the president.

TTUHSC's fund-raising activities and priorities complement and address the institution's mission and goals as defined in the TTUHSC Strategic Plan 2018-2020. Development officers prepare fund-raising plans based on the priorities of each campus and school in accordance with TTUHSC's mission, and all of the plans are reviewed and approved by the Associate Vice Chancellor of Institutional Advancement/Vice President of External Relations and the TTUHSC President. Sample development plans are available onsite.

SUMMARY
In summary, the TTUHSC President has ultimate responsibility for, and exercises control over the institution's fund-raising activities, making TTUHSC in compliance with the current standard.

5.3

Institution-related Entities

For any entity organized separately from the institution and formed primarily for the purpose of supporting the institution or its programs: (a) the legal authority and operating control of the institution is clearly defined with respect to that entity; (b) the relationship of that entity to the institution and the extent of any liability arising from that relationship are clearly described in a formal, written manner; (c) the institution demonstrates that (1) the chief executive officer controls any fund-raising activities of that entity or (2) the fund-raising activities of that entity are defined in a formal, written manner which assures that those activities further the mission of the institution.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) maintains formal agreements with two institution-related organizations that are not controlled by the institution: the Texas Tech Foundation, Inc. (Foundation) and the Texas Tech Physician Associates (TTPA). TTUHSC recognizes the value of working with these private, nonprofit organizations to help the institution achieve its goals, and has established policies and procedures to ensure that its relationships with outside organizations are conducted in alignment with TTUHSC's mission, state law, and the principles of accreditation of the Southern Association of Colleges and Schools Commission on Colleges.

LEGAL AUTHORITY AND OPERATING CONTROL

As a component institution of the Texas Tech University System (TTU System), TTUHSC is governed by the Board of Regents. (See *Standard 4.1, Governing Board Characteristics*). As described in the *Rules and Regulations of the Board of Regents of Texas Tech University System* (*Regents' Rules*), "the board and the principal officers of the TTU System have fiduciary responsibilities in the administration of all funds subject to the control and management of the TTU System" (Section 07.01, *Regents' Rules*).

The Board of Regents designates the president of TTUHSC as the chief executive officer of the institution (Section 02.04.1, *Regents' Rules*) and charges the president with (1) working actively to ensure that the institution acquires the necessary public and private resources for successful achievement of its goals and objectives and (2) engaging in fundraising activities that increase its endowment and address the needs of all its schools and colleges (Section 02.04.2.l, *Regents' Rules*). Maintaining agreements with the Foundation and TTPA assists the institution in achieving these charges.

Texas Tech Foundation, Inc.

The Texas Tech Foundation, Inc. is a privately incorporated 501(c)(3) nonprofit organization created to support and promote all colleges, schools, programs, and campuses of the Texas Tech University System. As stated in the Bylaws of Texas Tech Foundation, the Foundation is also organized to seek and obtain gifts for the TTU System, to receive, hold, invest, and administer property of any kind type, or nature to the benefit of TTU System, and to make expenditures to or for the benefit of TTU System.

The Foundation's mission, which includes “positioning Texas Tech as an institution of distinction” and “raising funds on behalf of the University and Health Sciences Center,” is consistent with and helps support the TTUHSC mission.

According to Article IV of the Bylaws of Texas Tech Foundation, the Foundation is managed by a Board of Directors, including at least one person from each of the regions in which the TTU System have a permanent academic campus. Those who sit on the Board of Directors for the Foundation are appointed by the Board of Regents of the TTU System. TTU System personnel also serve as ex-oficio non-voting members of the Board of Directors.

Texas Tech Physician Associates

Texas Tech Physician Associates (TTPA) is a 501(c)(3) non-profit corporation, originally formed in 1995 to provide physician and hospital services under managed care contracts and updated its Articles of Incorporation in October 2017 (Third Restated Articles of Incorporation, Third Restated Articles of Incorporation (with Amendments)). TTPA is composed of faculty physicians from the Texas Tech University Health Sciences Center at El Paso (TTUHSC EP) Paul L. Foster School of Medicine and TTUHSC School of Medicine.

The current Bylaws of the Texas Tech Physicians Associates state that TTPA is organized exclusively for charitable, scientific, and educational purposes and is operated exclusively for the benefit of, to perform the function of, or to carry the purposes of TTUHSC and TTUHSC EP. The specific activities of TTPA, as delineated in Article 1.3, TTPA Bylaws, include educational, research, and service activities that clearly support TTUHSC’s mission.

The TTPA Bylaws, which identify TTPA as “the Corporation” and TTUHSC and TTUHSC EP as the sole two “Members” of the Corporation, authorize the president of TTUHSC to act on behalf of TTUHSC (Article 2.2, TTPA Bylaws), and to appoint four of the nine positions on the TTPA Board of Directors (Article 3.3.a, TTPA Bylaws), with one additional member, who shall be called the "Primary Director," which shall alternate between TTUHSC and TTUHSC EP. Responsibilities of TTUHSC are delineated in Articles 2.5-2.7, TTPA Bylaws, including financial expenditures, and the general and exclusive powers of the Board of Directors are described in Articles 3.1-3.2, TTPA Bylaws.

RELATIONSHIP AND LIABILITY

The relationships that TTUHSC has with both the Foundation and TTPA, as well as any liability arising from those relationships, are clearly outlined in a formal, written manner.

Texas Tech Foundation, Inc.

The Foundation has a Memorandum of Understanding with the TTU System. This formal agreement clearly describes the relationship between TTU System and the Foundation and addresses the libeling associated with that relationship. The Memorandum of Understanding acknowledges the common visions, values, and objectives of the Texas Tech University System and the Foundation and declares the intention of the two organizations to coordinate their efforts to more effectively advance their common purpose. The memorandum clearly defines this relationship and the independent responsibilities of each organization in Section A, Responsibilities of the Foundation and Section B, Responsibilities of the University System.

The Board of Regents is the governing board of the TTU System and is legally responsible for its governance, control, jurisdiction, organization and management (Memorandum of Understanding, Item 4). The Foundation's Board of Directors and its officers are legally responsible for the management and control of all affairs and corporate activities related to the foundation (Memorandum of Understanding, Section A, Item 1).

Texas Tech Physician Associates

TTPA has a formal Management Agreement with TTUHSC which was most recently amended in 2004. The current Bylaws of the Texas Tech Physicians Associates were adopted on October 20, 2017. The formal agreement and bylaws clearly describe the relationship between TTUHSC and TTPA and address the liability associated with that relationship.

Article I of the Management Agreement, Statement of Services, clearly describes the responsibilities of TTUHSC and TTPA, and Article VII.C., Independent Relationships, describes the relationship of the two parties, as follows: "The parties acknowledge and agree that the relationship between TTUHSC and TTPA is strictly that of an independent contractor with respect to the services described in the agreement. Nothing contained in the agreement shall be construed as creating any other type of relationship between the parties other than one of independent contractor."

Article 2.8, TTPA Bylaws states that TTUHSC shall not be personally or individually liable for debts, liabilities, or obligations of the Corporation.

FUND-RAISING ACTIVITIES

The TTU System's Vice Chancellor for Institutional Advancement, in cooperation with TTUHSC's Associate Vice Chancellor for Institutional Advancement/Vice President of External Relations assists the president in the responsibilities of fund-raising. The TTU System's Vice Chancellor oversees all fundraising for the system, including annual campaigns, major and planned gifts, and corporate and foundation support. TTUHSC's Associate Vice Chancellor for Institutional Advancement/Vice President of External Relations oversees the TTUHSC Office of Institutional Advancement who is responsible for soliciting, coordinating, approving, and reporting all fund raising from the private sector *(TTUHSC OP 02.01.2.a(1)).* This includes both projects and proposals initiated by the Office of Institutional Advancement and those initiated elsewhere in TTUHSC and its related corporate entity. The Associate Vice Chancellor of Institutional Advancement reports directly to the president, as indicated in the TTUHSC Organizational Chart.

The Vice President for Finance and Administration/Chief Financial Officer (CFO) of TTUHSC, in cooperation with the Office of Institutional Advancement, will establish the procedures used for accounting and disbursement of all gifts. The CFO has the authority and responsibility for approving the procedures used for receipting, accounting, and disbursement of all funds handled by TTUHSC employees. (*TTUHSC OP 02.01.2.b(1)*). The CFO reports directly to the president. (See also *Standard 5.2.c, Control of Fund-raising Activities).*

Gifts to TTUHSC, the Foundation, and TTPA are receipted by the Office of Institutional Advancement and reported to the TTUHSC president and the TTU System chancellor. The Vice Chancellor for Institutional Advancement for the TTU System reports gifts relative to TTUHSC to the Board of Regents (*TTUHSC OP 02.01.2.a(3)).* As an example, the relationship between the Office of Institutional Advancement and the Foundation is outlined in *TTUHSC OP 02.01.1, Office of Institutional Advancement Relationships and*

Responsibilities, Relationship between Texas Tech University Health Sciences Center and Texas Tech Foundation, Inc., which states that the operating policies and procedures concerning the Office of Institutional Advancement at TTUHSC also apply to the Foundation, unless expressly stated. Thus, the Office of Institutional Advancement with oversight from the Associate Vice Chancellor for Institutional Advancement/Vice President of External Relations, manages the fund-raising efforts of the Foundation and TTPA and assures those activities further the mission of TTUHSC.

SUMMARY

Based on evidence provided in the preceding narrative, TTUHSC is in compliance with the current standard. For both institution-related entities organized separately from the institution, Texas Tech Foundation, Inc. and Texas Tech Physicians Associates, the legal authority and operating control is clearly defined within the institution's governance structure. Additionally, the relationship of both entities to TTUHSC and the extent of liability arising out of said relationship is clearly defined in a formal, written manner. Lastly, TTUHSC demonstrates that the chief executive officer controls any fund-raising activities of both entities described, ensuring that the activities further the mission of the institution.

5.4

Qualified Administrative/Academic Officers

*The institution employs and **regularly evaluates** administrative and academic officers with appropriate experience and qualifications to lead the institution.*

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) has qualified administrative and academic officers with the experience and competence to lead the institution. In addition, each officer is evaluated in writing on an annual basis.

BACKGROUND

Per *Section 02.04.1, Regents' Rules*, the Board of Regents of the Texas Tech University System (TTU System) has designated the Chancellor as the Chief Executive Officer of the System and the President of each component institution as the Chief Executive Officer of that institution. The President, therefore, has the general authority for the executive management and administration of the institution (*Section 02.04.2, Regents' Rules*).

More specifically, the TTUHSC President accepts responsibility for the appointment, termination, or reassignment of provosts, vice provosts, vice presidents, and school deans, per the guidelines stated in *Section 02.03.3, Regents' Rules*. Additional information about specific appointments is outlined in *HSC OP 10.14, Appointments to Academic Administrative Positions*.

QUALIFICATIONS OF TTUHSC ADMINISTRATIVE AND ACADEMIC OFFICERS

The administrator list below includes all members of the President's Executive Council (PEC). Specific information about each administrator is provided below, including links to their position descriptions and curriculum vitae. Please also refer to the PEC organizational chart demonstrating leadership roles. Because this standard does not apply to chief executive officers, no information is provided about the President's qualifications. Such information will be available in *Standard 4.2.c. (CEO Evaluation/Selection)*. It is also available upon request.

Executive Vice President/Provost and Dean, School of Medicine

The Dean of the School of Medicine is responsible for overseeing and directing the activities of the TTUHSC School of Medicine in pursuit of achieving the educational, research, clinical, and service missions of the institution across the appropriate campuses. The scope of responsibility includes the supervision and oversight of the school's executive leadership, financial affairs, faculty affairs, training and education, research administration, and clinical affairs/faculty practice. The Executive Vice President and Provost position reports to the President and is responsible for working with the deans of the schools and senior institutional administrators to formulate and implement plans and goals that allow successful pursuit of the academic and educational missions of the institution across all campuses.

- Steven L. Berk, MD, serves as the Executive Vice President/Provost and Dean of the TTUHSC School of Medicine. Dr. Berk has served in this position since 2010 but has worked at TTUHSC in various capacities since 1999, including his concurrent appointment as Professor of Internal Medicine. He

graduated with a Doctor of Medicine from Boston University School of Medicine in 1975 and has acquired extensive experience as a physician, faculty member, and administrator since that time. Over the past 40 years, Dr. Berk has authored and co-authored numerous publications, secured notable research grants, and participated in many community activities.

Executive Vice President for Academic Affairs

This position serves as the Chief Academic Officer and SACSCOC Liaison for TTUHSC. Primary responsibilities include direct supervision of institutional academic and student support services including, but not limited to, library services, registrar, financial aid, classroom support, institutional student health, interprofessional education, and institutional effectiveness; ensuring compliance with federal and state requirements; and collaborating with multiple constituents to maintain an environment conducive to student learning.

- Rial D. Rolfe, Ph.D., MBA, serves as Executive Vice President for Academic Affairs and Professor of Immunology and Molecular Microbiology at TTUHSC. Dr. Rolfe has served TTUHSC in several capacities since his arrival in 1981, including Associate Chair of Microbiology and Associate Dean of Faculty Affairs and Development in the TTUHSC School of Medicine. His formal education includes a Doctor of Philosophy in Microbiology from the University of Missouri-Columbia in 1978 and a Master of Business Administration in Health Organization Management from Texas Tech University in 2002.

Executive Vice President for Rural and Community Health and Director of the F. Marie Hall Institute for Rural and Community Health

This position is responsible for leading multiple activities and initiatives for improving the health of communities across a vast 108-county service area throughout West Texas. Primary functions include the provision of leadership in long-range planning and management of the research, service, fiscal, and administrative operations of the Institute.

- Billy U. Philips, Jr., Ph.D., MPH, serves as the TTUHSC Executive Vice President for Rural and Community Health as well as the Director of the F. Marie Hall Institute for Rural and Community Health. Joining TTUHSC in 2009, Dr. Philips is also a Professor of Family and Community Medicine in the School of Medicine (SOM), Professor of Public Health in the Graduate School of Biomedical Sciences (GSBS), and an established NIH investigator who has authored over 200 publications, including chapters in books, presentations, and other scholarly materials, many on telemedicine and rural health issues. Dr. Philips has led the Institute to a peer-reviewed grant portfolio of over $10 million. Dr. Philips holds statewide positions as Consultant to the Texas Medical Board on issues relating to telemedicine; he sits on the e-Health Advisory Panel to the Texas Department of Health and Human Services, a gubernatorial appointment; and is a founding Board Member of the Texas Legislature created Texas Health Improvement Network. He graduated from the University of Oklahoma Health Sciences Center with a Master of Public Health in 1971 and Doctor of Philosophy in Human Ecology (Epidemiology) in 1974.

Vice President for Finance and Administration and Chief Financial Officer

This position serves as the chief financial officer at TTUHSC and fulfills critical roles related to the short-and long-term financial planning and fiscal management of the institution. Key areas of supervision include but are not limited to, accounting, purchasing, contracting, student business services and budget.

- Penny Harkey, CPA, currently serves as the Vice President and Chief Financial Officer at TTUHSC. She has served in this role since February 2017 with previous appointments at TTUHSC as the Assistant Vice President for Budget from 1998 to 2017 and as Budget Director from 1992 to 1998. In addition, she served in various positions in the Accounting department from 1987 to 1992. She is a Certified Public Accountant with a Bachelor of Business Administration degree.

Vice President of Facilities and Safety Services

The Vice President of Facilities and Safety Services is responsible for overseeing the physical plant administration, engineering services, environmental services, maintenance and operations, planning, design and construction, and safety services at all TTUHSC campuses.

- Harry Slife, Ph.D., serves as the Vice President of Facilities and Safety Services. Dr. Slife is a retired Army Colonel after 30 years of service. The last 12 years he served in the Medical Research and Materiel Command, where he held positions relating to planning, programming, budgeting, and execution of federally funded research programs. For the past 3 years, he has served as Dean for the School of Health Professions and Education at Utica College in New York for three years. In this position, he was responsible for managing a $1 million annual budget, strategic planning, personnel management, curriculum development, faculty development, and ensuring quality education. Dr. Slife earned a Ph.D. in Biochemistry in 1999.

Vice President of Human Resources and Chief People Officer

- Steven R. Sosland, M.S., joined TTUHSC in January 2018 after spending four years establishing a values culture at the University of North Texas Health Science Center in Fort Worth. Mr. Sosland was proud of the UNTHSC vision developed to be One university, built on values, and is excited to work with the leadership team at TTUHSC to transform the culture for a 10,000-person team of students, faculty, and staff. His role is to establish an approach to leader development through individual and team programs to ensure we create a sustainable people culture that allows us to achieve our strategic vision and goals. Mr. Sosland believes coaching is the glue we use to make the connection between individual goals and the organization's strategic plan and cultural journey.

  After graduation from the United States Military Academy at West Point, Mr. Sosland spent 11 years as an Infantry officer, where he had worldwide assignments in mechanized and Ranger units. After completing his master's degree in business administration at Boston University, he spent six years in general management with PepsiCo and Brinker International and 13 years as a corporate recruiter focused on helping junior military officers find careers in corporate America. Prior to transitioning to higher education, he served as the Chief Operating Officer of Hill Country Memorial Hospital in Fredericksburg, Texas and helped lead the team on the journey to win the Malcolm Baldrige National Quality Award.

Dean, School of Health Professions

This position is responsible for overseeing and directing the activities of the School of Health Professions in pursuit of achieving the educational, research, clinical, and service missions of the institution across the appropriate campuses. Primary functions include, but are not limited to, establishing a vision and goals for the school in collaboration with key stakeholders; providing leadership and executive oversight of the academic, clinical, and other operations within the school; providing oversight for the development, implementation, and evaluation of the operational budget for the school; and representing the school to all internal and external constituents.

- Lori Rice-Spearman, MT(ASCP), Ph.D., has been the Dean of the School of Health Professions since 2016. Prior to this role, Dr. Rice-Spearman served in various positions within the school, including Associate Dean for Learning Outcomes and Assessments, as well as Chair of the Department of Laboratory Sciences and Primary Care. In total, Dr. Rice-Spearman has contributed to the TTUHSC mission for over thirty years. Her professional experience also includes serving as an accreditation reviewer for the National Accrediting Agency for Clinical Laboratory Sciences and the Commission on

Accreditation for Physical Therapy Education. Dr. Rice-Spearman received a Ph.D. from the College of Human Sciences in 2010 and a Master of Science in 1991, both from Texas Tech University.

Dean, Graduate School of Biomedical Sciences

This position is responsible for overseeing and directing the activities of the Graduate School of Biomedical Sciences in pursuit of achieving the educational, research, and service missions of the institution across the appropriate campuses. Essential duties and responsibilities include, but are not limited to, providing leadership in strategic planning activities; directing resource utilization; hiring, retention, and evaluation of personnel; and providing leadership in school development and fundraising efforts.

- Brandt L. Schneider, Ph.D., has served as the Dean of the Graduate School of Biomedical Sciences since 2013. He is a tenured Professor in the Departments of Medical Education and Cell Biology and Biochemistry. Dr. Schneider has been a faculty member at TTUHSC since 1999 where he has served on over 30 graduate thesis committees. During this time, his research on the role of cell cycle control and cell growth on aging has been supported by 25 grants including funding from the National Institutes of Health, the Department of Defense, the American Heart Association, and the Ted Nash Long Life foundation. His formal education includes a Doctor of Philosophy in Microbiology and Immunology from the University of Arizona in 1993 and a postdoctoral fellowship at Cold Spring Harbor Laboratory.

Dean, School of Nursing

This position is responsible for overseeing and directing the activities of the TTUHSC School of Nursing in pursuit of achieving the educational, research, clinical, and service missions of the institution across the appropriate campuses. Essential duties and responsibilities include, but are not limited to, providing leadership and oversight of the research agenda for the school; directing resource utilization in collaboration with regional deans, department chairs, and faculty; representing the school in regional, state, and national taskforces; and providing leadership in development and fundraising efforts.

- Michael L. Evans, Ph.D., RN, NEA-BC, FACHE, FAAN, serves as Dean, Professor, and UMC Endowed Chair for Excellence in Nursing for the TTUHSC School of Nursing. Prior to his appointment as Dean in 2012, Dr. Evans was the Maxine Clark and Bob Fox Founding Dean and Professor of the Goldfarb School of Nursing at Barnes-Jewish College, as well as Vice President for Learning and Chief Learning Officer at Texas Health Resources. His service to the nursing profession has spanned more than forty years. Dr. Evans currently serves on the Board of Directors of the American Nurses Credentialing Center (ANCC), and he is the immediate past President of ANCC. His formal education includes a Doctor of Philosophy in Nursing Systems Administration from the University of Texas at Austin.

Dean, School of Pharmacy and Senior Vice President for Research

The Dean of the School of Pharmacy is responsible for overseeing and directing the activities of the School of Pharmacy in pursuit of achieving the educational, research, clinical, and service missions of the institution. Primary responsibilities include, but are not limited to, developing a vision for the school; leading strategic planning activities; appointing key personnel; developing, monitoring, and adjusting an annual budget for appropriated and non-appropriated funds; administering the Pharmacy Income Plan in accordance with federal, state, and institutional standards; and representing the school to internal and external stakeholders.

The Senior Vice President for Research oversees the overall research program and infrastructure across all TTUHSC campuses. Essential functions include, but are not limited to, providing direct supervision of centralized research offices; collaborating with faculty to enhance the quality and visibility of basic,

translational, and clinical research conducted within the University; increasing external research funding from diverse sources; and ensuring compliance with regulatory agencies.

- Quentin R. Smith, Ph.D., serves as the Dean of the TTUHSC School of Pharmacy and Senior Vice President of Research. Dr. Smith started his career in drug science at the University of Utah where he earned his Ph.D. in pharmacology in 1980 with a specialization in Neuroscience. After a 4-year postdoctoral fellowship at the Gerontology Research Center in Baltimore, Maryland, he worked 13 years for the National Institute on Aging, where he was a tenured scientist and Chief of the Section on Neurochemistry and Brain Transport in the Laboratory of Neurosciences. In 1997, he transferred from National Institutes of Health to the new Texas Tech School of Pharmacy where he served for 12 years as Chair of the Department of Pharmaceutical Sciences. In this position, he worked with faculty to establish the Graduate Program in Pharmaceutical Sciences. He brought into Texas Tech >$5 M in research funding as Principal Investigator and was twice recognized as the "Most Influential Professor" in the Pharmacy School by the graduates, and was appointed University Distinguished Professor. In 2009, he received the highest faculty award at TTUHSC, Grover Murray Professor, and assumed the position of Senior Associate Dean of Sciences. In 2012, he was appointed Dean of the School of Pharmacy, leading the School forward after the retirement of the Founding Dean, Dr. Arthur Nelson. Under Dr. Smith's leadership, the School has maintained full pharmacy program accreditation for 6 years, expanded in size in Amarillo, Abilene and Dallas, has more than doubled the number of students going into residency training, has grown Pharmacy Income earnings by >25%, grown research programs in medicinal chemistry and immunotherapy, and oversaw >$5 M in School of Pharmacy construction and building renovations. The School is busy with further plans for the future, which include PharmD curricular transformation, new facilities, and programs in the Southwest Professional Bldg in Dallas, expansion of graduate training in Abilene and Dallas, and strengthening of research programs for both pharmacy practice and the sciences on all campuses of the School.

Vice President for Federal & State Relations

This position collaborates with senior university leaders to develop and implement a coherent, proactive, and forward-thinking strategy for University-government relations, with primary emphasis on federal and state level governmental relations. The Vice President for Federal and State Relations provides strategic advice to the President's Office on the university's overall engagement strategy with federal and state government. This individual establishes and maintains strong working relationships with government officials, including elected representatives and staff at all levels in federal and state government. He informs and effectively communicates with public officials about the local, state, and national importance and impact of the University. He is also responsible for ensuring compliance with state and federal relations with regard to distance education authorization requirements.

- Ryan A. Henry, MBA, who has been at TTUHSC since 2012, is the Vice President for Federal and State Relations. Prior to his appointment at TTUHSC, Mr. Henry worked in Washington, DC, for seventeen years. He was a partner of and federal lobbyist for The National Group, as well as founder and President of RH Strategies, LLC. During his time on Capitol Hill, Mr. Henry also served as Chief of Staff and Legislative Director for U.S. Representative John Carter and Legislative Assistant/Legislative Director for U.S. Representative Larry Combest. Mr. Henry received his Bachelor of Business Administration in Finance from Texas Tech University in 1994 and a Master of Business Administration from George Washington University in 2002.

Vice President for Special Health Programs and Policy

This position serves as a resource to institutional leaders on issues related to health care and health education policy from the perspective of a physician and healthcare administrator. Primary responsibilities include

representing TTUHSC at Correctional Managed Health Care meetings and providing appropriate information to local, state, and national legislative bodies.

- Cynthia Jumper, MD, MPH, serves as the Vice President for Special Health Programs and Policy. Recently appointed to this position in 2014, Dr. Jumper has been at TTUHSC for more than two decades. She also currently serves as Professor and Department Chairman of Internal Medicine in the School of Medicine. Dr. Jumper has extensive experience in the medical field, including service as past Chief of Staff at University Medical Center and Associate Director of the Southwest Cancer Treatment & Research Center. Her formal education includes a Doctor of Medicine from TTUHSC in 1988 and a Master of Public Health from the University of Texas Health Sciences Center in 1996.

Vice President for Information Technology and Chief Information Officer

This position provides leadership and direction for the Division of Information Technology. Primary responsibilities include, but are not limited to, maintaining a robust and reliable network infrastructure; data warehousing, data mining, and maintenance; providing state-of-the-art integrated information systems and services to support the mission of Texas Tech University Health Sciences Center; and fostering partnerships with multidisciplinary constituencies and governance councils.

- Vince Fell, M.Ed.,has served as the Vice President for Information Technology and Chief Information Officer at TTUHSC since March 2018. Previously, Mr. Fell was the Assistant Vice President of Information Services from 2011-2017. In his role as Assistant Vice President, Mr. Fell managed the IT Helpdesk and Service Center in addition to Programming, and Applications and Web Services for the institution. Mr. Fell earned a BA in Electrical Engineering Technology in 1989 and an M.Ed. in Instructional Technology in 2008.

Assistant Vice President for Institutional Compliance

This position is responsible for implementing and monitoring a continuous and proactive institution-wide compliance program across all TTUHSC campuses. Primary functions include, but are not limited to, maintaining familiarity with laws and regulations which have the potential to impact TTUHSC; providing training and education to faculty and staff; performing auditing and monitoring functions, sustaining effective healthcare billing, HIPAA privacy, and Conflict of Interest and Commitment programs; and investigating specific compliance issues.

- Sonya Castro-Quirino, MBA, CHRC, CHPC, serves as the Assistant Vice President for Institutional Compliance. She has been in this position since 2013. Prior to her arrival at TTUHSC, Ms. Castro was the Texas Regional Compliance Officer for the St. Joseph Health System. Throughout her career, Ms. Castro has acquired nearly 17 years of compliance experience in various healthcare settings, including the U.S. Department of Health and Human Services Office of Inspector General and Wal-Mart Stores, Inc. Pharmacy Division. Ms. Castro earned a Bachelor of Science in Clinical Laboratory Science and a Master of Business Administration with a concentration in Healthcare Administration in 1998.

Associate Vice Chancellor for Institutional Advancement and Vice President of External Relations

The position of Associate Vice Chancellor works collaboratively with the TTUHSC President and Deans to identify, establish, and achieve fundraising goals. Essential functions include, but are not limited to, overseeing Development Offices on the appropriate campuses, identifying major donor prospects, developing strategies for approaching major donors, making personal visits to prospects and donors to obtain desired results; and overseeing the Office of Alumni Relations.

The position of the Vice President of External Relations manages all communications and marketing activities for TTUHSC. The individual serves as the primary spokesperson and is responsible for promoting the Texas Tech brand.

- Kendra Burris is the Associate Vice Chancellor for Institutional Advancement and the Vice President of External Relations at TTUHSC. She began in 2008 as the Director of Development but was quickly promoted to the position of Associate Vice Chancellor in 2009. In 2016, Kendra's responsibilities expanded to include the Office of Communications and Marketing. Major achievements include securing more than $40 million in private gifts for FY 2013 and achieving the second highest fundraising year in TTUHSC history. Prior to joining TTUHSC, Ms. Burris also worked in development at Texas Tech University and Covenant Health System Foundation. Her formal education includes a Bachelor of Science in Agricultural Economics in 2001.

Vice President for Institutional Collaborations

This position serves as a liaison with different schools, campuses and universities to develop strategies, goals, and benchmarks to strengthen TTUHSC's economic impact, establish local, national and international partnerships and embolden scholarly activity within the Texas Tech University System.

- Afzal Siddiqui, Ph.D., currently serves as the Vice President for Institutional Collaborations. He has served in this role since 2016. He holds the highest academic rank of Grover E. Murray Professor that TTUHSC bestows on its faculty. He earned BS, MS and MPhil degrees from Aligarh University in India and his Ph.D. from the University of Western Ontario in Canada. His professional training is from the Centers for Disease Control and Prevention, Morehouse College, University of Illinois College of Medicine, and Harvard School of Public Health. He has also completed the prestigious Fulbright Research and Teaching Scholarship for Southeast Asia. His current research is funded through grants from the National Institutes of Health and Bill & Melinda Gates Foundation.

Chief of Staff

The chief of staff's primary job is to provide high-level support to the president of TTUHSC. This position is responsible for coordinating all activities of the president's office and selected divisions and departments such as the Office of Global Health and the Office of State and Federal Relations. This position requires extensive knowledge and experience with the university's academic and administrative policies, strategic planning, governmental, and community relations. The chief of staff serves as a key member of the President's Executive Council responsible for the central coordination of activities and ensuring timely flow of information to and from the president's office.

- Didit Martinez currently serves as chief of staff. She has held this role since January 2009 with a previous appointment at TTUHSC as senior assistant to the president. Immediately prior to TTUHSC, Ms. Martinez was chief operations officer for Immune Disease Institute in Boston, an affiliate of Harvard Medical School. Her formal education includes a Bachelor of Arts degree in History and Foreign Affairs.

Special Assistant to the President and Title IX Coordinator

The position of Special Assistant to the President serves as an advisor to the TTUHSC President and fulfills critical roles related to tracking, analyzing, and providing input on a wide range of policy issues for the Office of the President. This includes analysis and guidance on policy issues, liaison to the TTU System, communication and knowledge sharing, and spearheading special projects. Additionally, this position is responsible for coordinating and managing the agenda for executive level meetings at the university, including the Council of Deans and the President's Executive Council.

The position of Title IX Coordinator is responsible for developing, managing, and coordinating the university's compliance with Title IX and other federal and state gender discrimination, sexual harassment, and sexual violence regulations. The Title IX Coordinator has three major areas of responsibility: (1) oversee complaint resolution for potential violations of policy in this area; (2) oversees and manages education and training programs in sexual violence and sexual harassment prevention; and (3) serves as a lead campus adviser on sexual violence and sexual harassment matters to all levels of the administration.

- Cole Johnson, J.D.**,** currently serves as the Special Assistant to the President and Title IX Coordinator at TTUHSC. He has served in these roles since 2016 with a previous appointment in the F. Marie Hall Institute for Rural and Community Health at TTUHSC as Managing Director in the Office of Contracts, Reporting, and Data Management. Mr. Johnson earned his B.S. in Communication and minor in Business from Arizona State University. After graduating from ASU, Mr. Johnson attended Texas Tech University School of Law, where he earned his J.D.

Senior Associate General Counsel

This position performs legal work involving representation and advisement on legal matters for TTUHSC. Provides legal advice on a variety of issues including, but not limited to, matters concerning the rights, obligations, and privileges of institutions of higher education, employment, healthcare, federal and state regulatory matters, and contracting. Reports to the Texas Tech University System General Counsel and provides advice for Texas Tech University Health Sciences Center administration. Represents the institution in internal hearings and oversees the representation of TTUHSC by outside attorneys in judicial proceedings.

- Jon McGough, J.D.**,** joined the Office of General Counsel, Texas Tech University System (TTUS) in 2013. He currently serves as the Senior Associate General Counsel at TTUHSC. Prior to joining the Office of General Counsel, Mr. McGough was an Associate University Attorney for East Carolina University where he primarily represented the Brody School of Medicine and an Associate General Counsel for the University of North Texas System where he primarily represented the University of North Texas Health Science Center at Fort Worth. He received his bachelor's degree in History from Texas Tech University in 1995 and graduated from the Texas Tech University School of Law in 1998.

Assistant Chief Audit Executive

This position supervises and performs complex audit, consulting, and investigative engagements for the TTU System and its component institutions. The Office of Audit Services has a staff of 17 auditors and has responsibility for four universities, including two health sciences centers. The ACAE role is also responsible for leading the office's quality assurance and improvement program to ensure conformance with professional standards and to foster continuous departmental improvement.

- Teresa Jack, CPA**,** currently serves as an Assistant Chief Audit Executive in the TTU System Office of Audit Services. She has worked in the Office of Audit Services for 16 years and has been the Assistant Chief Audit Executive for five years. She also serves on several committees at the TTUHSC, including the Institutional Compliance Risk Council, Enterprise Risk Management Committee, and the School of Medicine Performance Improvement Committee. Ms. Jack received a Bachelor of Business Administration in Accounting and Master of Science in Accounting from Texas Tech University. She is also a Certified Public Accountant.

REGULAR EVALUATIONS OF TTUHSC ADMINISTRATIVE AND ACADEMIC OFFICERS

All administrative and academic officers are evaluated annually. Following *HSC OP 70.12, Staff Performance Management,* all full/part-time staff employees are to be annually evaluated in writing during January and

February. According to Paragraph 6 of *HSC OP 70.12*, administrative and academic officers that report directly to the President are evaluated annually using the President's Annual Executive Evaluation form. See, for example, a completed redacted evaluation. All evaluations are submitted to Human Resources for inclusion in the employee's personnel record.

SUMMARY

As indicated in the brief personal narratives and the accompanying curriculum vitae, upper-level administrators at TTUHSC have many years of relevant experience and appropriate levels of formal education for their positions. Furthermore, many have obtained substantial grants, authored significant publications, served their professions in various capacities, contributed positively to their communities, and received various accolades over the course of their careers. In addition, each administrative and academic officer is evaluated annually either by their direct supervisor or by the HSC President. Therefore, it is evident that TTUHSC has appropriately qualified administrative and academic officers with the experience and competence to lead the institution and are regularly evaluated.

5.5

Personnel Appointment and Evaluation

The institution publishes and implements policies regarding the appointment, employment, and regular evaluation of non-faculty personnel.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) publishes and implements policies regarding the appointment, employment, and regular evaluation of non-faculty personnel. These policies, which are applicable to all TTUHSC campuses, are published on the TTUHSC Operating Policies and Procedures (OPs) website. The most relevant policies regarding the appointment, employment, and evaluation of individuals are located in Chapter 70: Human Resources. This chapter includes policies and procedures on a variety of employment-related issues such as leaves of absence, compensation, retirement, performance management, and service awards. A sample of these policies, including evidence of implementation, are highlighted below.

IMPLEMENTATION OF POLICIES

HSC OP 70.11, Appointments to Non-Faculty Positions, seeks to standardize and enforce staff recruitment processes in order to recruit, select, and employ a competent and qualified workforce at TTUHSC. Per policy, all hiring managers must complete recruitment and selection process training conducted by Human Resources personnel in order to obtain access to the hiring system. See, for example, the sign-in sheet for hiring manager portal training offered on September 7, 2017. Once approved, positions are posted on the TTUHSC Careers Website for a recruitment period of at least ten business days. This site includes job openings at all TTUHSC campuses. Then hiring managers screen applicants, interview qualified individuals, and extend a contingent job offer to the desired candidate.

HSC OP 70.06, Employee Working Hours and Holidays, defines the standard work week, describes procedures for paid holidays, and outlines the record keeping process for time worked. As explained in the policy, TTUHSC observes the same number of holidays as other agencies in the state of Texas, with the exception of three days each fiscal year which may be used as flexible holiday time by each employee. Scheduled holidays are communicated to employees upon approval by the Board of Regents. Refer to the TTUHSC 2017-2018 Holiday Schedule, which is posted on the Human Resources website. The current policy also describes the procedures for recording actual hours worked during a designated pay period for non-exempt employees, as well as the procedures for reporting leave taken by exempt employees. The employee's supervisor is expected to certify that the reported hours or leave are correct on a monthly basis. See, for example, a screenshot of TTUHSC's web leave reporting system.

HSC OP 70.12, Staff Performance Management, describes TTUHSC's philosophy towards performance management for non-faculty employees and the procedures for conducting regular staff evaluations. As described in the policy, a performance evaluation must be completed after six months of employment at the institution and on an annual basis thereafter during the months of January through February. The Supervisor's Guide to Staff Performance Management contains detailed information about this process. Human Resources personnel often remind supervisors of the upcoming evaluation period via the internal TTUHSC online announcement system. A sample performance evaluation is also provided to document implementation of this policy.

DEVELOPMENT, REVISION, AND COMMUNICATION OF POLICIES

All TTUHSC operating policies (OP's), including those regarding the appointment, employment, and regular evaluation of non-faculty personnel, are developed in accordance with *HSC OP 10.01, Operating Policies and Procedures for TTUHSC*. According to this policy, any department head at TTUHSC may propose a new policy or procedure, or a revision to an existing one, by routing the suggestion through appropriate administrative channels for review and approval. To ensure regular review of the policies, each policy includes a statement defining the review cycle and the personnel responsible for reviewing the given policy. In addition to scheduled reviews, an OP can be revised at any time, if needed. Anyone wishing to recommend revisions must forward the proposed revisions to the reviewers identified in the operating policy. A listing of the most recently revised, added, combined and/or deleted polices and procedures is always available at the top of the TTUHSC Operating Policies and Procedures website and communicated to TTUHSC employees via the internal online announcement system on the first of each month.

In addition, to ensure that new non-faculty personnel are aware of institutional policies regarding appointment, employment, and evaluation, all TTUHSC employees are required to complete a New Employee Orientation (NEO). Records of those who attend NEO are maintained by Human Resources personnel, as documented in the following NEO attendee list on the Amarillo campus. Numerous policies, such as *HSC OP 76.02, Identification/Access Badges*, are introduced during these orientation sessions. See, for example, the presentation slides for the Odessa campus. New non-faculty personnel are also expected to complete a New Employee Checklist, which has specific tasks for them to complete prior to the first day of employment through the first 30 days of employment. Specific TTUHSC policies, such as *HSC OP 70.39, Drug-Free Workplace Policy*, and *HSC OP 76.08, Violence and Workplace Threats*, are also referenced in this checklist. Refer to the checklists for the Abilene and Lubbock campuses as evidence.

SUMMARY

The preceding narrative describes several TTUHSC policies related to the appointment, employment, and regular evaluation of non-faculty personnel. The processes for the development, revision, and communication of these policies have also been presented. Because these policies are published and implemented across all TTUHSC campuses, the institution has determined that it is in compliance with the current standard.

6.1

Full-time Faculty

The institution employs an adequate number of full-time faculty members to support the mission and goals of the institution.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) employs an adequate number of full-time faculty members to support the mission and goals of the institution. The TTUHSC mission is to "enrich the lives of others by educating students to become collaborative healthcare professionals, providing excellent patient care, and advancing knowledge through innovative research." The 2020 TTUHSC Strategic Plan outlines five broad goals in alignment with this mission.

> TTUHSC will:
> (1) Provide innovative educational programs that prepare students to be competent and caring healthcare professionals and researchers;
> (2) Advance our research portfolio with emphasis on areas of strength and collaboration;
> (3) Improve overall health and access to health care for communities in our region through the provision of patient care services and community outreach;
> (4) Create a sustainable, values-based culture;
> (5) Ensure the operations and infrastructure effectively and efficiently support the mission of the institution.

The following narrative will describe the responsibilities of TTUHSC faculty members and provide evidence of the adequacy of its full-time faculty members to achieve the institution's mission.

DEFINITIONS

For purposes of this narrative, a full-time faculty member at TTUHSC is a paid employee who works a minimum of forty hours per week, twelve months per year. A part-time faculty member is a paid employee who works less than forty hours per week and/or fewer than twelve months per year. Each TTUHSC faculty member holds a primary appointment in the School of Health Professions (SHP), School of Medicine (SOM), School of Nursing (SON), or School of Pharmacy (SOP). A small number of Public Health faculty have a primary appointment in the Graduate School of Biomedical Sciences (GSBS), and several SOM and SOP faculty have a membership in GSBS.

FACULTY RESPONSIBILITIES

Faculty responsibilities are outlined in the Texas Tech University System's Section 04.04.3, *Regents' Rules.* As teachers, faculty members are expected to facilitate the intellectual and emotional growth of students, encourage free inquiry in the classroom and clinic, and create and maintain a climate of mutual respect. As researchers, faculty members must strive to contribute continually to the growth and understanding of the

discipline through creative research and to disseminate the results to students, colleagues, and other professionals in the discipline. With regard to service, faculty members are expected to participate in activities, programs, and functions that seek to enhance the TTU System (TTUS); to provide guidance and participate actively in the advancement of one's profession to the extent time and resources allow; and to fulfill the same obligations incumbent upon other members of the local community.

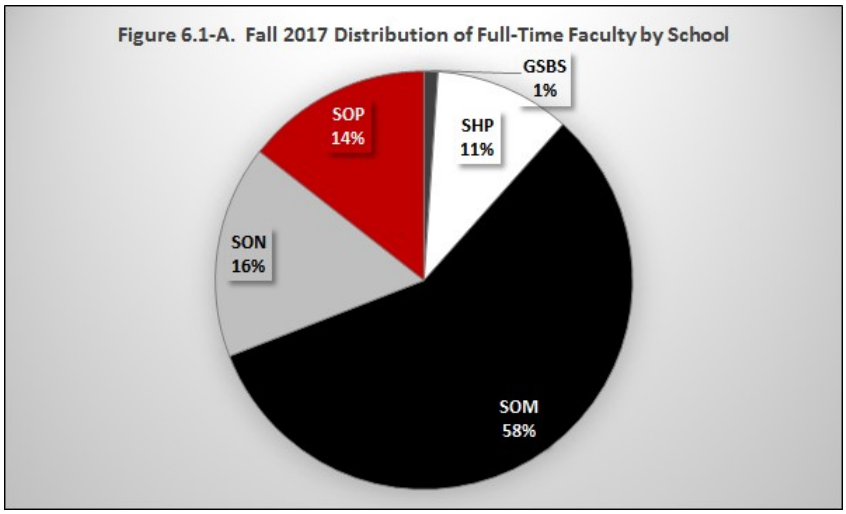
The faculty responsibilities outlined above are consistent with the criteria upon which TTUHSC makes promotion and tenure decisions. As stated in *HSC OP 60.01, Tenure and Promotion Policy*, TTUHSC bases tenure and/or promotion decisions on excellence of performance in the areas relevant to a faculty member's discipline: (1) teaching, (2) scholarship, (3) clinical service, and/or (4) academic or other public service. Individual schools develop standards of excellence in each of these areas, including the relative importance of each category and related criteria for the award of tenure or receipt of promotion. Adherence to this policy assists TTUHSC in retaining the highest quality faculty members in pursuit of achieving the education, service, and research components of the institution's mission.

FACULTY WORKLOADS

Faculty workloads vary by TTUHSC school and are established by Deans, department chairs, and/or program directors based on the specific needs of the school. In the School of Health Professions, for example, the minimum academic workload for a full-time faculty member is 24 workload credits based on faculty contributions in teaching, research, service, and administration. When more than one instructor teaches a single course, the workload credit is apportioned according to the effort expended. See *SHP OP FC.07, Academic Workload Calculation Policy*, for more specific information about workload equivalencies. The School of Health Professions is also the only school which authorizes faculty overloads. Refer to *SHP OP FC.02, Faculty Overload Appointment*. In such situations, the program director and department chair must submit the appropriate justification for the request and submit it to the Dean for approval. Faculty overloads are authorized only if they are necessary to deliver the curriculum of the department/ program in a manner that is consistent with faculty workload expectations of the school.

DISTRIBUTION OF FACULTY

In Fall 2017, TTUHSC employed approximately 741 full-time faculty members across all schools and campuses. *Figure 6.1-A* illustrates the distribution of faculty by school.



Teaching

Full-time faculty members devote at least 47% of their time to traditional instructional activities, including direct instruction; student advising; curriculum design, development, and evaluation; and identification and assessment of appropriate student learning outcomes. Collectively, these activities are referred to as teaching effort in the subsequent narrative. Please note this is a conservative estimate of teaching effort because it does not necessarily reflect the totality of teaching and learning that occurs in the provision of patient care services. It is a common occurrence at academic health sciences centers for students to learn from faculty while they are treating patients in a clinic setting.

Table 6.1-A provides a more detailed view of key instructional activities by TTUHSC school for Spring 2017, Summer 2017, and Fall 2017. The table includes the teaching effort only of part- and full-time TTUHSC employees, as well as the percent of overall teaching effort in each school that is contributed by full-time faculty. Consider, for example, a full-time faculty member (i.e., 1.0) who devotes 75% of total effort (i.e., 0.75) to teaching and 25% of total effort to patient care (i.e., 0.25). The table represents the 0.75 teaching effort only for that individual as opposed to 1.0.

Table 6.1-A Teaching Effort by Employee Status
(Spring 2017, Summer 2017, Fall 2017)

School	Teaching Effort by Employee Status			% Teaching by Full-Time Faculty
	Part-Time	Full-Time	Total	
Graduate School of Biomedical Sciences	0.25	19.18	19.43	99%
School of Health Professions	12.29	56.42	68.71	82%
School of Medicine	8.17	102.84	111.01	93%
School of Nursing	7.73	89.33	97.06	92%
School of Pharmacy	7.76	43.34	51.10	85%
TTUHSC	**36.20**	**311.11**	**347.31**	**90%**

As *Table 6.1-A* indicates, TTUHSC relies heavily on full-time faculty to teach its courses (i.e., 90% of overall teaching effort). The teaching effort by full-time faculty in each school ranges from 82% in the School of Health Professions to 99% in the Graduate School of Biomedical Sciences. No comparative peer data using a similar methodology is readily available. However, because of the high percentage of teaching effort by full-time faculty, it does not appear to be a concern.

Table 6.1-B provides an alternate view regarding the sufficiency of TTUHSC faculty. The table includes student-to-faculty ratios based on the teaching effort of full-time faculty by school for Spring 2017, Summer 2017, and Fall 2017, as well as the unduplicated student FTE's generated during the same timeframe.

Table 6.1-B Student to Full-Time Faculty Ratios by School
(Spring 2017, Summer 2017, Fall 2017)

School	Teaching Effort by Full-Time Faculty	Student FTE's	Student to Full-Time Faculty Ratio
Graduate School of Biomedical Sciences	19.18	146.29	8:1
School of Health Professions	56.42	1,300.65	23:1
School of Medicine	102.84	852.00	8:1
School of Nursing	89.33	1,784.46	20:1
School of Pharmacy	43.34	687.34	16:1
TTUHSC	**311.11**	**4,770.74**	**15:1**

According to *Table 6.1-B*, the ratio of full-time faculty to students is 15:1 at TTUHSC. Ratios range from 8:1 in the Graduate School of Biomedical Sciences and School of Medicine to 23:1 in the School of Health Professions. There are no concerns about the sufficiency of faculty based on these data points.

Patient Care and Research

Of the 741 full-time faculty members at TTUHSC, approximately 53% of their time is dedicated to responsibilities beyond teaching. Other responsibilities may include research, patient care, professional service, and other institutional service. Like teaching, TTUHSC has adequate full-time faculty members to fulfill the research and patient care dimensions of the institution's mission. This is evident by several indicators of success in these areas.

Each school, except the Graduate School of Biomedical Sciences, offers patient care through multiple clinics. Three examples of patient care services are described below.

- As a component of the School of Medicine, Texas Tech Physicians provides patient care in multiple clinics in Amarillo, Lubbock, Odessa, and Midland. Services encompass the spectrum of specialties, such as anesthesiology, dermatology, internal medicine, surgery, and urology.
- The Speech and Hearing Clinic, which is affiliated with the School of Health Professions, offers a wide range of testing and treatment services for children and adults with hearing, balance, speech, language, and swallowing difficulties.
- The School of Nursing's Larry Combest Community Health and Wellness Center specializes in primary care and management of chronic diseases such as diabetes, asthma, hypertension, and obesity. Care is provided by nurse practitioners.

In FY 2017, TTUHSC served more than 200,000 patients across West Texas and eastern New Mexico. The following Practice Income Plan data support the assertion that TTUHSC has adequate faculty to achieve this component of the institution's mission.

Faculty members may also engage in biomedical, clinical, and educational research to varying degrees based on their positions. A primary aim of TTUHSC research is to promote the prevention of disease and treatment of illness. Through its specialized departments, the Office of Research provides leadership, direction, and management of research administration, infrastructure, and related services for faculty, staff, and students.

For example, the Office of Sponsored Programs assists TTUHSC faculty and staff in identifying funding opportunities and promotes the successful management of awarded projects. The Clinical Research Institute, moreover, aims to promote patient-oriented research by providing an array of training opportunities and research-related services to support TTUHSC faculty from all schools and campuses. Such services include, but are not limited to, assistance with study design, IRB submissions, and data analysis. In addition to institutional research support, faculty also have access to research services and support through individual schools. Combined, these resources assist faculty in conducting ground-breaking research. Several examples are highlighted below.

- Researchers in the Department of Cell Physiology and Molecular Biophysics and Center for Membrane Protein have determined the kinetic cycle of a potassium channel at atomic resolution. This will be important in the development of new and safer therapeutic drugs that correct a specific illness while decreasing undesirable side effects. (See *Research Opening Gates for Better Targeting Drugs*.)
- TTUHSC Grover E. Murray Professor, Dr. Afzal Siddiqui, has worked for decades toward developing a vaccine for schistosomiasis, which is a disease caused by parasitic worms that impacts an estimated 200 million people worldwide, particularly in under-developed countries. Dr. Siddiqui is currently working with other collaborators to start human clinical trials of the vaccine. (See *First Vaccine License Agreement for TTUHSC Researcher*.)
- Researchers in the TTUHSC School of Pharmacy on the Amarillo campus recently received an NIH grant to continue their investigation into the health effects of electronic cigarettes. Drs. Luca Cucullo and Thomas Abbruscato will use the $1.9 million grant over the next five years to test tobacco smoke and e-cigarette toxicity at the blood-brain barrier. (See *School of Pharmacy Researchers Pick Up NIH Renewal Grant.*)

The following statements provide a broader perspective of the research being conducted by TTUHSC faculty members. The TTUHSC Institutional Review Boards currently oversee approximately 430 research projects that involve human subjects. The Institutional Animal Care and Use Committee oversees about 135 research projects involving animals. Vivariums are located on the Lubbock, Amarillo, and Abilene campuses. Finally, approximately 87 faculty members have active research laboratories registered with the TTUHSC Institutional Biosafety Committee.

SUMMARY

TTUHSC has an adequate number of full-time faculty members to support the mission and goals of the institution, as they relate specifically to education, patient care, and research. This conclusion is based on the high percentages of full-time faculty in each school, low student-to-faculty ratios, number of patients served across the region, and widespread involvement in research activities. The institution relies on highly qualified, full-time faculty members to engage actively in these areas of emphasis. Part-time faculty members simply cannot, nor are they expected to, fulfill all of these institutional needs. For these reasons, TTUHSC is compliant with the current standard.

6.2.a

Faculty Qualifications

For each of its educational programs, the institution justifies and documents the qualifications of its faculty members.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

In pursuit of the institution's mission, Texas Tech University Health Sciences Center (TTUHSC) seeks to educate students to become collaborative healthcare professionals, provide excellent patient care, and advance knowledge through innovative research. Achieving this three-part mission is possible only with a cadre of highly qualified faculty members. Therefore, for each of its educational programs, the institution justifies and documents the qualifications of its faculty members.

INSTITUTIONAL OVERVIEW

TTUHSC ensures that all faculty members have the appropriate credentials to fulfill their roles at the institution. When determining the acceptable qualifications of its faculty, TTUHSC gives primary consideration to the highest earned degree in the discipline. The institution also considers doctoral or master's degrees in closely related disciplines, licensure or certification in the teaching discipline, extensive work experience in a related field, and other professional accomplishments.

The SACSCOC Faculty Credentials Guidelines provides the framework for making decisions about faculty qualifications based on academic degrees. Guidelines (a), (b), and (c) refer to faculty teaching general education courses at the undergraduate level and associate degree course designed/not designed for transfer to a baccalaureate degree. These guidelines do not apply to TTUHSC because the institution offers only upper-division coursework for undergraduate programs, post-baccalaureate professional programs, and graduate programs. Guideline (f), which refers to graduate teaching assistants, is also not applicable because TTUHSC does not utilize teaching assistants as instructors of record in any course. The remaining guidelines, however, are relevant to the institution. Guideline (d) relates to faculty teaching baccalaureate courses, and guideline (e) pertains to faculty teaching graduate and post-baccalaureate course work. TTUHSC ensures compliance with these guidelines through a combination of institution-wide policies and school-specific policies and procedures.

TTUHSC has established policies and procedures governing the recruitment, selection, appointment, and evaluation of all faculty members, including the reappointment, promotion, and tenure of its faculty. These policies and procedures are designed, in part, to ensure that faculty members have the appropriate qualifications. For example, *HSC OP 60.09, Faculty Recruitment Procedure*, standardizes the approach to faculty recruitment at TTUHSC in order to identify, recruit, and select highly qualified and diverse faculty. *HSC OP 60.01, Tenure and Promotion Policy*, describes the general expectations for a TTUHSC faculty member, such as the responsibility of faculty candidates to provide complete, accurate, and current information on all applications for employment and credentialing as deemed necessary by TTUHSC. Per the same policy, another fundamental responsibility of faculty members as teachers, scholars, and/or clinicians is to maintain competence in their fields of specialization through activities such as discussions, lectures, consulting, publications, research, and participation in professional organizations and meetings.

SCHOOL-SPECIFIC POLICIES AND PROCEDURES

Of the five TTUHSC schools, only the School of Health Professions and School of Nursing award undergraduate degrees. In these schools, courses at the baccalaureate level are taught by faculty members with a doctoral or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline, which includes a minimum of 18 graduate semester hours. All five TTUHSC schools offer graduate and post-baccalaureate course work. Faculty members in these programs are expected to have an earned doctorate or terminal degree in the teaching discipline or approved alternate qualifications. Below are examples of school-specific policies and/or procedures related to the recruitment and appointment of faculty members with the appropriate academic credentials and/or qualifications.

Graduate School of Biomedical Sciences

The Graduate School of Biomedical Sciences (GSBS) is unique in that the majority of its faculty have a primary appointment in the School of Medicine or School of Pharmacy and a faculty membership in GSBS. Only a small number of faculty in the Department of Public Health have a primary appointment in GSBS. Regardless of their primary appointment, however, all teaching faculty must be granted membership to teach in GSBS. Membership criteria, including academic credentials, are outlined in the Bylaws of the Graduate School of Biomedical Sciences. Faculty members are expected to have an earned doctorate or terminal degree, such as a Doctor of Philosophy (PhD) or Doctor of Public Health (DrPH or DPH). Upon nomination for membership, each faculty nominee must obtain majority approval by the faculty members in the related concentration or program and subsequently by the Graduate Council. The Dean and Senior Associate Dean are responsible for verifying credentials, as documented in the individual's curriculum vitae and official transcripts. Refer to the completed Graduate Faculty Nomination Form and Graduate Council Minutes as documentation of this process.

School of Health Professions

SHP OP FC.05, Faculty Credential Evaluation, establishes standards for ensuring all full-time and part-time faculty members in the School of Health Professions (SHP) have the required qualifications to teach courses within their respective professions and to maintain compliance with program accrediting bodies, as applicable. To be credentialed to teach graduate courses within SHP, a faculty member should typically possess an earned doctorate or terminal degree in the teaching discipline or a related discipline. Because of the diversity of programs in this school, these degrees vary widely across faculty members.

For some SHP faculty, there may be instances in which a doctoral or graduate degree is outside the teaching discipline. However, the faculty member may be qualified to teach a particular course based on other credentials or qualifications. In such cases, the alternate qualification(s) are fully explained, justified and documented (i.e., extensive related work experience, professional licensure and certifications, honors and awards, excellence in teaching, and other measures of professional excellence, etc.). Refer to the sample Faculty Credential Approval Form.

In addition, *SHP OP FC.01, Recurrent Faculty Member Appointment,* establishes a process and criteria for recurrent (i.e., adjunct) faculty appointment and includes sections on verifying faculty qualifications. See the redacted Request for Recurrent Faculty Member Appointment. The Assistant Dean for Outcomes and Assessment initially reviews all forms for faculty credentials. The program director and chair are responsible for ensuring faculty members meet credential requirements, collecting proper documentation, and scheduling qualified instructors for courses in their respective programs. The Dean has final authority on all hiring decisions, and the Dean's Office maintains documentation of faculty credentials.

For additional clarification, there are some disciplines within the School of Health Professions in which a non-doctoral degree is considered a terminal degree for that particular field. For example, a master's degree is

considered a terminal degree for physician assistants. In other cases, some faculty members obtained a degree in a particular field at a time when that degree was required for entry into the profession. Since then, the profession has evolved and now requires a more advanced degree for entry into the field. In the past, for example, physical therapists and occupational therapists only needed bachelor's degrees for entry into these professions. Over the years, entry-level requirements evolved from bachelor's degrees to master's and/or doctoral degrees. For faculty members impacted by these transformations, some returned to school to earn more advanced degrees. Others simply continued to work in their respective fields with the same degrees. Those individuals are often qualified to teach at TTUHSC based on their extensive professional experience and expertise.

School of Medicine

Per *SOM OP 20.01, Faculty Appointments,* faculty members with the rank of Instructor through Professor in the School of Medicine (SOM) are expected to have a terminal degree or its equivalent in the teaching discipline or a related discipline. The most prevalent degrees for SOM faculty include the Doctor of Medicine (MD), Doctor of Osteopathic Medicine (DO), and Doctor of Philosophy (PhD). Some international faculty have a Bachelor of Medicine/Bachelor of Surgery (MBBS) degree, which reflects a different educational practice from American medical schools, but is indeed the equivalent of an MD in the United States. In such instances, TTUHSC faculty members with an MBBS are also certified through the Educational Commission for Foreign Medical Graduates (ECFMG). A physician must be ECFMG-certified before entering graduate medical education (GME) in the United States and prior to taking Step 3 of the United States Medical Licensing Examination (USMLE), which is needed to obtain an unrestricted license to practice medicine in the United States. See the ECFMG website for additional information.

Most SOM faculty members also have additional qualifications beyond a terminal degree, such as board certification in a specific specialty or sub-specialty or extensive work experience in medicine, teaching, or research. The policy referenced above outlines the specific process for appointing SOM faculty, including the Faculty Appointments Checklist and Faculty Appointment Requirements. As part of this process, the Department Chair has responsibility for verifying a potential faculty member's degree(s), board certification, residency, and licensure, as applicable, before submission to the Faculty Appointments Committee on the appropriate campus for review and approval. Approved candidates receive a letter of offer signed by the Dean and are expected to submit official documentation of credentials to the department by the first day of employment. Refer to the following example of the Faculty Appointments Checklist with related documentation.

School of Nursing

The School of Nursing (SON) also seeks to employ faculty members with the appropriate qualifications to fulfill their roles at the institution.

The most common terminal degrees for SON faculty include the Doctor of Nursing Practice (DNP) and Doctor of Philosophy (PhD). In some cases, faculty members have completed a post-master's nurse practitioner certificate program or a Master of Science in Nursing (MSN) degree but have extensive professional experience as registered nurses and/or advanced practice registered nurses (APRNs), including nurse anesthetists, nurse practitioners, clinical nurse specialists, and nurse midwives. The Texas Board of Nursing regulates these licenses across the state. Registered nurses must renew their licenses on a biennial basis with evidence of the required continuing nursing education.

SON OP 20.000, Interviewing and Hiring of Faculty, outlines the steps in the application, interviewing, and hiring processes, including a standardized rubric for evaluating candidates. Key criteria include level of education, professional certification, years of professional experience as a registered nurse, years of teaching experience, and online teaching experience. The latter is important due to the large number of SON programs

offered via distance education. See Faculty Candidate Review Forms for redacted copies of faculty candidate evaluations. The Dean has ultimate responsibility for approving all faculty hires, and the Dean's Office maintains appropriate documentation of their credentials.

School of Pharmacy

The School of Pharmacy (SOP) assigns teaching responsibilities to qualified faculty members. Per *SOP OP 60.P.08, Faculty Recruitment and Selection,* faculty members at the rank of Instructor, Assistant Professor, Associate Professor, and Professor are generally required to have a terminal degree in the discipline or area of specialization. Relevant degrees for SOP faculty often include the Doctor of Pharmacy (PharmD) or Doctor of Philosophy (PhD). Other qualifications may be considered, such as related work experiences, professional licensure and certifications, or post-graduate training. Search committee chairs are responsible for ensuring that the most qualified candidates are recommended for employment, including documentation of the decision making process when reviewing applicants. Search committee recommendations are forwarded to the appropriate Department Chair, who then makes a final recommendation to the Dean. Refer to the *SOP Example, Search Committee Recommendations*.

TTUHSC FACULTY ROSTER

The TTUHSC faculty rosters provide evidence that TTUHSC employs competent faculty members who are qualified to accomplish the educational mission of the institution. The rosters list the full- and part-time faculty who taught credit courses in Fall 2017 and Spring 2018. Developmental or remedial courses are excluded because TTUHSC does not offer such courses. Five school-specific rosters are presented, with faculty members grouped by department. To avoid repeated entries for the same person, faculty members with teaching assignments in more than one academic area are listed only in their primary department, academic program, or discipline, along with all the courses taught. For clarification, most TTUHSC faculty members have a primary appointment in the School of Health Professions (SHP), School of Medicine (SOM), School of Nursing (SON), or School of Pharmacy (SOP). A small number of faculty in the Department of Public Health have a primary appointment in the Graduate School of Biomedical Sciences (GSBS). Several SOM and SOP faculty members also have a membership in GSBS. Click on the name of the school below to access the appropriate roster.

- Graduate School of Biomedical Sciences
- School of Health Professions
- School of Medicine
- School of Nursing
- School of Pharmacy

In the faculty rosters, the reader will find the following information. *Column One* provides the name of the instructor and his/her employment status. For purposes of the roster, a full-time (F) faculty member is a paid TTUHSC employee who works a minimum of forty hours per week, twelve months per year. A part-time (P) faculty member is a paid TTUHSC employee who works less than forty hours per week and/or fewer than twelve months per year.

Column Two lists by semester the prefix, number, title, and credit hours of all credit courses taught in Fall 2017 and Spring 2018, as well as the classification of each course as undergraduate transferable, undergraduate non-transferable, or graduate. After the course prefix and number, an asterisk (*) may be indicated, which means that the individual is the instructor of record for a particular course and section. A list of course descriptions is provided for reference. See TTUHSC Course Descriptions. These descriptions are organized by school and bookmarked by course prefix.

Column Three lists the earned academic degrees, diplomas, and certificates that help qualify the instructor to teach the listed courses, including the concentration or major, if applicable, and the name of the institution that awarded the degree.

Column Four provides additional qualifications, such as related work experiences or professional certifications/licenses, which qualify the faculty member to teach an assigned course if the earned academic degree is not sufficient to document such qualifications. (*Please note that some certifications or licenses may expire between the development of this report and the peer review process. The most up-to-date information is always available upon request*.) In addition, this column lists the specific lecture topics taught by a faculty member if s/he was not responsible for the entire course. Many courses in the School of Medicine, for example, are team-taught by multiple faculty members with expertise in specific subjects.

Finally, TTUHSC maintains appropriate justification and documentation of the qualifications listed in the faculty rosters. This information may be reviewed on site, as requested.

SUMMARY

Upon review of the qualifications of its faculty, TTUHSC has determined that the institution is in compliance with the current standard. For each of its educational programs, the institution justifies and documents the qualifications of its faculty members, as evidenced by the faculty rosters. Institutional and school-specific policies and procedures provide the appropriate framework for hiring qualified faculty members.

6.2.b

Program Faculty

For each of its educational programs, the institution employs a sufficient number of full-time faculty members to ensure curriculum and program quality, integrity, and review.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

In pursuit of the institution's mission, Texas Tech University Health Sciences Center (TTUHSC) seeks to educate students to become collaborative healthcare professionals. Achieving this component of the mission is possible only with a cadre of highly qualified faculty members. Therefore, for each of its educational programs, the institution employs a sufficient number of full-time faculty members. In addition to teaching, full-time faculty members engage in other instructional activities, such as student advising; curriculum design, development, and evaluation; and identification and assessment of appropriate student learning outcomes. Through these roles, full-time faculty members are essential to ensuring program quality and integrity at TTUHSC.

Standard 6.1 (Full-time Faculty) addresses the adequacy of full-time faculty members at the institutional and school levels, whereas the current response addresses the adequacy of full-time faculty members at the program level. To reiterate, a full-time faculty member at TTUHSC is a paid employee who works a minimum of forty hours per week, twelve months per year. A part-time faculty member is a paid employee who works less than forty hours per week and/or fewer than twelve months per year. Each TTUHSC faculty member holds a primary appointment in the School of Health Professions (SHP), School of Medicine (SOM), School of Nursing (SON), or School of Pharmacy (SOP). A small number of Public Health faculty have a primary appointment in the Graduate School of Biomedical Sciences (GSBS), and several SOM and SOP faculty have a membership in GSBS. The response for *Standard 6.1* also explains faculty responsibilities and workloads in more detail. In addition to typical faculty responsibilities, some full-time faculty members are assigned responsibility for program coordination. Program coordinators work collaboratively with other faculty members to ensure the quality, integrity, and review of educational programs at TTUHSC. Refer to *Standard 6.2.c (Program Coordination)* for additional information.

DISTRIBUTION OF FACULTY BY PROGRAM AND CAMPUS

In Fall 2017, TTUHSC employed approximately 741 full-time faculty members across all schools, programs, and campuses. These individuals devoted approximately 47% of their time to instructional activities, including direct instruction; student advising; curriculum design, development, and evaluation; and identification and assessment of appropriate student learning outcomes. Collectively, these activities are referred to as teaching effort in the subsequent narrative. Please note this is a conservative estimate of teaching effort because it does not necessarily reflect the totality of teaching and learning that occurs in the provision of patient care services. It is a common occurrence at academic health sciences centers for students to learn from faculty while they are treating patients in a clinical setting.

Table 6.2.b-1 provides a detailed view of teaching effort for faculty by TTUHSC school, campus, and degree program for Spring 2017, Summer 2017, and Fall 2017. The table includes the teaching effort only of part- and full-time TTUHSC employees, as well as the percent of overall teaching effort in each program that is contributed by full-time faculty. It does not reflect research or service activities. Traditional and distance education programs are marked for reference.

Consider, for example, a full-time faculty member (i.e., 1.0) who devotes 75% of total effort (i.e., 0.75) to teaching, including related instructional activities, and 25% of total effort to patient care (i.e., 0.25). The table represents the 0.75 teaching effort only for that individual as opposed to 1.0. If the same faculty member teaches in two academic programs, moreover, the table reflects the appropriate effort by program. For example, the faculty member may teach an estimated 0.65 in a master's program and an estimated 0.10 in a doctoral program in a related discipline for a total effort of 0.75. Presenting the data in this manner is an attempt to more accurately portray the teaching efforts of TTUHSC faculty.

Table 6.2.b-1. Teaching Effort by School, Campus, and Degree Program

(Spring 2017, Summer 2017, Fall 2017)

Degree Program	Teaching Effort by Employee Status			% Teaching by Full-Time Faculty
	Part-Time	Full-Time	Total	
GRADUATE SCHOOL OF BIOMEDICAL SCIENCES				
Abilene				
Master of Public Health[a]	0.13	0.80	0.93	86%
Master of Science in Biotechnology[a]	0.00	1.52	1.52	100%
Amarillo				
Master of Science in Pharmaceutical Sciences[a]	0.00	0.55	0.55	100%
Doctor of Philosophy in Pharmaceutical Sciences[a]	0.00	4.66	4.66	100%
Lubbock				
Master of Public Health	0.11	0.94	1.05	90%
Master of Science in Biomedical Sciences	0.01	2.44	2.45	100%
Master of Science in Biotechnology	0.00	0.76	0.76	100%
Doctor of Philosophy in Biomedical Sciences	0.00	7.51	7.51	100%
GSBS TOTALS	**0.25**	**19.18**	**19.43**	**99%**
SCHOOL OF HEALTH PROFESSIONS				
Amarillo				
Doctor of Physical Therapy[a]	0.09	0.95	1.04	91%
Lubbock				
Bachelor of Science in Clinical Laboratory Science	0.10	1.29	1.39	93%
Bachelor of Science in Speech, Lang. and Hearing Sci.	0.36	2.45	2.81	87%
Bachelor of Science in Speech, Lang. and Hearing Sci. (Sec. Degree)	0.34	2.44	2.78	88%
Master of Athletic Training	0.42	2.77	3.19	87%
Master of Occupational Therapy	0.69	5.03	5.72	88%
Master of Science in Molecular Pathology	0.10	1.27	1.37	93%
Master of Science in Speech-Language Pathology	1.48	5.18	6.66	78%
Doctor of Audiology	.10	5.31	5.41	98%
Doctor of Philosophy in Communication Sciences and Disorders	.10	1.89	1.99	95%
Doctor of Philosophy in Rehabilitation Sciences	0.20	0.76	0.96	79%
Doctor of Physical Therapy	0.95	3.42	4.37	78%
Midland				
Master of Physician Assistant Studies[a]	1.49	3.77	5.26	72%
Odessa				
Doctor of Physical Therapy[a]	0.07	2.75	2.82	98%
Distance Education				
Bachelor of Science in Clinical Laboratory Science (Second Degree)	0.10	1.28[c]	1.38	93%
Bachelor of Science in Healthcare Management	0.45	2.58	3.03	85%
Master of Science in Clinical Rehabilitation Counseling	1.20	6.73	7.93	85%
Master of Science in Addiction Counseling	0.00	0.05	0.05	100%
Master of Science in Clinical Mental Health Counseling	0.00	0.05	0.05	100%
Master of Science in Healthcare Administration	3.30	2.82	6.12	46%
Transitional Doctor of Physical Therapy	0.15	1.3[c]	1.45	90%
Doctor of Science in Physical Therapy	0.60	2.33	2.93	80%
SHP TOTALS	**12.29**	**56.42**	**68.71**	**82%**

SCHOOL OF MEDICINE				
Amarillo				
Doctor of Medicine[a]	1.83	24.74	26.57	93%
Covenant Health System				
Doctor of Medicine[b]	1.60	0.00	1.60	0%
Lubbock				
Doctor of Medicine	2.81	60.60	63.41	96%
Odessa				
Doctor of Medicine[a]	1.93	17.50	19.43	90%
SOM TOTALS	**8.17**	**102.84**	**111.01**	**93%**

SCHOOL OF NURSING				
Abilene				
Bachelor of Science in Nursing[a]	0.00	11.00	11.00	100%
Lubbock				
Bachelor of Science in Nursing	0.00	26.40	26.40	100%
Odessa				
Bachelor of Science in Nursing[a]	0.00	3.40	3.40	100%
Distance Education				
Bachelor of Science in Nursing (RN to BSN)	4.36	17.97	22.33	80%
Bachelor of Science in Nursing (Accelerated)	0.50	14.20	14.70	97%
Master of Science in Nursing	1.50	14.51	16.01	91%
Doctor of Nursing Practice	1.37	1.85	3.22	57%
SON TOTALS	**7.73**	**89.33**	**97.06**	**92%**

SCHOOL OF PHARMACY				
Abilene				
Doctor of Pharmacy[a]	1.17	12.67	13.84	92%
Amarillo				
Doctor of Pharmacy[a]	3.36	15.50	18.86	82%
Dallas				
Doctor of Pharmacy[a]	1.95	12.10	14.05	86%
Lubbock				
Doctor of Pharmacy	1.28	3.07	4.35	71%
SOP TOTALS	**7.76**	**43.34**	**51.10**	**85%**
TTUHSC TOTALS	**36.20**	**311.11**	**347.31**	**90%**

[a] At least 50% of the required credit hours for the degree program may be completed at this branch campus or off-campus instructional site.
[b] Less than 50% of the required credit hours for the degree program may be completed at this branch campus or off-campus instructional site.
[c] Faculty overload

As *Table 6.2.b-1* indicates, all TTUHSC programs are taught by a majority (> 50%) of full-time faculty members, with two exceptions. For the timeframe reflected in the table, the Master of Science in Healthcare Administration program was taught by 46% full-time faculty. This may be attributed to three full-time faculty vacancies at that time. In order to compensate for those vacancies, the program hired several qualified part-time faculty members with significant industry experience to meet the teaching commitments. A new associate professor/department chair was hired in June 2017, and the remaining two full-time positions (i.e., assistant professor/assistant program director and assistant professor) were filled in December 2017.

In addition, a portion of the Doctor of Medicine program is offered at Covenant Health System, which is an off-campus instructional site at which students receive less than 50% of credits toward the degree. As indicated in the SACSCOC acceptance of notification letter on March 4, 2016, a cohort of students complete Years 3 and 4 of their medical studies at the Covenant site. Students obtain clinical training provided by community physician preceptors under the coordination of clerkship directors. Hence, as noted in the tables for the current response, none of the teaching effort at this site is conducted by full-time TTUHSC faculty members.

In addition to reviewing the percent teaching effort by full-time faculty for each degree program, it is also important to consider the data by campus and method of instruction. For programs offered at the main Lubbock campus, the percent teaching effort by full-time faculty ranges from 71% in the Doctor of Pharmacy to 100% in multiple programs. For programs offered at branch campuses, the percent teaching effort by full-time faculty ranges from 82% in the Doctor of Pharmacy program in Amarillo to 100% in multiple programs across many branch campuses. Furthermore, the percent teaching effort by full-time faculty in distance education programs ranges from 46% in the Master of Science in Healthcare Administration program to 100% in several programs. Because the Healthcare Administration program filled its vacancies, the percent teaching effort by full-time faculty is no longer a concern in this program. Therefore, there appears to be no substantial differences regarding the teaching effort of full-time faculty by campus or method of instruction.

STUDENT-TO-FACULTY RATIOS

Table 6.2.b-2 provides an alternate view regarding the sufficiency of TTUHSC faculty by program. It includes student-to-faculty ratios based on the teaching effort of full-time faculty by school, campus, and degree program for Spring 2017, Summer 2017, and Fall 2017, as well as the unduplicated student FTE's generated during the same timeframe. As indicated in the preceding section, this teaching effort includes other instructional activities by faculty that assist TTUHSC in ensuring program quality and integrity. Traditional and distance education programs are marked for reference.

Table 6.2.b-2. Student-to-Faculty Ratios by School, Campus, and Degree Program

(Spring 2017, Summer 2017, Fall 2017)

Degree Program	Teaching Effort by Full-Time Faculty	Student FTE's	Student to Full-Time Faculty Ratio
GRADUATE SCHOOL OF BIOMEDICAL SCIENCES			
Abilene			
Master of Public Health[a]	0.80	6.67	8:1
Master of Science in Biotechnology[a]	1.52	3.58	2:1
Amarillo			
Master of Science in Pharmaceutical Sciences[a]	0.55	1.67	3:1
Doctor of Philosophy in Pharmaceutical Sciences[a]	4.66	41.22	9:1
Lubbock			
Master of Public Health	0.94	25.04	27:1
Master of Science in Biomedical Sciences	2.44	19.42	8:1
Master of Science in Biotechnology	0.76	11.58	15:1
Doctor of Philosophy in Biomedical Sciences	7.51	37.11	5:1
GSBS Totals	**19.18**	**146.29**	**8:1**

SCHOOL OF HEALTH PROFESSIONS			
Amarillo			
Doctor of Physical Therapy[a]	0.95	42.22	44:1
Lubbock			
Bachelor of Science in Clinical Laboratory Science	1.29	46.10	36:1
Bachelor of Science in Speech, Lang. and Hearing Sci.	2.45	127.03	52:1
Bachelor of Science in Speech, Lang. and Hearing Sci. (Sec. Degree)	2.44	12.50	5:1
Master of Athletic Training	2.77	57.46	21:1
Master of Occupational Therapy	5.03	149.54	30:1
Master of Science in Molecular Pathology	1.27	40.25	32:1
Master of Science in Speech-Language Pathology	5.18	68.25	13:1
Doctor of Audiology	5.31	42.44	8:1
Doctor of Philosophy in Communication Sciences and Disorders	1.89	4.83	3:1
Doctor of Philosophy in Rehabilitation Sciences	0.76	9.33	12:1
Doctor of Physical Therapy	3.42	158.39	46:1
Midland			
Master of Physician Assistant Studies[a]	3.77	167.67	44:1
Odessa			
Doctor of Physical Therapy[a]	2.75	37.89	14:1
Distance Education			
Bachelor of Science in Clinical Laboratory Science (Second Degree)	1.28[c]	32.50	25:1
Bachelor of Science in Healthcare Management	2.58	59.90	23:1
Master of Science in Clinical Rehabilitation Counseling	6.73	53.29	8:1
Master of Science in Addiction Counseling	0.05	0.25	5:1
Master of Science in Clinical Mental Health Counseling	0.05	0.75	15:1
Master of Science in Healthcare Administration	2.82	104.00	37:1
Transitional Doctor of Physical Therapy	1.3[c]	41.17	32:1
Doctor of Science in Physical Therapy	2.33	44.89	19:1
SHP Totals	**56.42**	**1,300.65**	**23:1**

SCHOOL OF MEDICINE			
Amarillo			
Doctor of Medicine[a]	24.74	105.00	4:1
Covenant Health System			
Doctor of Medicine[b]	0.00	29.00	---
Lubbock			
Doctor of Medicine	60.60	674.00	11:1
Odessa			
Doctor of Medicine[a]	17.50	44.00	3:1
SOM Totals	**102.84**	**852.00**	**8:1**

SCHOOL OF NURSING			
Abilene			
Bachelor of Science in Nursing[a]	11.00	153.17	14:1
Lubbock			
Bachelor of Science in Nursing	26.40	363.43	14:1
Odessa			
Bachelor of Science in Nursing[a]	3.40	36.70	11:1
Distance Education			
Bachelor of Science in Nursing (RN to BSN)	17.97	632.57	35:1
Bachelor of Science in Nursing (Accelerated)	14.20	106.93	8:1
Master of Science in Nursing	14.51	438.88	30:1
Doctor of Nursing Practice	1.85	52.78	29:1
SON Totals	**89.33**	**1,784.46**	**20:1**

SCHOOL OF PHARMACY			
Abilene			
Doctor of Pharmacy[a]	12.67	163.21	12:1
Amarillo			
Doctor of Pharmacy[a]	15.50	360.67	19:1
Dallas			
Doctor of Pharmacy[a]	12.10	131.54	9:1
Lubbock			
Doctor of Pharmacy	3.07	31.92	7:1
SOP Totals	**43.34**	**687.34**	**16:1**
TTUHSC Totals	**311.11**	**4,770.74**	**15:1**

[a] At least 50% of the required credit hours for the degree program may be completed at this branch campus or off-campus instructional site.

[b] Less than 50% of the required credit hours for the degree program may be completed at this branch campus or off-campus instructional site.

According to the table, student-to-faculty ratios range from as low as 3:1 in the Doctor of Philosophy in Communication Sciences and Disorders program on the Lubbock campus to a maximum of 52:1 in the Bachelor of Science in Speech, Language, and Hearing Sciences program on the Lubbock campus. Student-to-faculty ratios also range from 2:1 in the Master of Science in Biotechnology program on the Abilene campus to 44:1 in programs on the Amarillo and Midland campuses. In addition, student-to-faculty ratios in distance education programs range from 5:1 in the Master of Science in Addiction Counseling program to 37:1 in the Master of Science in Healthcare Administration program. Based on these ranges, there do not appear to be any substantial differences in student-to-faculty ratios by campus or method of instruction.

SUMMARY

For each of its educational programs, the institution employs a sufficient number of full-time faculty members to ensure curriculum and program quality, integrity, and review. This conclusion is based primarily on the high

percentages of full-time faculty in each educational program. In general, full-time faculty are expected to participate in curriculum design, development, and evaluation; identify and assess student learning outcomes; and advise/mentor students. Part-time faculty typically play a less prominent role, if any, in these processes. The quality of TTUHSC's programs is evident by a history of strong performance on student achievement indicators, like licensure exams and graduation rates, and continued program accreditation by multiple federally recognized accrediting bodies. For these reasons, TTUHSC is compliant with the current standard.

6.2.c

Program Coordination

For each of its educational programs, the institution assigns appropriate responsibility for program coordination.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

In pursuit of the institution's mission, Texas Tech University Health Sciences Center (TTUHSC) seeks to educate students to become collaborative healthcare professionals, provide excellent patient care, and advance knowledge through innovative research. Achieving this three-part mission is possible only with a cadre of highly qualified faculty members. Therefore, for each of its educational programs, the institution assigns appropriate responsibility for program coordination.

Each TTUHSC school is responsible for identifying qualified faculty to coordinate its educational programs. The structure of each school and qualifications of appropriate personnel are described below.

GRADUATE SCHOOL OF BIOMEDICAL SCIENCES

Structure. In the Graduate School of Biomedical Sciences (GSBS), the curriculum committee, department chairs, graduate program advisors, and graduate committees share responsibility for effective curricular planning, implementation, and evaluation. The organizational structure for all GSBS programs, including specific areas of concentration, is presented below. Distance education (DE) programs are indicated appropriately.

Department of Cell Biology and Biochemistry
MS, Biomedical Sciences (Concentration: Biochemistry, Cellular, and Molecular Biology)
PhD, Biomedical Sciences (Concentration: Biochemistry, Cellular, and Molecular Biology)

Department of Cell Physiology and Molecular Biophysics
MS, Biomedical Sciences (Concentration: Molecular Biophysics)
PhD, Biomedical Sciences (Concentration: Molecular Biophysics)

Department of Microbiology and Immunology
MS, Biomedical Sciences (Concentration: Immunology and Infectious Diseases)
PhD, Biomedical Sciences (Concentration: Immunology and Infectious Diseases)

Department of Pharmaceutical Sciences
MS, Pharmaceutical Sciences
PhD, Pharmaceutical Sciences

Department of Pharmacology and Neuroscience
MS, Biomedical Sciences (Concentration: Translational Neuroscience and Pharmacology)
PhD, Biomedical Sciences (Concentration: Translational Neuroscience and Pharmacology)

Department of Public Health
Graduate Certificate in Public Health
Graduate Certificate in Public Health (Online)[DE]
Master of Public Health
Master of Public Health (Online)[DE]

Other (*Note: These programs are not affiliated with a specific department but are each led by a program director and/or advisor.)*
MS, Biotechnology
MS, Biomedical Sciences (Concentration: Graduate Medical Sciences)

The GSBS Roster of Program and Curriculum Oversight documents the names and qualifications of department chairs/program directors, graduate program advisors, and current faculty members of the graduate and curriculum committees described below.

Department Chairs/Program Directors/Graduate Program Advisors. Department chairs and/or program directors oversee the curricula for the degree programs and/or concentrations in their respective departments. To assist in program coordination, department chairs and/or program directors appoint graduate program advisors who are responsible for ensuring appropriate curriculum review and assessment for their programs. These advisors also maintain and update the graduate program policies for their respective programs in cooperation with the respective graduate committee. Graduate program advisors meet regularly with the respective graduate committee to discuss and vote on program-specific issues, such as curriculum requirements, graduate course content, election of new graduate faculty members to the program, and changes in guidelines for the specific graduate program.

Committees. The attached organizational chart illustrates the curriculum management committee structure within the school. The composition and responsibilities of the school's key committees are summarized below:

- **Graduate Program Committees.** Every approved graduate program has a graduate committee, chaired by the respective graduate program advisor. Each committee makes recommendations to the respective department chair and to the Dean of the school on behalf of the graduate faculty in its program. These recommendations relate to a variety of academic issues, such as the content of core courses in the program. The Graduate Program Committee also reviews and makes recommendations to program faculty on matters that require approval of the full graduate faculty.
- **Core Curriculum Coordination Committee.** Additional oversight of the GSBS curriculum is provided by a Core Curriculum Coordination Committee, which is chaired by a senior associate dean. The curriculum committee assumes responsibility for oversight of the core curriculum. Members review syllabi, credit hours, and course evaluations for core courses and provide recommendations to program advisors and course directors. This committee also reviews student requests to waive core courses and forwards their recommendations to the Dean and Graduate Council for final approval.
- **Graduate Council.** The Graduate Council serves as a governing body acting on behalf of the graduate faculty and as an advisory body to the Dean. It is expected that the Graduate Council will be consulted on all potential actions related to graduate programs and/or concentrations.

SCHOOL OF HEALTH PROFESSIONS
Structure. In the School of Health Professions (SHP), the responsibility for program coordination resides primarily with the department chairs and academic program directors. SHP is organized into departments according to professional and/or scientific areas of expertise. Each degree program is categorized under one of five departments below. Distance education (DE) programs are indicated appropriately. Each department

has a chair, and each academic program within a department is led by a program director. Refer to the attached SHP Organizational Chart.

Clinical Counseling and Mental Health
Master of Science in Addiction Counseling[DE]
Master of Science in in Clinical Mental Health Counseling[DE]
Master of Science in Clinical Rehabilitation Counseling[DE]

Healthcare Management and Leadership
Bachelor of Science in Healthcare Management[DE]
Master of Science in Healthcare Administration[DE]

Laboratory Sciences and Primary Care
Post-Baccalaureate Certificate in Clinical Laboratory Science[DE]
Bachelor of Science in Clinical Laboratory Science
Bachelor of Science in Clinical Laboratory Science (Second Degree)[DE]
Master of Physician Assistant Studies
Master of Science in Molecular Pathology

Rehabilitation Sciences
Master of Athletic Training
Master of Occupational Therapy
Doctor of Philosophy in Rehabilitation Sciences
Doctor of Physical Therapy
Doctor of Physical Therapy (Transitional)[DE]
Doctor of Science in Physical Therapy[DE]

Speech, Language, and Hearing Sciences
Bachelor of Science in Speech, Language, and Hearing Sciences
Bachelor of Science in Speech, Language, and Hearing Sciences (Second Degree)
Master of Science in Speech-Language Pathology
Doctor of Audiology

The SHP Roster of Program and Curriculum Oversight documents the names and qualifications of department chairs, program directors, and committee members, as described below.

Department Chairs. Department chairs are appointed by the Dean based on their academic and professional qualifications, as well as their demonstrated abilities to provide academic and managerial leadership within the department. The chair is responsible for the overall management of the academic programs and operational functions within the department. All five chairs serve on the SHP Executive Committee, which is chaired by the Dean and includes the upper-level administrators in the school. This committee meets monthly to discuss issues such as strategic planning, policy development and implementation, budget allocation, and other matters brought to the committee by individual faculty members, the Faculty Council, or other school officers.

All curricular changes, operational functions, and student management issues, such as recommendations for admission and dismissal, are approved by the chair before they are forwarded to the Office of the Dean or the Academic Affairs Committee for final approval. The chair ensures operational and instructional consistencies

among the programs in the department and provides administrative support functions and resource management for the department.

Academic Program Directors. Academic program directors are appointed by their department chairs, with the approval of the Dean, based on their academic degrees, professional experience, and professional credentials. All academic program directors have the appropriate degrees and have professional experience that qualifies them to teach in the discipline and manage the faculty and curriculum for their respective programs.

In each program, the academic program director and program faculty develop the curriculum in compliance with guidelines of the respective professional accreditation body and industry standards. The program director, in collaboration with program faculty, is responsible for implementing and reviewing the program curriculum, establishing program-wide learning outcomes, and assessing the effectiveness of the curriculum based on measures established by the faculty. Academic program directors also serve on the Academic Affairs Committee.

Executive Committee. The Executive Committee (TEC) is comprised of the following administrative officers: Dean; Executive Associate Dean; Associate Dean for Research; Associate Dean for Faculty Development; Associate Dean for Admissions and Student Affairs; Assistant Dean for Outcomes and Assessment; Assistant Dean for Educational Technology; Assistant Dean for Finance and Administration; Regional Dean, School of Health Professions – Amarillo; Regional Dean, School of Health Professions – Odessa; Regional Dean, School of Health Professions – Midland; Department Chairpersons; and the Senior Director of Educational Technology and Student Support Services. The Director of Major Gifts-Institutional Advancement also attends TEC but is not a voting member. TEC members advise and assist the Dean in the following areas: strategic planning; policy development and implementation; monitoring the school's committee structure; organization and effectiveness; appointments to and charters of the school's committees; budget planning and budget allocation; community affairs; performance measures; and other matters brought to TEC by the faculty, officers of the school, or the Faculty Council.

Academic Affairs Committee. Co-chaired by the Associate Dean for Admissions/Student Affairs and Assistant Dean for Outcomes and Assessment, the Academic Affairs Committee consists of the school's program directors, Senior Director of Educational Technology and Student Support Services, and Office of Admissions and Student Affairs Unit Manager. The committee monitors and recommends to the Dean SHP policies and procedures relating to official publications, academic calendars, curricula, admissions, student affairs issues, and other items of an academic nature which impact the mission of the school. Minutes of committee meetings are forwarded to the Dean for approval and distributed to Department Chairs, Regional Deans, Assistant Dean for Finance and Administration, President of the Faculty Council, and committee members.

SCHOOL OF MEDICINE

Structure. In the School of Medicine (SOM), the Office of Academic Affairs, Educational Policy Committee, Education Operations Committee, Clinical Education Operations Committee, and faculty members of individual course blocks and clerkships work collaboratively to design and implement a coordinated curriculum for the Doctor of Medicine programs, which include the traditional track and Family Medicine Accelerated Track. Refer to the following documents for additional information about the key leaders and committee members who have oversight of the curriculum: (1) SOM Organizational Chart, Curriculum Management; (2) SOM 2017-2018 Education Operations and Policy Committees; and (3) SOM Roster of Program and Curriculum Oversight.

The primary functions of the related committees are provided below:

- Provide educational vision and oversight related to the design, implementation, and evaluation of the medical curriculum;
- Ensure alignment of courses and clerkship learning objectives and outcomes with institutional educational objectives;
- Ensure that pedagogy and methods of student assessment are appropriate for meeting educational objectives;
- Ensure that the impact of the educational program maintains an appropriate balance with the research and clinical practice programs of the School of Medicine; and
- Ensure adherence to standards of the Liaison Committee on Medical Education (LCME) and the School of Medicine's educational vision, goals, and objectives.

Office of Academic Affairs. Under the direction of the Associate Dean for Academic Affairs, the Office of Academic Affairs is charged with the oversight, implementation, and management of the SOM curriculum. The office aims to ensure alignment of the curriculum with national standards and accreditation requirements, implement educational policies and curricular initiatives established by curriculum committees, and maintain a centralized curriculum management system and website to facilitate curriculum management. In addition, the office provides administrative support to the committees described below.

- **Educational Policy Committee (EPC).** As detailed in the EPC Bylaws, the EPC consists primarily of faculty members and some medical students. Faculty members are selected from all campuses through appointment by the Dean, regional deans, or election by the Faculty Council on the respective campuses. The responsibilities of the EPC include the following: (a) provide educational vision and oversight related to the design, implementation, and evaluation of the undergraduate medical curriculum; (b) ensure alignment of courses and clerkship learning objectives and outcomes with institutional educational objectives; (c) ensure that pedagogy and methods of student assessment are appropriate for meeting educational objectives; (d) ensure that the impact of the educational program maintains an appropriate balance with the research, clinical practice, and community service programs of the School of Medicine; and (e) ensure adherence to standards of the Liaison Committee on Medical Education (LCME) and the School of Medicine's educational vision, goals, and objectives.

- **Education Operations Committee (EOC).** EOC members include Block Directors for Years 1 and 2 of the curriculum, as well as a chair and associate chair who are appointed by the Associate Dean for Academic Affairs. The EOC oversees curriculum operations for the first two years of the curriculum.

- **Clinical Education Operations Committee (CEOC).** The CEOC oversees curriculum operations for Years 3 and 4 of the curriculum. Members include six lead clinical department chairs representing the specialty areas for required clerkship experiences—Family Medicine, Internal Medicine, Psychiatry, Obstetrics/Gynecology, Pediatrics, and Surgery. These Lead Chairs serve for one to two years and rotate among campuses. The Associate Dean for Academic Affairs serves on the CEOC as an ex officio member. In addition to the main CEOC, campus curriculum committees are identified to ensure appropriate and comparable implementation of curriculum on each campus.

Along with the Associate Dean for Academic Affairs, the EOC and CEOC implement policies and procedures set by the EPC. In general, the Block Directors and Clerkship Directors, in consultation with faculty in their blocks or clerkships, determine the overall learning outcomes of their block or clerkship. Individual faculty members write the specific learning outcomes for their assigned subject matter. The EOC and CEOC coordinate uniform grading policies and ensure that learning outcomes are distributed appropriately among the various blocks and clerkships. The EPC coordinates the entire curriculum in collaboration with the EOC, CEOC, and Office of Academic Affairs.

SCHOOL OF NURSING

Structure. In the School of Nursing (SON), faculty, department chairs, program directors, and program councils are responsible for academic program coordination and curricular design, development, and review. SON is organized into four departments. Refer to the SON Organizational Chart. Each degree program, including related tracks and concentrations, are categorized under one of four departments, as outlined below. Distance education (DE) programs are indicated appropriately.

Traditional Undergraduate Program
Bachelor of Science in Nursing

Non-Traditional Undergraduate Program
Bachelor of Science in Nursing (Track: RN to BSN)[DE]
Bachelor of Science in Nursing (Track: Accelerated)[DE]

Graduate Program—Leadership Studies
Master of Science in Nursing (Concentration: Administration)[DE]
Master of Science in Nursing (Concentration: Education)[DE]
Master of Science in Nursing (Concentration: Informatics)[DE]
Post-Master's Certificates[DE]
Doctor of Nursing Practice (Concentration: Executive Leadership)[DE]

Graduate Program—Advanced Practice Registered Nurse (APRN) Studies
Master of Science in Nursing (Concentration: Adult Gerontology Acute Care NP)[DE]
Master of Science in Nursing (Concentration: Family Nurse Practitioner)[DE]
Master of Science in Nursing (Concentration: Pediatric Acute Care NP)[DE]
Master of Science in Nursing (Concentration: Pediatric Primary Care NP)[DE]
Master of Science in Nursing (Concentration: Nurse Midwifery)[DE]
Master of Science in Nursing (Concentration: Psychiatric Mental Health NP)[DE]
Post-Master's Certificates[DE]
Doctor of Nursing Practice (Concentration: Advanced Practice Nursing)[DE]
Doctor of Nursing Practice (Concentration: Family Nurse Practitioner)[DE]
Doctor of Nursing Practice (Concentration: Psychiatric Mental Health NP)[DE]

Department Chairs/Program Directors. Each department is coordinated by a department chair. Department chairs work collaboratively with the Dean and program directors to coordinate the efforts of faculty and staff in achieving departmental, school, and institutional goals. Curriculum-related responsibilities include the following:

- Provide leadership and oversight for curriculum development and delivery for departmental area of responsibility;
- Collaborate with Associate Dean for Outcomes Management and Evaluation to ensure an effective and efficient process of course, faculty, and program evaluation resulting in valid data to support quality improvement processes;
- Collaborate with the Associate Dean for Education Support and Student Services to ensure effective and efficient student services;
- Collaborate with faculty to review and evaluate performance and establish professional development goals; and
- Perform evaluations within departmental area of responsibility.

Program Councils. SON utilizes a shared governance structure, which encourages multi-directional communication among faculty, staff, and administrators across multiple councils: (1) Coordinating Council, (2) Faculty Council, (3) Staff Council, (4) Professional Development Council, and (5) Program Councils. Additional information about this structure can be found in the SON Organization Bylaws. The Program Councils, which align closely with the school's academic departments, include the Traditional Undergraduate Program Council, RN-BSN Program Council, Second Degree Program Council, and Graduate Council. Members of program councils oversee curricular design, implementation, and evaluation.

The attached SON Roster of Program and Curriculum Oversight lists the names and qualifications of department chairs, program directors, and key program council members.

SCHOOL OF PHARMACY

Structure. In the School of Pharmacy (SOP), faculty members determine the professional curriculum of the Doctor of Pharmacy, including student learning outcomes, course descriptions, credit hours, prerequisites, and appropriate sequence. SOP is organized into departments according to areas of expertise. Refer to the SOP Organizational Chart. Departments include:
(1) Immunotherapeautics and Biotechnology, (2) Pharmaceutical Sciences, and (3) Pharmacy Practice.

The SOP Roster of Program and Curriculum Oversight lists the names and qualifications of the key individuals responsible for program coordination. Their general roles and responsibilities are described below.

Department Chairs/Division Heads. The primary role of SOP department chairs in program oversight includes assigning teaching responsibilities to faculty, overseeing the development and delivery of instructional activities within the department, promoting faculty development, and representing the department to internal and external stakeholders. The Chair of Pharmacy Practice has the additional responsibility of supervising and mentoring division heads within their practice areas of responsibility. Divisions include Primary Care, Adult Medicine, Pediatrics, Geriatrics, Pharmacy Practice Management, and Clinical Science/Research.

Curricular Affairs Committee. General oversight of the curriculum is delegated to the Curricular Affairs Committee (CAC). As stated in the SOP Faculty Bylaws: Article III, Section B, CAC is responsible for continuous evaluation of the professional pharmacy curriculum and for developing recommendations regarding curricular revisions or additions. CAC includes one faculty member from each academic department, who is appointed to the committee by the Dean, three faculty members selected at-large and appointed by the Dean, and one professional pharmacy student per class, as nominated by the Pharmacy Student Council.

Associate Dean for Curricular Affairs. Appointed by the Dean, the Associate Dean for Curricular Affairs also serves as an ex officio, non-voting member of CAC to function as a liaison between the Curricular Affairs Committee and the Executive Committee. In collaboration with the Chair of the Department of Pharmacy Practice, the Associate Dean for Curricular Affairs oversees the planning, implementation, and coordination of the delivery of the curriculum, as approved by the faculty.

Vice Chair of Experiential Programs. In general, the Vice Chair of Experiential Programs provides leadership, strategic direction, and oversees daily operations of the Office of Experiential Programs. Appointed by the Dean, this individual collaborates with division heads to develop and evaluate experiential courses and develop novel teaching methodologies for clerkship experiences, specifically in the third and fourth year of the curriculum. In addition, the Vice Chair seeks to provide appropriate preceptor development to help ensure comparability of individual clerkship experiences across all campuses. Like the Associate Dean for Curricular Affairs, this individual serves as an ex officio, non-voting member of CAC.

SUMMARY

TTUHSC has determined that the institution is in compliance with the current standard. For each of its educational programs, the institution assigns appropriate responsibility for program coordination to ensure the quality, integrity, and review of its programs. Although the organizational structure and curricular oversight processes differ for each TTUHSC school, this decentralized approach has proven to be successful in ensuring the quality of diverse educational programs across the institution.

6.3

Faculty Appointment and Evaluation

The institution publishes and implements policies regarding the appointment, employment, and regular evaluation of faculty members, regardless of contract or tenure status.

Judgment

☑ Compliance ❑ Partial Compliance ❑ Non-Compliance ❑ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) is in compliance with *Standard 6.3, Faculty Appointment and Evaluation*. TTUHSC maintains and publishes policies regarding the appointment and employment of faculty. All schools have established school-specific policies and procedures to govern the periodic evaluation of all faculty to assure the quality of each academic program. The policies and procedures apply to all faculty regardless of the mode of delivery or geographical location of a program.

APPOINTMENT/EMPLOYMENT OF FACULTY

HSC OP 10.01, Operating Policies and Procedures, establishes a standard process for developing, reviewing, revising, and publishing institution-wide policies and procedures. This process is facilitated by the Office of the Vice President and Chief Financial Officer (VP/CFO). Using the format specified in the policy, a department head may initiate the formal process of creating a new OP. Upon review and approval by the responsible Dean or Vice President, the new policy is sent for final approval to the responsible reviewers listed in the policy. Although an OP can be revised at any time, all institution-wide OP's are also reviewed during the regular review cycle stated in the OP.

HSC Operating Policy and Procedures (OP) 60.09, Faculty Recruitment Procedure outlines faculty search and initial hiring procedures. *HSC Operating Policy and Procedure (OP) 60.01, Tenure and Promotion,* outlines the requirements for appointment of faculty to both tenure and non-tenure employment tracks. A tenure-track appointment is limited to full-time academic faculty, while non-tenure track categories include full- or part-time faculty, clinical and non-clinical, adjunct, research, visiting professor, and faculty associate appointments.

Tenure Track Appointment

Tenure-track appointments are reserved for full-time academic faculty members in the rank of assistant professor through professor. This tenured appointment assures faculty a continuing appointment to an academic position. *HSC OP 60.01, Tenure and Promotion Policy* states the purposes of tenure are to “protect the academic freedom of the faculty member, to ensure faithful observance of the requirements of academic due process, and to retain, encourage, and promote the ablest and most promising faculty members.”

Non-tenure Track Appointment

Non-tenure track term appointments are given for a specific period of time to part- or full-time faculty (0.5 to 1 FTE). Non-tenured faculty are given a statement in writing of the conditions and period of their appointment. These term appointments may be renewed; however, reappointment does not create the right to a subsequent term appointment. Time served by persons in a non-tenure track series cannot be used as time accrued toward tenure.

- *Full-time* non-tenured faculty serve as assistant instructor, instructor, assistant professor, associate professor, or professor. The title of faculty associate may be given to TTUHSC employees who function

in teaching, research, or clinic support roles. Faculty members serving primarily in research roles are given appointments to the titles of research instructor, research assistant professor, research associate professor, or research professor.

- Faculty serving *less than half-time* (less than 0.5 FTE) are appointed to non-tenure track with qualifying conditions. In this regard, clinical appointments are given for clinical lecturer, clinical instructor, clinical assistant professor, clinical associate professor, and clinical professor; non-clinical appointees serve as lecturer, instructor, assistant professor, associate professor, and professor.
- An *adjunct appointment* may be given in conjunction with any appropriate non-tenure track title including joint appointments to indicate an appointee is regularly engaged as an employee of another institution or agency. In addition, TTUHSC employees may be given an adjunct appointment when compensation is not derived from TTUHSC state-appropriated faculty budgets. Titles include adjunct instructor, adjunct assistant professor, adjunct associate professor, and adjunct professor.
- A *visiting appointment* is reserved for distinguished individuals in senior academic ranks, visiting associate professor and visiting professor. These appointments may be part-or-full-time and are not continued unless approved by the respective school dean.

School Appointment/Employment Policies

Each TTUHSC school maintains school-specific procedures related to the employment and appointment of faculty. All procedures are completed in accordance with *HSC OP 60.09, Faculty Recruitment Procedures* and *HSC OP 60.01, Tenure and Promotion*.

- The *Graduate School of Biomedical Sciences* (GSBS) outlines the appointment of faculty in the *Bylaws of the Graduate School of Biomedical Sciences*. To be appointed in GSBS, a faculty member must be employed within the School of Medicine, School of Pharmacy, or the GSBS Department of Public Health (DPH). See GSBS DPH *Faculty Tenure and Promotion Policy*.
- *School of Health Professions* (SHP) appointment procedures are detailed in the SHP's *FC.06, Tenure and Promotion* and *FC.01, Adjunct Instructor Appointment* policies. See Tenure/Promotion Application and Memo for a policy process example following *FC.06*.
- School of Medicine (SOM) procedures for appointing and promoting faculty are contained in the *SOM OP 20.01, SOM Faculty Appointments and SOM OP 20.21, Faculty Tenure and Promotion* policies.
- The School of Nursing (SON) maintains the *SON OP 20.005, Appointment/Promotion/Tenure/Reappointment of Faculty* and *SON OP 20.006, Adjunct Faculty* policies on the appointment and promotion of faculty. See, for example, SON promotion documentation: meeting minutes and promotion packet.
- The School of Pharmacy (SOP) utilizes appointment and employment procedures outlined in *SOP OP 60.P.08, Faculty Recruitment and Selection* and *SOP OP 60.P.13, Promotion and/or Tenure Dossier Routing Guidelines.*

See, also, a process example of developing and approving a Tenure and Promotion School Policy from the School of Health Professions.

REGULAR EVALUATION OF ALL FACULTY

All TTUHSC schools have developed and implemented procedures and criteria for conducting annual evaluations of faculty, regardless of contract or tenure status. The purpose of annual evaluations is to foster the development of faculty talents and achievements, improve communication and teamwork, stimulate self-evaluations, and enhance quality improvement. Annual evaluations are conducted by the school holding a primary faculty appointment. Faculty effectiveness in terms of student learning is evaluated by considering student evaluations of the faculty member and student performance data for those courses taught by the faculty member. The annual performance evaluations require each faculty member to document his or her

activities and accomplishments and to review progress and set goals with the department chair and/or dean, as appropriate. All faculty members at TTUHSC— instructors, lecturers, assistant professors, associate professors, and full professors—are evaluated in accordance with the specific procedures of the school in which they are appointed. School-specific procedures for annual faculty evaluations include the following:

- The majority of *Graduate School of Biomedical Sciences* faculty hold primary appointments in other TTUHSC schools; thus, annual evaluations are completed by the school of primary appointment. One exception is a relatively small number of GSBS faculty in the Department of Public Health (DPH) with primary appointments in GSBS. For these faculty, the GSBS Department of Public Health (DPH) Annual Faculty Performance Appraisal Plan outlines requirements for the annual evaluation and documentation of performance and discussion of professional development. Example of a faculty evaluation is attached.
- The *School of Health Professions* Annual Performance Appraisal Policy and Forms are included in *SHP OP FC.03* and published on the school's Faculty and Staff webpage. Example of a faculty evaluation is attached.
- The *School of Medicine SOM OP 20.20, Faculty Evaluation Guidelines and Procedures* is available online in the school's Faculty e-Handbook. Examples of SOM tenured and non-tenured faculty evaluations are attached.
- The *School of Nursing SON OP 20.075, Faculty Annual Evaluation Policy* is published in the school's Faculty Handbook. An example of faculty evaluation is attached.
- The *School of Pharmacy SOP OP 60.P.15, Faculty Performance Evaluations* policy is available online. Examples of SOP tenured and non-tenured evaluations are attached.

PEER REVIEW OF TENURED FACULTY

In addition to school policies regarding the annual evaluation of all faculty, published requirements are in place to ensure comprehensive evaluation and peer review of tenured faculty on a regular basis. In compliance with *Texas Education Code (TEC), Title 3, Section §51.942, Performance Evaluation of Tenured Faculty*, The Rules and Regulations of the Board of Regents of the Texas Tech University System (*Section 04.03, Regents' Rules*) and *HSC OP 60.03, Comprehensive Performance Evaluation of Tenured Faculty*, outline the procedures for evaluation and peer review of tenured faculty to be conducted not more often than once every year but no less than once every six years after the date a faculty member is granted tenure. Attachments to *HSC OP 60.03, Comprehensive Performance Evaluation of Tenured Faculty, Sections A-D* provide school-specific requirements in support of this comprehensive review. For a review example, refer to the post-tenure review from the TTUHSC School of Nursing.

GRIEVANCE POLICIES

Each TTUHSC school has a published faculty grievance policy as required by *HSC OP 60.10, Faculty Grievance and Procedure* and in accordance with Texas Tech University System (TTU System) *Regents' Rules, Chapter 1, 01.02.9*. The purpose of these policies is to ensure that there is a formal and fair process to address faculty grievances and a resolution to them. School-based grievance policies do not pertain to grievances with regard to tenure decisions, dismissal, or non-reappointment. These type of grievances are included in *HSC OP 60.01, Tenure and Promotion Policy*. The school-based faculty grievance policies include the following:

- The *Graduate School of Biomedical Sciences DPH Faculty Grievances Policy**

  **Since the majority of the Graduate School of Biomedical Sciences faculty hold primary appointments in other TTUHSC schools, the school's grievance policy applies to the Department of Public Health faculty only.*

- *The School of Health Professions SHP Faculty Bylaws, Article 4*
- *The School of Medicine SOM OP 20.10, Faculty Grievances*
- *The School of Nursing SON OP 20.90, Faculty Grievance Policy*
- *The School of Pharmacy SOP OP 60.P.14, Faculty Grievance*

For more information on academic freedom grievances, see *Standard 6.4 (Academic Freedom).*

SUMMARY

Through a concerted and coordinated effort, faculty are appropriately hired, appointed to tenure and non-tenure positions, and regularly evaluated throughout TTUHSC. The commitment to maintaining a quality faculty is evident in the policies of the Board of Regents and TTUHSC, and schools have been empowered to develop evaluation policies that address the specific needs of professional disciplines, specialties, and contract status.

6.4

Academic Freedom

The institution publishes and implements appropriate policies and procedures for preserving and protecting academic freedom.

Judgment

☑ Compliance ❑ Partial Compliance ❑ Non-Compliance ❑ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) ensures adequate procedures for safeguarding and protecting academic freedom.

The academic freedom of faculty members at TTUHSC is safeguarded and protected by the institutional policies and procedures governing tenure and promotion, which are published online in the *TTUHSC Operating Policy and Procedure (OP) 60.01, Tenure and Promotion Policy*. *HSC OP 60.01, Tenure and Promotion Sections 2a and b* provide the following definition of academic freedom:

> a. *Open expression*. Achievement of the teaching, research, patient care and service missions of TTUHSC depends upon an uninhibited search for truth and its open expression. Hence, it is essential that faculty members be free to pursue scholarly inquiry without undue restriction, and to voice and publish individual conclusions concerning the significance of evidence that they consider relevant.
>
> b. *Content of teaching material*. TTUHSC faculty members are entitled to freedom in the classroom in discussing the subject which they teach, but should refrain from introducing controversial matters which bear no relationship to the classroom subject. When speaking, writing or acting as a citizen of the nation, state or community, faculty members must be free from institutional censorship or discipline, and should make it clear that in this capacity they do not speak for TTUHSC. Faculty members are subject to academic responsibility as noted below in this policy.

TTUHSC does not permit decisions on the re-appointment of faculty to be based on considerations violative of academic freedom, as stated in *HSC OP 60.01, Tenure and Promotion Policy*. The appeal process for an alleged violation of academic freedom in the non-reappointment process for non-tenured faculty members (non-tenure and tenure-track) is set out in *HSC OP 60.01, Tenure and Promotion, Section 10.* The dismissal and appeal process for the termination of tenured faculty or termination of non-tenured faculty during their appointment is set out in *HSC OP 60.01, Tenure and Promotion, Sections 11 and 12*. In both cases, the procedures include strict timelines to ensure that the grievance is addressed in a reasonable timeframe. Both processes also call for a School Hearing Committee comprised of faculty to hear and adjudicate any appeal or grievance that is not resolved by prior mediation.

At the conclusion of the hearing, the chair of the School Hearing Committee delivers the findings to the dean. The dean in turn, submits the findings along with his or her own recommendation to the president and the faculty member. The President reviews the findings and recommendations and makes a decision. In cases of non-reappointment or dismissal of non-tenured faculty, the decision of the president is final. In cases of dismissal of tenured faculty, the president transmits the findings and recommendations of the hearing committee and the dean along with his own recommendations to the faculty member and to the Texas Tech

University System (TTU System) Board of Regents (BOR) for its consideration. The BOR, by a majority of its total membership, takes final action in cases or dismissal of tenured faculty.

If a faculty member feels that his or her academic freedom has been violated by an administrative decision involving an employment action that is *not* specifically related to tenure decisions, termination, termination procedures, or notice of non-reappointment, the faculty member may file a grievance in accordance with *HSC OP 60.10, Faculty Grievance Procedure*.

The model procedure outlined in *HSC OP 60.10, Faculty Grievance Procedure* states that a faculty member may present a grievance without fear of retaliation and outlines a process of mediation that works within the supervisory structure of the school. The process includes strict timelines to ensure that the grievance is addressed in a reasonable timeframe. If the grievance is not resolved within the supervisory structure of the school, the grievant may file a written appeal to the dean to request a hearing. The dean will convene a Grievance Hearing Panel, which is to include members selected by the grievant and the respondent. After the hearing proceedings are concluded, the chair of the Grievance Panel will submit the panel's recommendation to the dean. The dean will review the recommendation and make a decision. The decision of the dean is final unless a procedural violation is alleged to have occurred, in which case the grievant may appeal in writing to the president. A complete, permanent record of the grievance is maintained in the dean's office. As stated in *HSC OP 60.10, Faculty Grievance Procedure*, each school must adopt a faculty grievance policy that conforms to this model policy.

The faculty grievance policy for each school is listed below:

- Graduate School of Biomedical Sciences - *Faculty Grievance Policy*
- School of Health Professions - *Faculty Grievance Policy*
- School of Medicine - *SOM OP 20.10, Faculty Grievances*
- School of Nursing - *SON OP 20.090, Faculty Grievance Policy*
- School of Pharmacy - *SOP OP 60.P.14, Faculty Grievance*

The TTUHSC General Counsel's Office is not aware of any faculty grievances involving academic freedom.

For more information on grievances not relating to academic freedom, see *Standard 6.3 (Faculty Appointment and Evaluation).*

SUMMARY

TTUHSC is compliant with *Standard 6.4, Academic Freedom*. The institution is a community of scholars dedicated to teaching and to the advancement of scientific knowledge and ensures adequate procedures for safeguarding and protecting the academic freedom of its faculty.

6.5

Faculty Development

The institution provides ongoing professional development opportunities for faculty members as teachers, scholars, and practitioners, consistent with the institutional mission.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) provides ongoing professional development of faculty as teachers, scholars, and practitioners in support of its educational, research, and service mission. As stated in the 2020 TTUHSC Strategic Plan, TTUHSC aims to "enrich the lives of others by educating students to become collaborative healthcare professionals, providing excellent patient care, and advancing knowledge through innovative research." Investing in faculty members by supporting their continuous professional development is integral to accomplishing this mission.

FACULTY DEVELOPMENT POLICIES

TTUHSC has developed a systematic and comprehensive approach to offering and supporting activities and programs to assist and encourage employees, including faculty, to pursue professional development, as outlined in *HSC OP 70.47, Employee Training and Development*. As stated in the policy, TTUHSC recognizes the importance of its employees, acknowledges their valued contributions to the accomplishment of its mission, and promotes lifelong learning for the advancement of the institution. Therefore, TTUHSC encourages eligible individuals to participate in training, education, or developmental learning experiences, such as workshops, seminars, conferences, or short courses, related to their current jobs or future job requirements for the purposes of improving job performance and/or enhancing the institution.

More specifically, *HSC OP 60.07, TTUHSC Healthcare Education Scholars*, encourages faculty through financial support to pursue graduate degrees in health professions education. This policy was developed in recognition of the need for TTUHSC faculty to demonstrate expertise in specific healthcare disciplines, as well as an understanding of educational theory and practice, in order to facilitate meaningful student learning experiences. A maximum of three full-time faculty may apply each year. Each participant may receive up to $50,000 toward program costs, including tuition, fees, and other related expenses approved in advance. Through this program, an assistant professor in the School of Medicine is currently working towards a Master of Education in Health Professions from Johns Hopkins University. A professor from the School of Pharmacy will begin the MedEd Master's Program in Fall 2018 through the University of Pennsylvania.

Another significant policy related to faculty development is *HSC OP 60.02, Faculty Development Leave of Absence for Compensated Tenured Faculty*. This policy outlines the procedures by which the Texas Tech University System (TTUS) Board of Regents may grant faculty development leaves of absence for study, research, writing, field observations, or other suitable purposes, under conditions allowable by the State of Texas. Tenured faculty may be eligible for up to one academic year of faculty development leave. No faculty members took a leave of absence in 2017-2018 under the provisions of this policy.

In addition to institution-wide policies related to faculty development, individual TTUHSC schools also have related policies. For example, as stated in SHP OP FC.08, Faculty Development Training, the School of Health Professions (SHP) requires full-time faculty members to participate in at least ten approved hours of faculty

development per academic year. A faculty member can accumulate credits in many ways, including webinars, seminars, presentations, conferences, and other events sponsored by TTUHSC or SHP. Many of these presentations are recorded on video and posted online. The faculty development site has nearly one hundred presentations from 2010-present, which are available for viewing by SHP faculty.

Furthermore, *SON OP 20.106, Support for Faculty in Doctoral Programs*, describes the procedures for awarding scholarships and/or release time to nursing faculty who desire to enroll in a doctoral program. Full-time faculty members are eligible to request support for doctoral education when they meet certain criteria, such as service as a full-time faculty member for at least two academic years and participation in a doctoral program offered by an accredited college or university approved by the Dean. In accordance with this policy, approximately $65,000 was awarded to 13 School of Nursing faculty in 2017-2018 to support their doctoral studies.

The aforementioned institution-wide and school-based policies do not provide a comprehensive list of all policies related to faculty development. However, the selected examples represent several key policies that provide evidence of the importance of professional development across TTUHSC. Additional information is available upon request.

FACULTY DEVELOPMENT ACTIVITIES

The following paragraphs describe some of the activities, training, and support offered by various departments across the institution. While these activities are certainly not exhaustive, the list offers examples of professional development opportunities across many schools, departments, and campuses. These activities are communicated through a variety of methods, including in person, flyers, email, website, and the online announcements page. See, for example, the following announcement about the TTUHSC Garrison Institute on Aging's Journal Club Meeting, which is open to all faculty, staff, and students.

- The **Workforce Education and Development** department in Human Resources provides educational opportunities for all employees, including part-time and full-time faculty, to support lifelong personal and professional development. Online and face-to-face course offerings include a variety of topics such as time management, communication strategies, leadership development, and general technology training. Refer, for example, to the Abilene office's website. Other TTUHSC departments collaborate with Human Resources to offer required training on critical topics like privacy laws, personal safety, and sexual harassment. These training modules, including required deadlines, are posted on each employee's portal.

- The **Information Technology (IT) Division** offers a wide range of online and in-person training opportunities for all students, faculty, and staff. For example, part-time and full-time faculty members can participate in Sakai training, which is the institution's learning management system, or they can participate in Shortcourses through the Advanced Technology Learning Center on the Texas Tech University campus. Topics for these courses range from analyzing data in Microsoft Excel to designing accessible websites. Many other training opportunities are also available through this division, as referenced on the IT training website.

- Specialty offices in the **TTUHSC Office of Research** support faculty research endeavors through professional development opportunities. The Clinical Research Institute (CRI), for example, assists TTUHSC faculty members in acquiring a better understanding of clinical research and related federal regulations. Personnel provide assistance and training on study design, data analysis, Institutional Review Board (IRB) submissions, and dissemination of results. In addition to providing one-on-one assistance, the CRI offers monthly workshops on the Lubbock campus, which are broadcast to other

campuses. See, for example, the workshop flyer advertising the June 2018 presentation. The Research Integrity Office, moreover, provides training to groups and individuals on all aspects of research ethics and compliance. Classes are tailored to the specific needs and questions of the group. In addition, online training is available through the Collaborative Institutional Training Initiative (CITI) program. Sample courses include *Biomedical Investigator, Financial Conflict of Interest, Research with Animals*, and *Responsible Conduct of Research*.

- **Health.edu** is a division of TTUHSC that provides high quality continuing healthcare education in more than 500 facilities worldwide. It is an online subscription-based comprehensive learning management system that produces more than 200 hours of educational programming each year. Courses are available for sixteen medical disciplines, such as medicine, nursing, pharmacy, physical therapy, and clinical laboratory science. Over half a million participants, including TTUHSC part-time and full-time faculty, utilize Health.edu services, and over 780,000 continuing education hours were awarded over the past year. Sample courses include *Parasitic and Infectious Diseases* and *Diseases of the Skin and Subcutaneous Tissue*. Refer to the Health.edu website for additional information.

- The **TTUHSC Office of Continuing Medical Education (CME)** has a presence on the Amarillo, Lubbock, and Odessa campuses to meet the continuing medical education needs of faculty and community physicians in those areas. The office provides *AMA PRA Category 1 Credit™* for TTUHSC departmental grand rounds, special events, and conferences, as well as materials produced and distributed by Health.edu, as described above. Examples of recent professional development activities include the Surgery Grand Rounds Series titled *Acute Care Surgery: Advances and Ongoing Challenges* and the 42nd Annual Pediatric and Postgraduate Conference in Clinical Pediatrics. The CME website offers more information.

SUMMARY

TTUHSC provides ongoing professional development opportunities for faculty members as teachers, scholars, and practitioners, consistent with the institutional mission. Like most health-related institutions, faculty development is a highly valued and integral component of the organizational culture. Because of the pervasiveness of these opportunities across TTUHSC, only a sample of related policies and activities have been described in the preceding narrative. Additional examples may be provided upon request. Based on all available information, TTUHSC is compliant with the current standard.

7.1

Institutional Planning

The institution engages in ongoing, comprehensive, and integrated research-based planning and evaluation processes that (a) focus on institutional quality and effectiveness and (b) incorporate a systematic review of institutional goals and outcomes consistent with its mission.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) engages in planning and evaluation processes that are ongoing, comprehensive, integrated, and research-based. In addition to describing these processes, the following narrative will outline how the processes incorporate a systematic review of institutional goals and promote quality and effectiveness across the institution. All of these planning and evaluation processes align with the TTUHSC mission to "enrich the lives of others by educating students to become collaborative health care professionals, providing excellent patient care, and advancing knowledge through innovative research."

ORGANIZATIONAL STRUCTURE

Before describing the planning and evaluation processes at TTUHSC, it may be beneficial to explain the organizational structure as it relates to these processes.

Office of Institutional Effectiveness and Accreditation

In 2005, TTUHSC established a department to coordinate and oversee institutional planning and assessment. The office has been renamed over the years but is now referred to as the Office of Institutional Effectiveness and Accreditation (OIEA). Led by the Assistant Vice President for Academic Affairs, OIEA aims to promote continuous improvement across the institution and facilitate ongoing compliance with regional accreditation standards. OIEA employs a full-time Director of Academic Affairs and full-time Director of Accreditation. Refer to the organizational chart for this area. Primary responsibilities of the department include the following:

- Coordination of annual assessment plans at the unit level;
- Communication between school liaisons and system administrators for faculty credentialing software;
- Coordination of the assessment of general education competencies for undergraduate students;
- Facilitation of the annual certification of online and hybrid courses by faculty;
- Administration of the annual Student Satisfaction Survey; and
- Oversight of SACSCOC reaffirmation processes.

IE Advisory and Accreditation Oversight Committee

The Assistant Vice President for Academic Affairs and Director of Accreditation co-chair the Institutional Effectiveness Advisory and Accreditation Oversight Committee (IEA-AOC). Established in 2005 as the IE Workgroup, the current committee is a broad-based group composed of faculty, staff, and administrators from key areas across TTUHSC (see IEA-AOC Roster). These individuals are appointed by the Deans and Vice Presidents to represent their respective areas. For five years, the IE Workgroup met frequently to identify and implement strategies for supporting continuous improvement and institutional effectiveness across the institution. For example, in December 2009, the IEA-AOC engaged in initial discussions about the implementation of Digital Measures-Activity Insight to document faculty credentials. Refer to the meeting minutes. By late March 2010, the Executive Vice President for Academic Affairs introduced the IE Workgroup's

proposal to the TTUHSC Council of Deans, and Digital Measures-Activity Insight was adopted in May 2010. The system continues to be used today across all TTUHSC schools.

The role of the IE Workgroup at TTUHSC has evolved over time as institutional effectiveness and continuous improvement processes have matured. Beginning in September 2016, the IE Workgroup's focus shifted to the reaffirmation of accreditation through SACSCOC. Today, members of the re-named IEA-AOC serve in an advisory role to OIEA personnel on matters related to institutional effectiveness, communicate about and advocate for continuous improvement processes within their respective areas, and actively participate in the development of responses for the SACSCOC Compliance Certification Report. The IEA-AOC co-chairs communicate regularly with committee members and organize group meetings as needed. See, for example, the September 2017 meeting agenda/notes and January 2018 email for evidence of these activities.

TTUHSC Strategic Planning Committee

The TTUHSC Strategic Planning Committee includes faculty, staff, and administrators from all major areas across the institution. Members of the President's Executive Council serve a primary role on this committee by facilitating focused planning sessions within their areas of supervision, participating in an annual retreat led by the Office of the President, and engaging in substantive discussions about the institution throughout the year. Refer to the roster of the 2017-2018 Strategic Planning Committee. Additional participants, such as regional campus deans and leaders of TTUHSC Institutes, are also included in the annual planning retreat to ensure widespread participation in formal strategic planning processes. Additional information about these processes will be provided in the subsequent narrative.

OVERVIEW OF PLANNING AND EVALUATION PROCESSES

TTU System Strategic Plan

TTUHSC is one of four institutions in the Texas Tech University System. As such, TTUHSC establishes specific goals in alignment with the priorities established by the System's strategic plan, *Leading the Way: Vision 2020.* Intended to guide the System's component institutions through 2020, the plan outlines five priorities: (1) increase enrollment and promote student success; (2) strengthen academic quality and reputation; (3) expand and enhance research and creative scholarship; (4) further outreach and engagement; and (5) increase and maximize resources. TTUHSC has identified appropriate performance measures and targets for each priority. On an annual basis, TTUHSC submits to the System office updated data for these measures and targets, and the System compiles a system-wide Performance and Accountability Report.

TTUHSC Strategic Plan

Alignment with System priorities. The 2013-2018 TTUHSC Strategic Plan aligns directly with the System's priorities. Developed in 2013, the plan outlines five broad institutional goals, related objectives, and key measures. The primary TTUHSC goals are outlined below:

(1) TTUHSC will foster the development of competent healthcare professionals and biomedical researchers.
(2) TTUHSC will recruit, develop, and retain outstanding employees.
(3) TTUHSC will advance knowledge and healthcare practice through innovative research and scholarship.
(4) TTUHSC will promote improved community health through the provision of patient care services and healthcare education.
(5) TTUHSC will operate effectively and efficiently through maximization of available resources.

Not only do these goals align seamlessly with the System's priorities, but they also clearly support the institution's mission to educate students to become collaborative healthcare professionals, provide excellent

patient care, and advance knowledge through innovative research. Related strategic planning documents are posted on the TTUHSC website for review by faculty, staff, students, and community members.

Because the institution's current plan is effective through 2018, TTUHSC initiated a process in Spring 2018 to develop a new strategic plan. These efforts were facilitated by staff in the Office of the President. Refer to the attached planning documents as evidence of this process. Five half-day thematic workshops were held in February 2018 to develop key objectives for each of the five priorities established by the President. These priorities include academics, research, service and outreach, and people. Members of the 2017-2018 Strategic Planning Committee invited individuals from their respective areas to participate in these workshops. Then the annual strategic planning retreat was held on March 28, 2018. The purpose of this day-long event was to finalize the new objectives and discuss potential strategies for achieving each objective. The 2020 TTUHSC Strategic Plan was approved by the Board of Regents in May 2018 and communicated to the TTUHSC community in June 2018.

Unit-level planning and assessment. As written, the 2013-2018 TTUHSC Strategic Plan includes very broad goals, objectives, and measures. To make the plan more actionable, individual units across the institution are expected to develop specific strategies for accomplishing the stated institutional objectives. Approximately 80 key areas across TTUHSC participate in an annual planning and assessment process in which they identify expected outcomes, assess the extent to which they achieve them, and provide evidence of improvement based on analysis of the results. These entities include academic programs, academic/student support services, administrative departments, research departments, and community/public services. To ensure alignment with the TTUHSC strategic plan, each outcome in a unit's annual plan must be linked to an objective from the broader strategic plan.

Because the annual planning and assessment process produces an abundance of information, TTUHSC adopted WEAVE*online* in 2006. Now known simply as Weave, this assessment management system assists TTUHSC faculty and staff in documenting planning and assessment over time. Each Weave cycle corresponds to a traditional academic year: September 1 through August 31. The due date for completion of each unit's assessment plan is always September 30. To date, TTUHSC faculty and staff have used Weave for twelve cycles (2006-2007 through 2017-2018). The 2017-2018 cycle ends on August 31, 2018, but completed Weave plans are not due until September 30, 2018.

During the planning phase of the annual Weave cycle, faculty and staff are expected to identify and/or verify the following: (1) unit mission statement, (2) learning outcomes, if applicable; (3) process objectives, if applicable; (4) measures for each outcome/objective, and (5) achievement targets. As stated previously, faculty and staff must also link each established outcome/objective to an objective from the TTUHSC strategic plan. See, for example, a screenshot from Weave, in which the Office of Institutional Compliance linked a department outcome to three related institutional objectives. *(Note: Faculty and staff will start aligning their outcomes to the objectives in the new strategic plan beginning in the 2018-2019 Weave cycle.)*

At the conclusion of the academic year, faculty and staff are required to complete the assessment phase of the process, in which they enter their findings and responses to the analysis questions. The following analysis questions have been used since the 2008-2009 cycle:

- Review the achievement targets for <PREVIOUS YEAR> which were marked Partially Met or Not Met. Describe in detail what actions you took in <CURRENT YEAR> to address those issues. Then summarize the impact of those actions on this year's findings. Upload any applicable documentation under Document Management.

- Review the achievement targets for the <CURRENT YEAR>, which were marked Partially Met or Not Met. Describe how you intend to address these issues over the next year. If you marked Met on all targets, what specifically do you intend to do in <NEXT YEAR> to promote continuous improvement in your area?

- Provide a summary of your program, department, or unit's activities in <CURRENT YEAR>. You might want to describe a major accomplishment or explain how your area contributed to the overall mission of TTUHSC. Upload any applicable documentation under Document Management.

Examples of Detailed Assessment Reports are provided for the Doctor of Audiology program and Office of Interprofessional Education. These are standard reports generated by Weave and are intended to provide a comprehensive view of each program or department. Links to Detailed Assessment Reports for all educational programs, academic/student support services, and administrative departments for three completed Weave cycles are available in the responses for *7.3 (Administrative Effectiveness)*, *8.2.a (Student Outcomes: Educational Programs)*, and *8.2.c (Student Outcomes: Academic and Student Services)*.

Annual peer review. Since the implementation of Weave, TTUHSC has achieved widespread participation in using the system to document continuous quality improvement and institutional effectiveness across the institution. However, OIEA personnel recognized that completion of an annual assessment plan does not ensure that the content is conducive to continuous improvement. Thus, OIEA personnel developed two rubrics in 2012 for evaluating assessment plans (see Form A: Educational Programs and Form B: Administrative/Student Support, Research, and Community/Public Service). The rubrics, which align seamlessly with Weave, reflect best practices in planning and assessment and have been presented at several conferences (e.g., SACSCOC 2012 Annual Meeting, 2015 and 2016 Conferences of the Southern Association for Institutional Research).

After pilot testing the rubrics for two years, OIEA implemented a cross-disciplinary review process in Fall 2014. Currently, all assessment plans for educational programs and administrative units are reviewed on an annual basis by a committee of trained faculty and staff. In October 2017, for example, 80 plans were reviewed. Of a possible 21 points, the average overall score across TTUHSC was 17.90, which represents an increase from 17.30 in 2016, 16.50 in 2015, and 14.85 in 2014. Samples of completed rubrics are provided for the Master of Athletic Training program and Laura W. Bush Institute for Women's Health.

After each peer review process, results are compiled into an Executive Summary for the President's Executive Council. Doing so is intended to provide a means of accountability for plan quality and to maintain open communication with institutional leaders. In addition, copies of the completed rubrics are emailed to the appropriate representatives for each Weave plan. OIEA personnel work collaboratively with faculty and staff to improve any Weave plans receiving a *Developing* or *Not Acceptable* overall score.

Annual TTUHSC planning process. Upon completion of unit-level plans in September and the peer review process in October, a broader three-phase process begins at the institutional level. First, the President asks members of the Strategic Planning Committee to conduct analyses of the strengths, weaknesses, opportunities, and threats (SWOT) within their respective areas; evaluate the progress on priorities established in the previous calendar year; and identify priorities for the upcoming calendar year. The manner in which each committee member facilitates this process is left to the discretion of the individual.

In the Division of Academic Affairs, for example, the Executive Vice President for Academic Affairs (EVPAA) asks each employee whom he supervises directly to conduct SWOT analyses within his/her own departments, evaluate the previous year's priorities, and identify new priorities in their areas. See, for example, the attached email. In doing so, each employee is expected to use the department's Weave report as a basis for these decisions and must identify the funding sources for new priorities. Then each department leader presents their analyses to the EVPAA and division colleagues. Refer to the Office of Institutional Health presentation from November 14, 2016, as an example. At the conclusion of the meeting, the EVPAA develops a comprehensive SWOT analysis and identifies the top three priorities across the division.

The second phase of the institutional planning process occurs in spring each year when the Office of the President hosts a planning retreat at an off-site location in Lubbock, Texas. Attendees include members of the strategic planning committee, deans from regional campuses, and directors of TTUHSC institutes. Yearly retreat agendas vary to some degree, but some topics remain consistent. The primary aims of the retreat are to develop an institutional SWOT analysis, review the status of the previous year's priorities, identify new institution-wide priorities, and finalize the data submitted to the TTU System for the annual Performance and Accountability Report, which was described previously. During this process, each member of the strategic planning committee is asked to present the top three priorities for their divisions, including the institutional implications of those priorities and timelines for completion. Examples of the supporting documentation for this phase of the planning process include the 2017 retreat agenda and 2016 post-meeting report. (Please note that planning processes were somewhat different in 2018 since TTUHSC was in the process of developing a new strategic plan. These efforts, including related supporting documentation, were referenced earlier in the narrative.)

The third phase of the institutional planning process relates to budget preparation. As part of the TTU System and as an agency of the State of Texas, TTUHSC follows common budget guidelines and cycles established by the state of Texas. Preparation of the biennial Legislative Appropriations Request (LAR) is the beginning of the budget cycle for TTUHSC. The LAR, which is used by the Texas Legislature to allocate statewide resources, is submitted to the Legislative Budget Board and the Governor's Office of Budget and Planning each even-numbered year. Refer to the 2018-2019 LAR, if desired. The LAR includes a base funding request for continuation of current funding and exceptional item requests for funding beyond current levels, including requests for tuition revenue bonds. Members of the Strategic Planning Committee are responsible for submitting proposed exceptional items, including requested funding amounts and preliminary justifications, for consideration. These proposals undergo a review process by the President, who prioritizes the list according to the institutional mission and goals. Then the selected exceptional items are presented in the LAR for consideration by the Texas Legislature.

Final state appropriations, including exceptional item requests, are determined in late May before a new biennium commences. At that time, the President and Vice President/Chief Financial Officer evaluate the funding levels provided by the legislature and allocate funding to senior-level administrators for the upcoming fiscal year. Doing so initiates the institution's annual budget preparation process. During this process, senior-level administrators are responsible for distributing funding from all available sources to individual department leaders in accordance with the priorities identified during division planning processes. Similarly, department leaders are responsible for establishing budgets within certain parameters (e.g., FY 2019 Budget Guidelines) and in accordance with the priorities identified during unit planning processes.

SUMMARY

Based on its organizational structure and the planning and evaluation processes described in this narrative, TTUHSC has determined that the institution is compliant with the requirements of the current standard. These processes: (1) occur on an annual basis; (2) involve all schools and major divisions across the institution,

including all campuses; (3) emphasize alignment of unit, division, and institutional goals; (4) align fiscal resources to priorities; and (5) reflect best practices in planning and assessment. To summarize, TTUHSC clearly engages in ongoing, comprehensive, and integrated research-based planning and evaluation processes for the purpose of improving the quality of its academic programs and the effectiveness of its services. These systematic review processes support TTUHSC's three-part mission to educate future healthcare professionals, provide excellent patient care, and advance knowledge through innovative research.

7.2

Quality Enhancement Plan

The institution has a QEP that (a) has a topic identified through its ongoing, comprehensive planning and evaluation processes; (b) has broad-based support of institutional constituencies; (c) focuses on improving specific student learning outcomes and/or student success; (d) commits resources to initiate, implement and complete the QEP; and (e) includes a plan to assess achievement.

Judgment

☐ Compliance ☐ Partial Compliance ☐ Non-Compliance ☑ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) has chosen not to participate in the optional review of the Quality Enhancement Plan at this time.

7.3

Administrative Effectiveness

The institution identifies expected outcomes of its administrative support services and demonstrates the extent to which the outcomes are achieved.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) embraces a systematic approach to institutional effectiveness. A key component of this approach is the annual planning and assessment process. This process requires key entities to identify expected outcomes, assess the extent to which they achieve these outcomes, and provide evidence of seeking improvement based on analysis of the results. The following narrative will describe this process as it relates to administrative support services.

ORGANIZATIONAL STRUCTURE

Before describing TTUHSC's approach to institutional effectiveness, it may be beneficial to explain the organizational structure as it relates to institutional planning and assessment.

Office of Institutional Effectiveness and Accreditation

In 2005, TTUHSC established a department to coordinate and oversee institutional planning and assessment. The office has been renamed over the years but is now referred to as the Office of Institutional Effectiveness and Accreditation (OIEA). Led by the Assistant Vice President for Academic Affairs, OIEA aims to promote continuous improvement across the institution and facilitate ongoing compliance with regional accreditation standards. OIEA employs a full-time Director of Academic Affairs and full-time Director of Accreditation. Refer to the organizational chart for this area. Primary responsibilities of the department include the following:

- Coordination of annual assessment plans at the unit level;
- Communication between school liaisons and system administrators for faculty credentialing software;
- Coordination of the assessment of general education competencies for undergraduate students;
- Facilitation of the annual certification of online and hybrid courses by faculty;
- Administration of the annual Student Satisfaction Survey; and
- Oversight of SACSCOC reaffirmation processes.

IE Advisory and Accreditation Oversight Committee

The Assistant Vice President for Academic Affairs and Director of Accreditation co-chair the Institutional Effectiveness Advisory and Accreditation Oversight Committee (IEA-AOC). Established in 2005 as the IE Workgroup, the current committee is a broad-based group composed of faculty, staff, and administrators from key areas across TTUHSC (see IEA-AOC Roster). These individuals are appointed by the Deans and Vice Presidents to represent their respective areas. For five years, the IE Workgroup met frequently to identify and implement strategies for supporting continuous improvement and institutional effectiveness across the institution. For example, in December 2009, the IEA-AOC engaged in initial discussions about the implementation of Digital Measures-Activity Insight to document faculty credentials. Refer to the meeting minutes. By late March 2010, the Executive Vice President for Academic Affairs introduced the IE Workgroup's proposal to the TTUHSC Council of Deans, and Digital Measures-Activity Insight was adopted in May 2010. The system continues to be used today across all TTUHSC schools.

The role of the IE Workgroup at TTUHSC has evolved over time as institutional effectiveness and continuous improvement processes have matured. Beginning in September 2016, the IE Workgroup's focus shifted to the reaffirmation of accreditation through SACSCOC. Today, members of the re-named IEA-AOC serve in an advisory role to OIEA personnel on matters related to institutional effectiveness, communicate about and advocate for continuous improvement processes within their respective areas, and actively participate in the development of responses for the SACSCOC Compliance Certification Report. The IEA-AOC co-chairs communicate regularly with committee members and organize group meetings as needed. See, for example, the September 2017 meeting agenda/notes and January 2018 email for evidence of these activities.

ANNUAL PLANNING AND ASSESSMENT PROCESS

Background

TTUHSC academic programs have always engaged in various planning and assessment efforts to determine the success of their students. Administrative support services, however, participated in such efforts less systematically until the implementation of WEAVEonline in 2006. Now known simply as Weave, this assessment management system is used by faculty and staff to document continuous quality improvement in key areas across the institution, including educational programs, administrative support services, academic/student support services, research, and community/public services. The adoption of Weave has further strengthened TTUHSC's efforts to document institutional effectiveness.

Overview of Weave

Each Weave planning and assessment cycle corresponds to a traditional academic year: September 1 through August 31. To date, TTUHSC faculty and staff have used Weave to document unit-level planning and assessment for twelve cycles (2006-2007 through 2017-2018). The 2017-2018 cycle ends on August 31, 2018, but completed Weave plans are not due until September 30, 2018. Since implementation of the annual process in 2006, TTUHSC has succeeded in achieving widespread participation across the institution. In 2016-2017, for example, faculty and staff used Weave to complete 80 assessment plans. Approximately 26 of these were for administrative support services.

During the planning phase of the annual Weave cycle, designated faculty and staff members are expected to identify and/or verify the following for their departments: (1) mission statement, (2) customer outcomes, (3) process objectives, (4) measures for each outcome/objective, and (5) achievement targets. To ensure alignment with the TTUHSC strategic plan, faculty and staff must also link each established outcome/objective to an objective from the 2013-2018 TTUHSC Strategic Plan. (*Note: A new strategic plan was approved in Spring 2018. Faculty and staff will begin linking to relevant objectives during the 2018-2019 Weave cycle.*) At the conclusion of the academic year, faculty and staff members are required to complete the assessment phase of the process, in which they enter their findings and responses to the analysis questions. The following analysis questions have been used since the 2008-2009 cycle:

- Review the achievement targets for <PREVIOUS YEAR> which were marked Partially Met or Not Met. Describe in detail what actions you took in <CURRENT YEAR> to address those issues. Then summarize the impact of those actions on this year's findings. Upload any applicable documentation under Document Management.

- Review the achievement targets for <CURRENT YEAR>, which were marked Partially Met or Not Met. Describe how you intend to address these issues over the next year. If you marked Met on all targets, what specifically do you intend to do in <NEXT YEAR> to promote continuous improvement in your area?

- Provide a summary of your program, department, or unit's activities in <CURRENT YEAR>. You might want to describe a major accomplishment or explain how your area contributed to the overall mission of TTUHSC. Upload any applicable documentation under Document Management.

Table 7.3-A lists each Weave plan for administrative support units and provides links to the Detailed Assessment Reports for the past three completed Weave cycles: (1) 2016-2017, (2) 2015-2016, and (3) 2014-2015. These are standard reports generated by Weave and are intended to provide a comprehensive view of each department. More specific examples of customer outcomes, process objectives, assessment methods, and evidence of improvement based on analysis of results will be highlighted in subsequent paragraphs. *Note: The following abbreviations are used in the table: School of Health Professions (SHP), School of Medicine (SOM), School of Nursing (SON), and School of Pharmacy (SOP).*

Table 7.3-A. Weave Detailed Assessment Reports for Administrative Support

Department/Area	Reporting Cycle		
Institutional			
Budget and Institutional Research	2016-2017	2015-2016	2014-2015
Business Affairs	2016-2017	2015-2016	New in 2015-2016
Communications and Marketing	2016-2017	2015-2016	2014-2015
Finance & Administration-Abilene/Dallas	2016-2017	2015-2016	2014-2015
Finance & Administration-Amarillo	2016-2017	2015-2016	2014-2015
Finance & Administration-Permian Basin	2016-2017	2015-2016	2014-2015
Human Resources	2016-2017	2015-2016	2014-2015
Institutional Advancement	2016-2017	2015-2016	2014-2015
Institutional Compliance	2016-2017	2015-2016	2014-2015
Institutional Effectiveness and Accreditation	2016-2017	2015-2016	2014-2015
Office of the President	2016-2017	2015-2016	2014-2015
Physical Plant and Support Services	2016-2017	2015-2016	2014-2015
Research-Laboratory Animal Research Center	2016-2017	2015-2016	2014-2015
Research-Research Integrity	2016-2017	2015-2016	2014-2015
Research-Sponsored Programs	2016-2017	2015-2016	2014-2015
School-Specific			
SHP Faculty Development	2016-2017	2015-2016	New in 2015-2016
SHP Research	2016-2017	2015-2016	New in 2015-2016
SOM Admissions	2016-2017	2015-2016	2014-2015
SOM Faculty Affairs and Development	2016-2017	2015-2016	2014-2015
SOM Research	2016-2017	New in 2016-2017	
SON Outcomes Management and Evaluation	2016-2017	2015-2016	2014-2015
SON Regional Campuses and Educational Sites	2016-2017	2015-2016	2014-2015
SON Research	2016-2017	2015-2016	2014-2015
SOP Faculty Affairs (SOP-E4: Faculty and Staff)	2016-2017	2015-2016	2014-2015
SOP Organization and Administration	2016-2017	2015-2016	2014-2015
SOP Research/Research Centers	2016-2017	2015-2016	2014-2015

Through completion of the required Weave components, staff members are able to demonstrate how they identify outcomes and/or objectives, measure the extent to which such outcomes are achieved, and document evidence of seeking improvement based on analyses of corresponding results. See below for additional information.

Outcomes/Objectives

As described in the TTUHSC Weave Instruction Sheet, academic support, administrative, research, and community outreach units may identify customer outcomes or process objectives. Customer outcomes refer to expected results for the intended customer, which varies according to the department. Process objectives, on the other hand, are anticipated actions intended to help the unit accomplish its mission. Several examples of outcomes and/or objectives are provided below.

> **Institutional Advancement.** Conduct activities that enhance donor stewardship across all campuses.
>
> **Office of the President.** The Office of the President will provide leadership in the Texas Tech University Health Sciences Center and Texas Tech University System strategic planning processes.
>
> **Physical Plant and Support Services.** The division will provide a safe physical environment for faculty, staff, students, and visitors.
>
> **School of Health Professions-Faculty Development.** To provide effective job and career orientation for newly hired faculty within the School of Health Professions.
>
> **School of Medicine-Admissions.** The School of Medicine will develop strategies to continue to improve the efficiency and effectiveness of the evaluation, interview, and admissions processes.

Assessment of Outcomes/Objectives

In addition to identifying expected outcomes and objectives, TTUHSC assesses the extent to which it achieves them. For example, in 2016-2017, Human Resources aimed to increase the visibility of open TTUHSC job positions via online search engines. More specifically, the recruitment team desired to see an increase in recruitment website visits and related analytics by at least 15% over the previous year's statistics. To measure the level of success, Human Resources personnel used the TTUHSC Recruiting Webpage Analytics Report. This report indicated an 87.88% increase in website visits that originated via generic search engines like Google, Bing, and Yahoo. In addition, visits from mobile devices increased by 17.79%, and more than 6,000 new visitors came to the site in 2016-2017, which represents a 21.4% increase from 2015-2016.

The Office of Research Integrity, moreover, seeks to maintain the effective and efficient operations of TTUHSC's Human Research Protection Program by monitoring the review times of the Institutional Review Board (IRB). Consistent with requirements of the Association for the Accreditation of Human Research Protection Programs (AAHRPP), personnel in the Office of Research Integrity measure IRB review time by counting the median number of days between submission and approval of new studies for full board reviews, expedited reviews, and exemption determinations. In 2016-2017, for example, TTUHSC aimed to meet or exceed the median turnaround statistics reported by AAHRPP-accredited institutions in 2016, which included 37 calendar days from submission to protocol approval by convened meeting, 19 calendar days for expedited reviews, and 10 calendar days for determination of exemption. The IRB Median Review Time Report indicates that each TTUHSC IRB exceeded the desired targets for all review levels.

Use of Assessment Results

In addition to assessing the extent to which they achieve desired outcomes and/or objectives, TTUHSC faculty and staff also seek improvement based on analyses of the results. For example, staff in the Office of Institutional Effectiveness and Accreditation (OIEA) expect at least 75% of required faculty and staff to complete their assessment plans in Weave by the annual September 30 deadline. Completion rates are expected to increase to 100% by December 31 each year. However, only 64% of Weave plans were completed by the designated due date in September 2014 even though completion rates improved to 100% by the end of December.

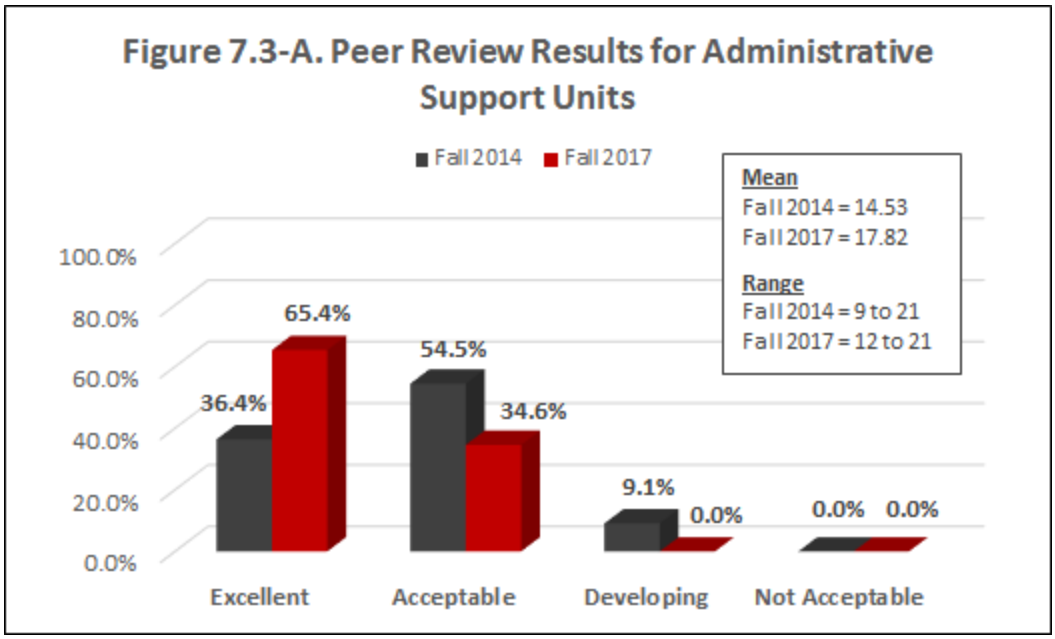
Because OIEA staff failed to meet the desired target for several consecutive years, they considered lowering the target but ultimately decided to leave it unchanged. Staff members simply continued to advertise the September 30 deadline through general reminder emails to Weave users, announcements on the TTUHSC website, and personalized emails regarding the status of specific Weave plans. OIEA staff even displayed posters or flyers on each campus and distributed free t-shirts to Weave users. See the attached photo. These efforts contributed to an 80% completion rate by September 30, 2015, which was the highest on-time completion rate since tracking began in 2008-2009. The on-time completion rates have steadily continued to increase over the past few years (i.e., 2016=86%, 2017=90%).

The Office of Communications and Marketing offers another example of how TTUHSC seeks improvement based on analyses of results. To increase internal and external awareness about TTUHSC, personnel in the Offices of Communication and Marketing and Information Technology collaborated on a project to redesign and launch a new institutional website. During the Spring 2017 administration of the Student Satisfaction Survey, respondents indicated a mean satisfaction level of 3.93 of 5.00 with regard to TTUHSC's website overall. While this item was not flagged as an immediate area of concern, this data point supported other anecdotal evidence related to the need for a website re-design in an increasingly digital environment. Thus, TTUHSC underwent an extensive process to develop and launch a more visually appealing and user friendly website. Refer to the announcement about the new website's release in January 2018. Student satisfaction with the website will be measured again in Spring 2019.

Peer Review Process

Since the implementation of Weave, TTUHSC has achieved widespread participation in using the system to document continuous quality improvement and institutional effectiveness across the institution. However, OIEA personnel recognized that completion of an annual assessment plan does not ensure the content is conducive to continuous improvement. Thus, OIEA personnel developed two rubrics for evaluating assessment plans, one of which was designed specifically to review plans for administrative/student support, research, and community/public service departments. For purposes of this response, see Form B: Administrative/Student Support, Research, and Community/Public Service). The rubrics, which align seamlessly with Weave, reflect best practices in planning and assessment and have been presented at several conferences (e.g., SACSCOC 2012 Annual Meeting, 2015 and 2016 Conferences of the Southern Association for Institutional Research).

After pilot testing the rubrics for two years, OIEA implemented a cross-disciplinary review process in Fall 2014. Currently, all assessment plans for educational programs and administrative/support units are reviewed on an annual basis by a committee of trained faculty and staff during a day-long retreat. In October 2017, for example, 80 plans were reviewed at the retreat. *Figure 7.3-A* illustrates results for administrative support plans only. Since implementation of the peer review process, the percent of plans scoring in the Excellent (18-21 points) and Acceptable (12-17 points) categories have increased, and the percent of Developing (6-11 points) plans has decreased. Evidence of continuous improvement is also evident in the comparison of means and ranges. An example of a completed rubric is provided for the School of Nursing-Research plan.



After each peer review process, results are compiled into an Executive Summary for the President's Executive Council. Doing so is intended to provide a means of accountability for plan quality and to maintain open communication with institutional leaders. In addition, copies of the completed rubrics are emailed to the appropriate representatives for each Weave plan. OIEA personnel work collaboratively with faculty and staff to improve any Weave plans receiving a Developing or Not Acceptable overall score.

SUMMARY

As described in the preceding narrative, TTUHSC embraces a systematic approach to institutional effectiveness. A key component of this approach is the annual planning and assessment process. This process requires key entities to identify expected outcomes, assess the extent to which they achieve these outcomes, and provide evidence of seeking improvement based on analysis of the results. To assist faculty and staff in improving the quality of their annual assessment plans, OIEA staff implemented a peer review process more than four years ago. The annual planning and assessment process contributes to the institution's ongoing commitment to continuous improvement. Based on these factors, TTUHSC is in compliance with the current standard.

8.1

Student Achievement

The institution identifies, evaluates, and publishes goals and outcomes for student achievement appropriate to the institution's mission, the nature of the students it serves, and the kinds of programs offered. The institution uses multiple measures to document student success.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

A major focus of the Texas Tech University Health Sciences Center (TTUHSC) mission is to educate students to become collaborative healthcare professionals. This emphasis on student learning is complemented by the institution's commitment to providing excellent patient care and advancing knowledge through innovative research. In pursuance of this mission, one of TTUHSC's strategic goals is to "provide innovative educational programs that prepare students to be competent and caring healthcare professionals and researchers." (Refer to the TTUHSC Strategic Plan 2020.) To evaluate success with regard to student achievement, TTUHSC relies primarily on student enrollment data, graduation rates, pass rates on national and/or state licensing exams, and participation in research and community outreach activities. These criteria and achievement targets are posted on the TTUHSC website for public review.

STUDENT ENROLLMENT

Prior to developing competent healthcare professionals and biomedical researchers, TTUHSC must recruit, admit, and matriculate a pool of qualified students who meet or exceed the admissions standards set by each school. Since our last reaffirmation, TTUHSC student enrollment has increased from 3,710 students in Fall 2010 to 4,788 students in Fall 2017. This represents a 29% increase over the past seven years. (Note: The official Fall 2018 student enrollment figure was unavailable at the time of report submission.)

TTUHSC's increased student enrollment coincides with increased student enrollment across other health-related institutions in Texas. According to the Texas Higher Education Coordinating Board's (THECB) 2017 Statewide Accountability Report, student enrollment in public health-related institutions in Texas increased from 23,523 in Fall 2015 to 25,031 in Fall 2017, which represents a 6.4% increase. TTUHSC's student enrollment increased by 7.0% in the same timeframe. *Table 8.1-A* provides the most recent official student enrollment figures for each TTUHSC school.

Table 8.1-A. Student Enrollment by School

School	Fall 2015	Fall 2016	Fall 2017	Fall 2020 Target
Grad. School of Biomedical Sciences	196	195	165	220
School of Health Professions	1,362	1,376	1,446	1,475
School of Medicine	665	690	724	720
School of Nursing	1,635	1,756	1,841	1,960
School of Pharmacy	616	608	612	640
TTUHSC	4,474	4,625	4,788	5,015

Rationale for Targets

As *Table 8.1-A* also shows, enrollment targets have been established by each school for Fall 2020. Enrollment targets for the institution, therefore, reflect the sum of individual school targets. In general, these targets are contingent upon projected resources, such as space, personnel, accreditation requirements, and clinical rotation availability. See below for each school's rationale for selecting these targets.

Graduate School of Biomedical Sciences (GSBS). The enrollment target for GSBS is based on the initiation of an online Master of Public Health degree in Fall 2018, as well as the implementation of a Doctor of Public Health degree in Fall 2020 if the development of the program proceeds as planned.

School of Health Professions (SHP). Enrollment targets are determined by the SHP Executive Committee, with input from program directors, and are based upon available physical resources, clinical rotation opportunities, program accreditation requirements, and faculty.

School of Medicine (SOM). In Fall 2014, the Liaison Committee on Medical Education (LCME), which is the accrediting body for all U.S. medical schools, approved a class-size increase from 150 to 180 students per year. Therefore, the SOM enrollment target remains stable each year. Actual enrollment fluctuates minimally due to attrition and/or progression delays.

School of Nursing (SON). Concerns continue about the increasing shortage of baccalaureate-prepared nurses in Texas and across the United States. Thus, SON seeks to increase student enrollment to prepare qualified graduates to become Registered Nurses and Advanced Practice Registered Nurses. To facilitate this effort, TTUHSC is taking steps to offer its traditional Bachelor of Science in Nursing degree at the Amarillo campus.

School of Pharmacy (SOP). In Fall 2018, SOP is expanding the Doctor of Pharmacy curriculum at the Dallas campus. In the past, students were only able to complete the third and fourth years of the curriculum in Dallas. Now the first and second years of the curriculum will also be offered on this campus.

GRADUATION RATES

Number of Graduates

With increased student enrollment, TTUHSC also experienced growth in the number of degrees awarded to its students since the last reaffirmation in 2009. TTUHSC conferred 1,227 degrees in AY 2010 and 2,178 degrees in AY 2017. This represents an increase of 77.5% in seven years. Combined, increases in student enrollment and conferred degrees move the institution closer toward achieving its mission, specifically as it relates to providing excellent patient care. The more graduates TTUHSC produces, the larger contribution the institution makes towards meeting the increased demand for highly qualified healthcare professionals in today's society.

Methodology

In addition to tracking the total number of graduates at TTUHSC, the institution also utilizes graduation rates as a key indicator of student achievement. Doing so enables TTUHSC to evaluate the relationship between the number of students who matriculate and those who actually persist toward degree completion. Although many variables may contribute to a student's attrition, TTUHSC aims to maintain acceptable graduation rates. These rates serve as an indirect indicator of how well TTUHSC is accomplishing the institutional mission of educating students to become collaborative healthcare professionals.

To calculate graduation rates, TTUHSC students are assigned to expected graduation cohorts (EGC's) based on the first academic period for which a student enrolls in credit hours toward a degree program. For purposes of comparison at an institutional level, students are expected to graduate within a specified number of years based on the level of degree sought. For example, students seeking an undergraduate degree enter TTUHSC with two years of coursework from another college or university. These students are expected to graduate from TTUHSC within an additional four years, giving each student a total of six years to complete a bachelor's degree. This practice coincides with reporting definitions from the Integrated Postsecondary Education Data System (IPEDS), which calculates graduation rates using the total number of completers within 150% of normal time to completion. It is acknowledged that IPEDS graduation rates relate to cohorts of full-time, first-time, degree/certificate-seeking undergraduate students, which is not applicable to a health-related institution. Nonetheless, it offers an appropriate model for calculating graduation rates at TTUHSC as well.

Students seeking advanced degrees are also expected to graduate within a specified period of time. Per THECB reporting guidelines, students seeking master's degrees are expected to graduate within five years of matriculation. Students seeking doctoral degrees, including professional degrees, are expected to graduate within ten years of matriculation. Consider, for example, a student entering the Master of Athletic Training program in AY 2018. Per TTUHSC's guidelines for calculating institutional graduation rates, this individual would be placed in the AY 2023 EGC because he/she would be expected to graduate within five years from entry.

In many cases, students graduate in advance of the specified timeframe. As expected, they are included in TTUHSC graduation rates. In some cases, students graduate after the maximum time allowed. While tracking these students is still important, they are excluded from institution-wide on-time graduation rates. These rates are intended to offer only a snapshot of student achievement based on standard practices.

TTUHSC On-Time Graduation Rates

For the 2017 EGC, TTUHSC had an overall on-time graduation rate of 88%. Before presenting additional breakdowns by school, degree level, and mode of delivery, some comparative data will be provided as a point

of reference. *Table 8.1-B* provides graduation rates for the cohorts expected to graduate from Texas colleges or universities in 2017. Graduation rates for all degree levels, except one, represent data from public health-related institutions in Texas. Graduation rates at the undergraduate level represent all public universities in Texas. Refer to Graduation Rates in Texas for additional information.

Table 8.1-B. Comparative Graduation Rates

Degree Level	Peers	TTUHSC
Baccalaureate	61%	90%
Master's	74%	83%
Doctoral	60%	90%
Medicine	90%	95%
Pharmacy	92%	97%

Because of differences in how comparative data is calculated, caution should be exerted when making direct comparisons of graduation rates. However, the data suggest that TTUHSC's graduation rates exceed those of its Texas peers for all degree levels and types for which comparative data are available.

Graduation Rates by School. *Table 8.1-C* provides on-time graduation rates by TTUHSC school for the past five EGC's, as well as minimum achievement targets and target status for the most recent year.

Table 8.1-C. On-Time Graduation Rates by School

School	Expected Graduation Cohort (EGC)					Min. Annual Target	2017 Status
	2013	2014	2015	2016	2017		
Grad. School of Bio. Sciences	65%	67%	70%	85%	72%	70%	Met
School of Health Professions	79%	79%	82%	81%	74%	70%	Met
School of Medicine	89%	94%	97%	93%	95%	92%	Met
School of Nursing	92%	92%	92%	93%	93%	90%	Met
School of Pharmacy	78%	97%	95%	93%	97%	92%	Met

Rationale for targets. The targeted on-time graduation rates for each TTUHSC school are typically based on a review of the average on-time graduation rates for the school, as well as comparisons to other health-related institutions across Texas. In general, TTUHSC schools aim to meet or exceed the graduation rates of their peers. See below for additional information.

Graduate School of Biomedical Sciences. The school offers a combination of master's and doctoral degrees. Graduation rates for public health-related institutions in Texas for these degree levels is 74% and 60%, respectively. In addition, the GSBS had an average graduation rate of 68% over the past seven years, excluding the highest and lowest rates. Based on all of these considerations, the current minimum achievement target is 70%.

School of Health Professions. SHP is one of the largest TTUHSC schools with regard to student enrollment, offering approximately twenty degree programs at the baccalaureate, master's, doctoral, and professional levels. The comparative data for bachelor's, master's, and doctoral degrees is 61%, 74%, and 60%. In consideration of these peer comparisons, the SHP Executive Committee established a minimum on-time graduation rate of 70% for its diverse program offerings.

School of Medicine. The Doctor of Medicine is a professional degree program with a lockstep curriculum over four years. As such, the program typically has high graduation rates. In Texas, the graduation rate for medical students at all public health-related institutions is 90%. The current achievement target for TTUHSC medical students is 92%.

School of Nursing. SON has the largest student enrollment of all TTUHSC schools, with traditional and distance education programs at the undergraduate and graduate levels. Over the past seven years, the range of on-time graduation rates in SON was 89% to 93%. This far exceeds the comparative peer data for bachelor's, master's, and doctoral degrees across Texas. Therefore, the minimum achievement target is currently 90% for SON students.

School of Pharmacy. Like the Doctor of Medicine, the Doctor of Pharmacy is a professional degree program with a lockstep curriculum over four years. The program also has high graduation rates. In Texas, the graduation rate for pharmacy students at all public health-related institutions is 92%. In consideration of this peer comparison and past on-time graduation rates, the SOP on-time graduation rate achievement target is also 92%.

Graduation Rates by Degree Level. In addition to evaluating graduation rates by school, TTUHSC faculty and staff members also monitor graduation rates by degree level. *Table 8.1-D* provides on-time graduation rates by degree level for the past five EGC's at TTUHSC. Based on the comparative graduation rates indicated in *Table 8.1-B*, TTUHSC far exceeds the graduation rates of its peers. Thus, the minimum achievement targets are based more heavily on the historical graduation rates for each degree level.

Table 8.1-D. On-Time Graduation Rates by Degree Level

Degree Level	Expected Graduation Cohort (EGC)					Min. Annual Target	2017 Status
	2013	2014	2015	2016	2017		
Baccalaureate[a]	88%	91%	93%	93%	90%	90%	Met
Master's[b]	83%	82%	83%	83%	83%	80%	Met
Doctoral/Professional[c]	83%	91%	90%	90%	90%	90%	Met

[a] *Students seeking undergraduate degrees from TTUHSC are expected to graduate within 4 years.*

[b] *Students seeking masters' degrees from TTUHSC are expected to graduate within 5 years.*

[c] *Students seeking doctoral (including professional) degrees from TTUHSC are expected to graduate within 10 years.*

Graduation Rates by Mode of Delivery. All TTUHSC schools offer traditional programs. Three of five TTUHSC schools offer programs via distance education: GSBS, SHP, and SON. Therefore, TTUHSC faculty and staff monitor graduation rates by mode of delivery. *Table 8.1-E* provides on-time graduation rates by mode of delivery for the past five EGC's. As shown, the on-time graduation rate for students enrolled in distance

education programs at TTUHSC has remained relatively stable over the past five years. In consideration of these historical on-time graduation rates, the minimum achievement target is 85% for both traditional and distance education programs at TTUHSC. This also coincides with the targeted on-time graduation rates by degree level since distance education programs are offered at the bachelor's, master's, and doctoral/professional degree levels.

Table 8.1-E. On-Time Graduation Rates by Mode of Delivery

Mode of Delivery	Expected Graduation Cohort (EGC)					Min. Annual Target	2017 Status
	2013	2014	2015	2016	2017		
Traditional	86%	91%	91%	94%	91%	85%	Met
Distance Education	85%	85%	87%	86%	86%	85%	Met

Graduation Rates by Campus. Most recently, TTUHSC started tracking on-time graduation rates by campus as well. Thus far, on-time graduation rates have been calculated for the 2016 and 2017 EGC's. *Table 8.1-F* shows the respective graduation rates for each campus. Due to the nature of some TTUHSC programs, some students begin and end a degree program at the same campus. Others begin a degree program at one campus and complete the degree at another campus. Graduation rates for the latter are categorized under "Multiple campuses." There do not appear to be any noticeable differences between cohorts who remain at the same campus versus those who do not.

Table 8.1-F. On-Time Graduation Rates by Campus

Campus	Expected Graduation Cohort (EGC)		Min. Annual Target	2017 Status
	2016	2017		
Abilene	100%	81%	80%	Met
Amarillo	82%	95%	80%	Met
Dallas[a]	N/A	N/A	80%	N/A
Lubbock	93%	90%	80%	Met
Midland	97%	93%	80%	Met
Odessa	96%	76%	80%	Not Met
Multiple campuses	100%	99%	80%	Met

[a] *Prior to Fall 2018, no students began the Doctor of Pharmacy at the Dallas campus. They started the program at another campus before transferring to the Dallas campus for the last two years of study.*

Until several years of data are collected, the minimum achievement target for all campuses is 80%. This is based on the minimum target by degree level (i.e., master's degree) since a combination of degree levels are typically offered on each campus. As shown in the table above, the target was not met in Odessa for the 2017 EGC. Because the target was exceeded in the previous year, TTUHSC faculty and staff will simply continue to monitor the on-time graduation rate for several cycles to determine if a pattern develops across cohorts on this campus.

CERTIFICATION/LICENSURE EXAMINATIONS

Background

In addition to graduation rates, TTUHSC uses pass rates on state or national certification/licensure exams as a key indicator of student achievement. Many graduates from TTUHSC professional schools must acquire a license in order to practice in their respective professions. As such, pass rates are an appropriate indicator of whether TTUHSC is succeeding in the institutional mission to educate students to become collaborative healthcare professionals. *Table 8.1-G* provides the 2017 first-time pass rates for TTUHSC students enrolled in programs with certification/licensure exams, minimum achievement targets for each program, and whether targets were met or not met for the designated year. Distance education programs are marked appropriately.

Table 8.1-G. First-Time Pass Rates on Certification/Licensure Examinations

Degree Program by School	2017 Pass Rate	Min. Annual Target	2017 Status
School of Health Professions			
Bachelor of Science in Clinical Laboratory Science	100%	82%	**Met**
Post-Baccalaureate Certificate in Clinical Laboratory Science[a]	80%	81%	**Not Met**
Bachelor of Science in Clinical Laboratory Science (Second Degree)[a]	80%	81%	**Not Met**
Master of Athletic Training	96%	84%	**Met**
Master of Occupational Therapy	83%	81%	**Met**
Master of Physician Assistant Studies	100%	96%	**Met**
Master of Science in Molecular Pathology	95%	77%	**Met**
Master of Science in Speech-Language Pathology	100%	82%	**Met**
Doctor of Audiology	69%	70%	**Not Met**
Doctor of Physical Therapy	100%	94%	**Met**
School of Medicine-Doctor of Medicine			
USMLE Step I	98%	95%	**Met**
USMLE Step II-Clinical Knowledge	95%	95%	**Met**
USMLE Step II-Clinical Skills	95%	95%	**Met**
School of Nursing			
Bachelor of Science in Nursing (Traditional)	97%	87%	**Met**
Bachelor of Science in Nursing (Accelerated)[a]	100%	87%	**Met**
School of Pharmacy			
Doctor of Pharmacy	93%	87%	**Met**

[a] *Distance education program*

Rationale for Targets

Unless specified below, first-time test takers at TTUHSC are expected to achieve pass rates at or above national averages. Thus, the national averages are identified as the minimum achievement targets for each program. Please note that a national mean for first-time test takers is not available in some cases, so the comparative pass rate may represent all examinees. In other cases, reporting periods vary due to differences in testing organizations. Each TTUHSC school may select an alternate achievement level if justified appropriately. See below for explanations of selected targets by school.

Graduate School of Biomedical Sciences. GSBS does not offer academic programs with state or national certification/licensure exams. Therefore, pass rates on such exams are not a key indicator of student achievement.

School of Health Professions. The Executive Committee, with input from the Program Directors and faculty, has determined that a target of meeting or exceeding the national mean on external certification or license exams is a good indicator of a high quality graduate in SHP. Some program accrediting bodies also require specific levels of achievement. However, pass rates established by program accreditors historically fall below the national average, thus justifying the school's emphasis on meeting or exceeding national averages.

School of Medicine. SOM seeks to achieve pass rates of 95% or greater on each step of the three-step United States Medical Licensing Examination (USMLE). By establishing this minimum achievement target, the school will likely meet or exceed the mean national pass rate consistently, thus ensuring comparability with other medical programs.

School of Nursing. The minimum achievement target for first-time test takers at the undergraduate level is based on the Commission on Collegiate Nursing Education's (CCNE) requirement for demonstrating program effectiveness. Refer to CCNE's Guidelines for Assessment of Student Achievement, Key Element IV-C. The targeted first-time pass rate for SON students is 80% on the National Council Licensure Examination for Registered Nurses (NCLEX-RN®). However, the SON often establishes a higher expectation for its students to meet or exceed the national mean, which is often higher than the CCNE's minimum requirement.

School of Pharmacy. The minimum passing score on the North American Pharmacist Licensure Examination (NAPLEX) is 75. SOP aims for a specific percentage of its first-time test takers to meet or exceed this score. The expectation varies each year depending on the percentage of all test-takers who achieve the minimum passing score.

Upon review of the 2017 pass rates at TTUHSC, three programs did not meet the desired achievement targets. The Post-Baccalaureate Certificate in Clinical Laboratory Science and Bachelor of Science in Clinical Laboratory Science (Second Degree), which are both distance education programs, had pass rates slightly below the national mean pass rate. This is not an area of immediate concern, however, because TTUHSC pass rates have exceeded the national mean pass rates for the past seven years. The pass rates will continue to be monitored in the future to identify any unexpected trends in these programs. Similarly, the 2017 pass rate in the Doctor of Audiology program was slightly below the desired achievement target. However, this is not an area of immediate concern because historically, the TTUHSC pass rates have exceeded the national mean pass rates. Trends will continue to be followed closely. In the meantime, continuous improvement efforts are documented through the annual planning and assessment process for monitoring institutional effectiveness. Refer to *Standard 8.2.a (Student Outcomes: Educational Programs)* for additional information.

RESEARCH ACTIVITIES

Much of the preceding data illustrates how TTUHSC evaluates success with regard to student achievement, specifically as the data relate to the institutional mission to provide high quality educational opportunities for students. However, advancing knowledge through innovative scholarship and research is also an important

component of the TTUHSC mission. Not only does TTUHSC aim to foster the development of future healthcare professionals, but it seeks to produce competent biomedical researchers as well. To evaluate success in this regard, TTUHSC requires students to participate in research activities, as appropriate to the program.

Doctoral Dissertation Defenses

For example, the Graduate School of Biomedical Sciences and School of Health Professions offer Doctor of Philosophy (PhD) degrees. To fulfill degree requirements for these programs, each student must engage in independent scientific research culminating in the completion of a doctoral dissertation. Specific criteria for success are established by program faculty and evaluated by the students' advisory committees. See, for example, the dissertation defense checklist used to evaluate student achievement in the Communication Sciences and Disorders program. Regardless of the criteria, all TTUHSC degree programs seek to achieve a 100% pass rate on doctoral defenses. *Table 8.1-H* lists each PhD program at TTUHSC, the number of students who successfully defended their dissertations in AY 2017, and the status of the achievement targets.

Table 8.1-H. Successful Dissertation Defenses

Ph.D. Program by School	# of Defenses	Actual Pass Rate	Targeted Pass Rate	AY 2017 Status
Graduate School of Biomedical Sciences				
Doctor of Philosophy in Biomedical Sciences	10	100%	100%	**Met**
Doctor of Philosophy in Pharmaceutical Sciences	6	100%	100%	**Met**
School of Health Professions				
Doctor of Philosophy in Comm. Sciences and Disorders	3	100%	100%	**Met**
Doctor of Philosophy in Rehabilitation Sciences	3	100%	100%	**Met**

Rationale for targets. Both SHP and GSBS expect 100% of their students to successfully defend their dissertations because each school has established processes to ensure students are fully prepared in advance of the dissertation defense. For example, SHP faculty have developed Ph.D. program criteria and internal review processes which prevent unprepared students from progressing to candidacy status. GSBS students, moreover, must obtain approval from the members of their advisory committees prior to scheduling a defense date. Doing so ensures the student is on track to successfully defend his or her research within the semester. Refer to the attached defense approval form.

Presentations and Publications

Program faculty also encourage PhD students to make scholarly contributions to their respective fields. Each PhD program in GSBS and SHP expects 100% of its students to submit presentations and/or manuscripts for publication at local, state, national, or international levels prior to graduation. *Table 8.1-I* provides the number of students who graduated in AY 2017, submission rates, and the status of the achievement targets.

Table 8.1-I. Submission Rate for Presentations and Publications

Ph.D. Program by School	# of Graduates	Actual Submission Rate	Targeted Submission Rate	AY 2017 Status
Graduate School of Biomedical Sciences				
Doctor of Philosophy in Biomedical Sciences	10	100%	100%	**Met**
Doctor of Philosophy in Pharmaceutical Sciences	6	100%	100%	**Met**
School of Health Professions				
Doctor of Philosophy in Comm. Sciences and Disorders	3	100%	100%	**Met**
Doctor of Philosophy in Rehabilitation Sciences	2	100%	100%	**Met**

Rationale for targets. Because research is integral to each PhD program at TTUHSC and to the institutional mission, GSBS and SHP expect 100% of its doctoral students to submit presentations and/or manuscripts for publication at local, state, national, or international levels prior to graduation. In its student catalog, GSBS specifies that students are expected to publish at least one peer-reviewed original research paper prior to graduation. Through its program criteria and internal review processes, SHP faculty also closely monitor student participation in scholarly work. Program faculty in the Communication Sciences and Disorders program, for example, aim for the program's PhD students to submit collectively at least five presentations and/or manuscripts for publication each academic year. In AY 2017, one PhD student was an author on a peer-reviewed publication. Seven PhD students in the same program presented a total of 16 peer-reviewed presentations at local, state, and national venues in the same year.

Student Research Week

Another means by which student success is evaluated with regard to research is participation in the annual Student Research Week. This is an interdisciplinary event organized each year by the students in the Graduate School of Biomedical Sciences. The event includes a seminar series by distinguished biomedical scientists and a poster competition among TTUHSC students and other schools within the Texas Tech University System. The primary objective of Student Research Week is to provide a forum for undergraduate and graduate students, medical students, residents, and fellows to present their research in a conference-like atmosphere and engage in active research discussions with peers, faculty, and visiting scientists.

The 30th Annual Student Research Week was held on the Lubbock campus on March 20-23, 2018. The selected theme was *Protein Chronicles: From Unknown Structures to Essential Functions*, and keynote speakers included: (1) Dr. Francisco Bezanilla, University of Chicago; and (2) Dr. Jane S. Richardson, Duke University. More than 200 abstracts were submitted for the poster competition, and participant posters were judged by TTUHSC faculty based on the criteria appropriate for the type of presentation (i.e., scientific research, case presentation, educational presentation). The top participants were awarded scholarships for their submissions.

On an annual basis, TTUHSC aims to receive at least 225 abstracts for the poster competition during Student Research Week. *Table 8.1-J* provides the number of abstracts submitted over the past six years, including the target and achievement status.

Table 8.1-J. Abstracts Submitted for Student Research Week

	# of Abstracts	Target	Status
2018	227	225	**Met**
2017	244	225	**Met**
2016	217	200	**Met**
2015	202	200	**Met**
2014	209	200	**Met**
2013	182	200	**Not Met**

Rationale for target. The annual target was revised from 200 to 225 in 2017 after three consecutive years of exceeding the target. The current target will likely remain stable in the foreseeable future because the event has reached capacity due to limited funding and physical space constraints. As is, the annual Student Research Week is a highly successful event with participation from all TTUHSC schools. Any future desire to expand the poster competition will simply require additional resources to be identified.

PATIENT CARE

The final component of the institution's three-part mission is the provision of excellent patient care. A related strategic goal is to "improve overall health and access to health care for communities in our region through the provision of patient care services and community outreach." TTUHSC tracks a number of data points with regard to patient care, such as the number of patients served, but two specific measures are used to document student success. These include the numbers of students who participate in global health initiatives and community-based education sites. *Table 8-1-K* provides the relevant numbers for the past four years, as well as the achievement targets for 2020. The targets were established by leaders in the Office of Global Health and F. Marie Hall Institute for Rural and Community Health. They are based largely on historical data with projections for limited growth.

Table 8.1-K. Patient Care and Community Outreach

	2014	2015	2016	2017	2020 Target
Number of students who participated in global health initiatives	143	140	143	111	150
Number of students who participated in a community-based education site	400	701	961	1,464	1,550

SUMMARY

As the narrative demonstrates, TTUHSC evaluates success with respect to student achievement consistent with the institutional mission to educate students to become collaborative healthcare professionals, advance knowledge through innovative research, and provide excellent patient care. To evaluate student success in these areas, TTUHSC relies largely on student enrollment data, on-time graduation rates, pass rates on national and/or state licensing exams, and participation in research and community outreach activities. These criteria and achievement targets are updated annually and posted for review on the TTUHSC website. In consideration of these factors, the institution remains in compliance with the requirements of the current standard.

8.2.a

Student Outcomes: Educational Programs

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of seeking improvement based on analysis of the results with regard to student learning outcomes for each of its educational programs.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) embraces a systematic approach to institutional effectiveness. A key component of this approach is the annual planning and assessment process. This process requires key entities to identify expected outcomes, assess the extent to which they achieve these outcomes, and provide evidence of seeking improvement based on analysis of the results. The following narrative will describe this process as it relates to educational programs.

ORGANIZATIONAL STRUCTURE

Before describing TTUHSC's approach to institutional effectiveness, it may be beneficial to explain the organizational structure as it relates to institutional planning and assessment.

Office of Institutional Effectiveness and Accreditation

In 2005, TTUHSC established a department to coordinate and oversee institutional planning and assessment. The office has been renamed over the years but is now referred to as the Office of Institutional Effectiveness and Accreditation (OIEA). Led by the Assistant Vice President for Academic Affairs, OIEA aims to promote continuous improvement across the institution and facilitate ongoing compliance with regional accreditation standards. OIEA employs a full-time Director of Academic Affairs and full-time Director of Accreditation. Refer to the organizational chart for this area. Primary responsibilities of the department include the following:

- Coordination of annual assessment plans at the unit level;
- Communication between school liaisons and system administrators for faculty credentialing software;
- Coordination of the assessment of general education competencies for undergraduate students;
- Facilitation of the annual certification of online and hybrid courses by faculty;
- Administration of the annual Student Satisfaction Survey; and
- Oversight of SACSCOC reaffirmation processes.

IE Advisory and Accreditation Oversight Committee

The Assistant Vice President for Academic Affairs and Director of Accreditation co-chair the Institutional Effectiveness Advisory and Accreditation Oversight Committee (IEA-AOC). Established in 2005 as the IE Workgroup, the current committee is a broad-based group composed of faculty, staff, and administrators from key areas across TTUHSC (see IEA-AOC Roster). These individuals are appointed by the Deans and Vice Presidents to represent their respective areas. For five years, the IE Workgroup met frequently to identify and implement strategies for supporting continuous improvement and institutional effectiveness across the institution. For example, in December 2009, the IEA-AOC engaged in initial discussions about the implementation of Digital Measures-Activity Insight to document faculty credentials. Refer to the meeting minutes. By late March 2010, the Executive Vice President for Academic Affairs introduced the IE Workgroup's proposal to the TTUHSC Council of Deans, and Digital Measures-Activity Insight was adopted in May 2010. The

system continues to be used today across all TTUHSC schools.

The role of the IE Workgroup at TTUHSC has evolved over time as institutional effectiveness and continuous improvement processes have matured. Beginning in September 2016, the IE Workgroup's focus shifted to the reaffirmation of accreditation through SACSCOC. Today, members of the re-named IEA-AOC serve in an advisory role to OIEA personnel on matters related to institutional effectiveness, communicate about and advocate for continuous improvement processes within their respective areas, and actively participate in the development of responses for the SACSCOC Compliance Certification Report. The IEA-AOC co-chairs communicate regularly with committee members and organize group meetings as needed. See, for example, the September 2017 meeting agenda/notes and January 2018 email for evidence of these activities.

ANNUAL PLANNING AND ASSESSMENT PROCESS

Background

TTUHSC academic programs have always engaged in various planning and assessment efforts to determine the success of their students. Programs in each school must meet the stringent accreditation requirements of external program accreditors. These accreditation processes require internal self-study and external review of the educational program by peer reviewers. Refer to the table of current TTUHSC accreditors to view the list of accreditors and dates of the most recent reviews.

Degree programs are also subject to the program review requirements of the Texas Higher Education Coordinating Board (*Title 19 Texas Administrative Code, §5.52*). Per these requirements, TTUHSC must conduct formal reviews of all doctoral and stand-alone master's programs at least once every seven years. As part of this required process, each program review must include at least two external reviewers with subject-matter expertise who are employed by institutions of higher education outside of Texas. Criteria for review include many factors, such as faculty qualifications, program curriculum, graduation rates, licensure rates, and alignment of programs with stated program and institutional goals/purposes. See, for example, the most recent graduate program review for the PhD in Communication Sciences and Disorders. The report includes the self study, report of external review, and response to the external review. Also attached is the THECB's program review approval.

Combined, program accreditation processes and state-mandated program review processes assist TTUHSC in engaging in a formal cycle of continuous improvement. However, to meet increasing demands for a broad-based and systematic process, TTUHSC implemented WEAVEonline in 2006. Now known simply as Weave, this assessment management system is used by faculty and staff to document continuous quality improvement in key areas across the institution, including educational programs, administrative support services, academic/student support services, research, and community/public services. The adoption of Weave has further strengthened TTUHSC's efforts to document institutional effectiveness.

Overview of Weave

Each Weave planning and assessment cycle corresponds to a traditional academic year: September 1 through August 31. To date, TTUHSC faculty and staff have used Weave to document unit-level planning and assessment for twelve cycles (2006-2007 through 2017-2018). The 2017-2018 cycle ends on August 31, 2018, but completed Weave plans are not due until September 30, 2018. Since implementation of the annual process in 2006, TTUHSC has succeeded in achieving widespread participation across the institution. In 2016-2017, for example, faculty and staff used Weave to complete 80 assessment plans, more than one-third of which were for educational programs.

During the planning phase of the annual Weave cycle, faculty are expected to identify and/or verify the following for individual programs: (1) mission statement, (2) student learning outcomes, (3) process

objectives for program administration, if applicable, (4) measures for each outcome/objective, and (5) achievement targets. To ensure alignment with the TTUHSC strategic plan, faculty must also link each established program outcome/objective to an objective from the 2013-2018 TTUHSC Strategic Plan. *(Note: A new strategic plan was approved in Spring 2018. Faculty and staff will begin linking to relevant objectives during the 2018-2019 Weave cycle.)* At the conclusion of the academic year, faculty are required to complete the assessment phase of the process, in which they enter their findings and responses to the analysis questions. The following analysis questions have been used since the 2008-2009 cycle:

- Review the achievement targets for <PREVIOUS YEAR> which were marked Partially Met or Not Met. Describe in detail what actions you took in <CURRENT YEAR> to address those issues. Then summarize the impact of those actions on this year's findings. Upload any applicable documentation under Document Management.

- Review the achievement targets for <CURRENT YEAR>, which were marked Partially Met or Not Met. Describe how you intend to address these issues over the next year. If you marked Met on all targets, what specifically do you intend to do in <NEXT YEAR> to promote continuous improvement in your area?

- Provide a summary of your program, department, or unit's activities in <CURRENT YEAR>. You might want to describe a major accomplishment or explain how your area contributed to the overall mission of TTUHSC. Upload any applicable documentation under Document Management.

Table 8.2.a-1 lists each Weave plan for educational programs and provides links to the Detailed Assessment Reports for the past three completed Weave cycles: (1) 2016-2017, (2) 2015-2016, and (3) 2014-2015. These are standard reports generated by Weave and are intended to provide a comprehensive view of each program. More specific examples of programmatic student learning outcomes, assessment methods, and evidence of improvement based on analysis of results will be highlighted in subsequent paragraphs.

Table 8.2.a-1. Weave Detailed Assessment Reports for Educational Programs

Name of Report by School	Reporting Cycle		
Graduate School of Biomedical Sciences			
Master of Public Health	2016-2017	2015-2016	2014-2015
MS, Biomedical Sciences	2016-2017	2015-2016	2014-2015
MS, Biotechnology	2016-2017	2015-2016	2014-2015
MS, Pharmaceutical Sciences	2016-2017	2015-2016	2014-2015
PhD, Biomedical Sciences	2016-2017	2015-2016	2014-2015
PhD, Pharmaceutical Sciences	2016-2017	2015-2016	2014-2015
School of Health Professions			
BS, Clinical Laboratory Sciences	2016-2017	2015-2016	2014-2015
BS, Clinical Laboratory Sciences (Second Degree, Certificate)	2016-2017	2015-2016	2014-2015
BS, Healthcare Management	2016-2017	2015-2016	2014-2015
BS, Speech, Language and Hearing Sciences (Traditional)	2016-2017	2015-2016	2014-2015
BS, Speech, Language and Hearing Sciences (Second Degree)	2016-2017	New track in 2016-2017	
Master of Athletic Training	2016-2017	2015-2016	2014-2015

Master of Occupational Therapy	2016-2017	2015-2016	2014-2015
Master of Physician Assistant Studies	2016-2017	2015-2016	2014-2015
MS, Clinical Rehabilitation Counseling	2016-2017	2015-2016	2014-2015
MS, Addiction Counseling	New in 2017-2018		
MS, Clinical Mental Health Counseling	New in 2017-2018		
MS, Healthcare Administration	2016-2017	2015-2016	2014-2015
MS, Molecular Pathology	2016-2017	2015-2016	2014-2015
MS, Speech-Language Pathology	2016-2017	2015-2016	2014-2015
Doctor of Audiology	2016-2017	2015-2016	2014-2015
PhD, Communication Sciences and Disorders	2016-2017	2015-2016	2014-2015
PhD, Rehabilitation Sciences	2016-2017	2015-2016	2014-2015
Doctor of Physical Therapy (Traditional)	2016-2017	2015-2016	2014-2015
Doctor of Physical Therapy (Transitional)	2016-2017	2015-2016	2014-2015
Doctor of Science in Physical Therapy	2016-2017	2015-2016	2014-2015
School of Medicine			
Doctor of Medicine	2016-2017	2015-2016	2014-2015
School of Nursing			
BS, Nursing (Traditional)	2016-2017	2015-2016	2014-2015
BS, Nursing (Accelerated, RN to BSN)	2016-2017	2015-2016	2014-2015
MS, Nursing	2016-2017	2015-2016	2014-2015
Doctor of Nursing Practice	2016-2017	2015-2016	2014-2015
School of Pharmacy			
Doctor of Pharmacy	2016-2017	2015-2016	2014-2015

Through completion of the required Weave components, faculty are able to demonstrate how they identify student learning outcomes at the programmatic level, measure the extent to which such outcomes are achieved, and document evidence of seeking improvement based on analyses of corresponding results. See below for additional information.

Student Learning Outcomes

In an effort to provide high quality educational opportunities, qualified faculty members in each TTUHSC school maintain primary responsibility for the development, implementation, and evaluation of the educational programs offered in their schools. Faculty define student learning outcomes for each program based on the published guidelines of relevant accrediting bodies and/or professional organizations for the discipline. In addition, student learning outcomes reflect an appropriate progression in complexity according to degree level.

During the annual planning and assessment process, faculty members identify and/or verify the student learning outcomes in Weave for each educational program. Student learning outcomes for each program are provided in the Detailed Assessment Reports in *Table 8.2.a-1.* A representative sample of student learning outcomes for selected programs is also listed in *Table 8.2.a-2*. Examples were selected to represent each

degree level offered at TTUHSC, as well as programs from major departments. Examples for distance education programs are marked with an asterisk (*).

Assessment of Outcomes

The Detailed Assessment Reports in *Table 8.2.a-1* document how each educational program assesses the extent to which it achieves its outcomes. As these reports indicate, each TTUHSC school uses a variety of direct and indirect measures to assess achievement of student learning outcomes and to evaluate the effectiveness of its educational programs. For example, every TTUHSC school conducts course-level evaluations. At the end of each course, students are asked to provide feedback about their course experiences. The responsibility for analyzing student performance data and course evaluation data is shared by course faculty, course and program directors, and appropriate curriculum committees.

In addition to using indirect measures to evaluate the effectiveness of educational programs, all TTUHSC programs utilize direct measures of student learning, such as standardized examinations, clinical examinations, capstone projects, professional portfolios, and dissertation defenses. The measures used by each educational program are provided in the Detailed Assessment Reports in *Table 8.2.a-1*. Specific examples from each TTUHSC school are also described below.

Graduate School of Biomedical Sciences. To fulfill degree requirements for the Doctor of Philosophy in Biomedical Sciences, students must successfully submit and defend a dissertation based upon their original research. The goals of the research are determined collaboratively among the student, a supervising professor, and members of an advisory committee. Once the research has been carried to a reasonable degree of completion and the written dissertation has been accepted, the student presents highlights of his/her research at a public seminar attended by faculty, students, and other interested individuals. Following the seminar, the student participates in an oral examination facilitated by the advisory committee. The examination is devoted to the dissertation topic and related areas of investigation, as well as the candidate's general professional knowledge, judgment, and critical reasoning abilities. Using a rubric to guide the evaluation of the written and oral dissertation, members of the committee determine whether the student has successfully achieved the expected outcomes through a formal vote.

School of Health Professions. In the Master of Science in Speech-Language Pathology program, students document their clinical learning experiences in a portfolio. These portfolios detail their clinical activities, including ratings of their individual skill levels as determined by clinical educators. The portfolio also highlights skill development over time. For example, students include redacted copies of clinical reports they have written, including supervisor feedback. This enables them to demonstrate growth in their clinical writing skills. Another critical component of the portfolio is self-reflection, in which students describe their strengths and areas of growth (see Portfolio Review Form). The portfolio is submitted to a committee of program faculty after the second or third semester of the program. The committee determines whether to grant approval for the student to proceed with more advanced clinical placements. If not, a remediation plan is implemented. During the final semester of enrollment, the student re-submits the final portfolio to the same committee for review. At that time, the committee determines if the student has fulfilled the program's clinical requirements successfully.

School of Medicine. Like other medical schools, SOM relies heavily on the United States Medical Licensing Examination (USMLE) Step 1 and Step 2 examinations to assess student learning. Administered by the National Board of Medical Examiners (NBME), Step 1 is a standardized exam that measures understanding and application of basic science knowledge. It consists of multiple-choice questions in

which content is organized according to general principles and concepts that are important across organ systems and within organ systems. Students must successfully complete Step 1 upon completion of their second year in medical school in order to proceed in the program. The USLME Step 2 examinations measure medical students' clinical knowledge (CK) and clinical skills (CS). Step 2 (CK) is a multiple-choice exam that measures the ability of examinees to apply medical knowledge, skills, and understanding of clinical science and basic patient-centered skills in the safe and effective practice of medicine. USMLE Step 2 (CS) uses standardized patients to test medical students on their abilities to gather information from patients, perform physical examinations, and communicate their findings to their patients and colleagues. It is conducted by an external evaluator. Both USMLE Step 2 examinations must be completed during the fourth year of medical school.

School of Nursing. To fulfill degree requirements for the Doctor of Nursing Practice program, students complete a final project. Designed to serve as a foundation for future scholarly practice, the project requires students to create, implement, and evaluate a project that improves health outcomes for a defined population. Examples include program development, program evaluation, quality improvement, or policy analysis. As described in the DNP Project Guidelines, DNP students work on the project over six semesters under the guidance of a project advisor, expert advisor, and course faculty. The project culminates in the final semester with the development of a manuscript suitable for publication and a formal presentation to faculty, students, agency staff, and other interested stakeholders. The project advisor determines whether the student's project receives final approval based on the criteria stated in the project guidelines.

School of Pharmacy. The fourth year of the Doctor of Pharmacy program provides students opportunities to practice acquired skills, use learned pharmacy knowledge, and exhibit professional behaviors in full-time clinical pharmacy experiences in various patient care sites. Basic drug knowledge is considered essential to student success during these fourth-year experiences. Therefore, the High Risk Drug Knowledge Assessment (HRDKA) is administered during a student's third year of the program. Each student must achieve a score of 75% or above prior to enrollment in the fourth year clerkships. Students who fail to meet or exceed this criterion must fulfill remediation requirements before attempting the exam again.

Use of Assessment Results

In addition to identifying student learning outcomes and measuring the extent to which students achieve these outcomes, each TTUHSC school seeks to make improvements to its educational programs based on analyses of key results from direct and indirect measures. Responses to the Weave analysis questions are provided in the Detailed Assessment Reports in *Table 8.2.a-1*. Specific examples from each school are also summarized in the following paragraphs.

Graduate School of Biomedical Sciences. In response to a question on the Master of Public Health program's alumni evaluation, some students reported in May 2016 that certain courses failed to address program competencies adequately. Based on these results, program faculty reviewed the course syllabi and learning resources in an effort to map the desired competencies to each course. This curriculum mapping process ensured that each course included relevant competencies and that all competencies were being addressed in one or more courses. In addition, program faculty revised the advising checklist to evaluate student progress in achieving the program competencies as they fulfilled course requirements.

School of Health Professions. As described in *Standard 8.2.b (Student Outcomes: General Education)*, the B.S. in Healthcare Management program is an online program that prepares graduates to enter

management and leadership positions in healthcare organizations. Because it is a relatively new program, there is only one year of data related to student performance on general education competencies. However, program faculty have already begun to identify and implement strategies for improving critical thinking, written communication, and empirical/quantitative skills based on student performance on the ETS® Proficiency Profile in 2016-2017. For example, faculty members developed and incorporated remedial math modules into the *Financial Management for Clinical Supervisors* course in Spring 2018. Refer to Module 1 as an example. In addition, faculty members developed a case study for incorporation into the *Healthcare Law and Ethics* course in an attempt to enhance students' critical thinking and written communication skills.

School of Medicine. For the USMLE Step 2 Clinical Knowledge (CK), the TTUHSC School of Medicine aims for its first-time test takers to achieve a pass rate and mean score at or above the national average. In 2016-2017, TTUHSC students achieved a 94% pass rate. The national pass rate was 95%. In addition, TTUHSC's average score was 238 compared to the national average score of 242. Although program leaders and faculty recognize that every school cannot be above average and that these numbers are well within the standard deviation for the exam and likely within the standard error of measurement, they continue to implement strategies for improving student scores. For example, program administrators invested significant financial resources into Firecracker for third-year medical students. This is a platform which serves as a complementary learning resource for students that parallels the school's curriculum.

School of Nursing. Students in the Advanced Practice Registered Nurse (APRN) concentrations of the Master of Science in Nursing program must pass a national certification exam in their area of specialty upon completion of the program. Program faculty expect TTUHSC students to achieve a first-time pass rate of at least 90%. In 2016-2017, two APRN concentrations did not meet the desired target. These included the Pediatric Nurse Practitioner-Acute Care and Pediatric Nurse Practitioner-Primary Care concentrations, with first-time pass rates of 83.3% and 87.5%, respectively. To improve these rates, program faculty now utilize a readiness test to identify students who need additional support prior to taking the certification exam. Students who do not pass the Barkley Diagnostic Readiness Test are required to participate in on-campus remediation with program faculty.

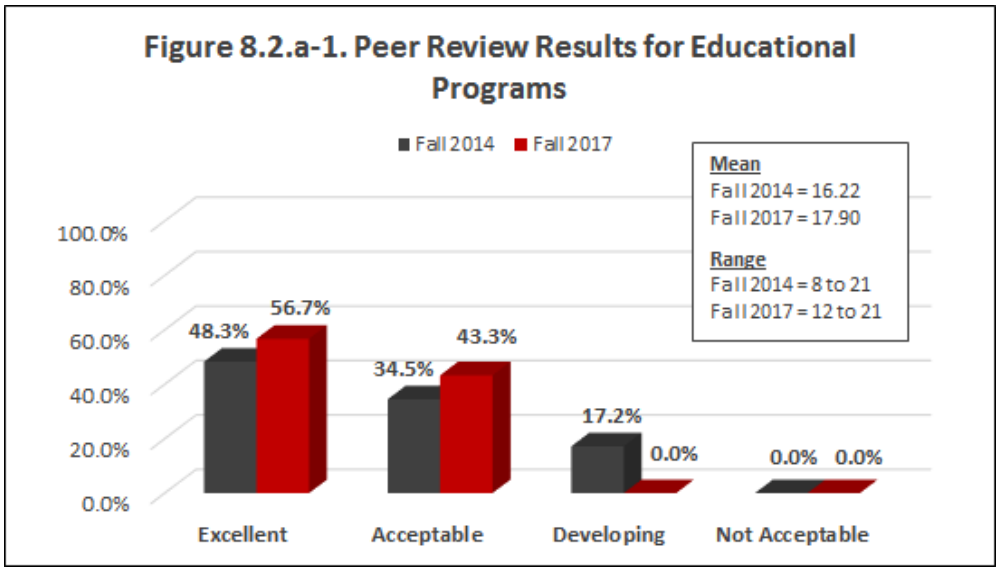
School of Pharmacy. In the third year of the Doctor of Pharmacy program, students participate in an inpatient clinical skills rotation, in which 100% are expected to achieve a minimum score of 70% on the SOAP note evaluation. This is a method employed by healthcare providers to document patient information. Over the past two assessment cycles, 99% of students achieved this target each year. Upon review of these results, program faculty considered lowering the target. However, they determined that this skill is essential for a graduate and that one should not progress if unable to perform the skill satisfactorily. Thus, program faculty implemented a remediation plan for the small number of students who do not meet the desired target. The plan involves more targeted intervention for failing or at-risk students, increased mentoring activities, and more formative assessment methods in which a learner repeats the task until achieving successful performance. Academic remediation is addressed in the most recent revision of SOP OP 77.P.38, Student Academic Remediation.

Peer Review Process

Since the implementation of Weave, TTUHSC has achieved widespread participation in using the system to document continuous quality improvement and institutional effectiveness across the institution. However, OIEA personnel recognized that completion of an annual assessment plan does not ensure the content is conducive to continuous improvement. Thus, OIEA personnel developed two rubrics for evaluating assessment plans, one of which was designed specifically to review educational program plans (see Form A:

Assessment Plan Reviews of Educational Programs). The rubrics, which align seamlessly with Weave, reflect best practices in planning and assessment and have been presented at several conferences (e.g., SACSCOC 2012 Annual Meeting, 2015 and 2016 Conferences of the Southern Association for Institutional Research).

After pilot testing the rubrics for two years, OIEA implemented a cross-disciplinary review process in Fall 2014. Currently, all assessment plans for educational programs and administrative units are reviewed on an annual basis by a committee of trained faculty and staff during a day-long retreat. In October 2017, for example, 80 plans were reviewed at the retreat. *Figure 8.2.a-1* illustrates results for the educational program plans only. Since implementation of the peer review process, the percent of plans scoring in the *Excellent* (18-21 points) and *Acceptable* (12-17 points) categories have increased, and the percent of *Developing* (6-11 points) plans has decreased. Evidence of continuous improvement is also evident in the comparison of means and ranges. Samples of completed rubrics are provided for the Doctor of Medicine and Master of Athletic Training programs.



After each peer review process, results are compiled into an Executive Summary for the President's Executive Council. Doing so is intended to provide a means of accountability for plan quality and to maintain open communication with institutional leaders. In addition, copies of the completed rubrics are emailed to the appropriate representatives for each Weave plan. OIEA personnel work collaboratively with faculty and staff to improve any Weave plans receiving a *Developing* or *Not Acceptable* overall score.

SUMMARY

As described in the preceding narrative, TTUHSC embraces a systematic approach to institutional effectiveness. A key component of this approach is the annual planning and assessment process. This process requires key entities to identify expected outcomes, assess the extent to which they achieve these outcomes, and provide evidence of seeking improvement based on analysis of the results. To assist faculty and staff in improving the quality of their annual assessment plans, OIEA staff implemented a peer review process more than four years ago. Combined, the annual planning and assessment process, peer reviews, state-mandated graduate program reviews, and ongoing evaluation by program accreditors contribute to the institution's ongoing commitment to continuous improvement. Based on these factors, TTUHSC is in compliance with the current standard.

8.2.b

Student Outcomes: General Education

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of seeking improvement based on analysis of the results in the following area: student learning outcomes for collegiate-level general education competencies of its undergraduate degree programs.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

OVERVIEW

As a health-related institution, TTUHSC offers a small number of undergraduate degrees, as listed below. Distance education programs are noted by an asterisk (*).

School of Health Professions

B.S., Clinical Laboratory Science *(Tracks: Traditional, Second Degree*)*

B.S., Healthcare Management*

B.S., Speech, Language and Hearing Sciences *(Tracks: Traditional, Second Degree)*

School of Nursing

B.S., Nursing *(Tracks: Traditional, Accelerated*, RN to BSN*)*

TTUHSC offers only upper division coursework in each of these programs. Students are expected to complete lower division undergraduate coursework at another college or university for transfer into TTUHSC. To ensure completion of appropriate prerequisites and general education requirements, each TTUHSC program abides by requirements set forth in the *Title 3 Texas Education Code, §61.822*, and by the Texas Higher Education Coordinating Board (THECB) in *Title 19 Texas Administrative Code, §4.28*. These requirements reference a core curriculum of no less than 42 semester credit hours. Refer to *9.3 (General Education Requirements)* for more information.

Through the state-adopted core curriculum, students are expected to develop and demonstrate the following core objectives, or general education competencies: (1) critical thinking, (2) communication, (3) empirical/quantitative skills, (4) teamwork, (5) personal responsibility, and (6) social responsibility. Like the Texas core curriculum, these competencies were revised in October 2011 and implemented in Fall 2014 across all public Texas community colleges and universities. In compliance with state requirements, TTUHSC developed a proposal for assessing the six competencies in March 2014, which was approved in November 2014. Refer to the THECB approval letter.

Because the institution does not offer lower division courses at the undergraduate level, TTUHSC expects its students to enter the university with a foundation in the general education competencies referenced above. Through its degree programs, therefore, TTUHSC seeks to build upon the existing knowledge of its undergraduate students in order to enhance those competencies. The subsequent paragraphs will provide

additional information about the related student learning outcomes, the extent to which TTUHSC students achieve these outcomes, and evidence of seeking improvement based on analysis of the results.

STUDENT LEARNING OUTCOMES

The following student learning outcomes for general education are mandated by the state of Texas and have been adopted by TTUHSC.

(1) **Critical Thinking:** Students will engage in creative and/or innovative thinking, inquiry, analysis, evaluation, and synthesis of information.

(2) **Communication:** Students will develop, interpret, and/or express ideas through written, oral, and visual methods of communication.

(3) **Empirical/Quantitative Skills:** Students will analyze numerical data or observable facts in order to draw informed conclusions.

(4) **Teamwork:** Students will consider differing points of view and work effectively with others to support a shared purpose or goal.

(5) **Personal Responsibility:** Students will demonstrate the ability to connect choices, actions, and consequences to ethical decision-making.

(6) **Social Responsibility:** Students will demonstrate intercultural competence and knowledge of civic responsibility by engaging effectively in regional, national, and global communities.

In accordance with *Title 19 Texas Administrative Code, §4.30*, the institution conducts ongoing assessment of these outcomes, as described in the following section.

ACHIEVEMENT OF OUTCOMES

Assessment Methods

TTUHSC uses two primary strategies for measuring student achievement of the general education competencies. These methods include a commercially available instrument known as the ETS® Proficiency Profile (ETS-PP) and locally developed assessments. *Table 8.2.b-1* illustrates the assessment methods used to measure each competency. The measures are described in more detail in the following paragraphs.

Table 8.2.b-1. University-Wide Assessment of General Education Competencies

Assessment Method	Critical Thinking	Communication	Empirical/ Quantitative	Teamwork	Personal Responsibility	Social Responsibility
ETS® Proficiency Profile	✓	✓	✓			
TTUHSC Oral and Visual Communication Rubric		✓				
Foundations for Interprofessional Collaborative Practice Post-Test				✓		
Personal and Social Responsibility in Healthcare Exam					✓	✓

ETS® Proficiency Profile. The ETS-PP is one of many educational assessments developed by the Educational Testing Service (ETS), a nonprofit entity which aims to advance quality and equity in education by providing

fair and valid assessments, educational research, and related products/services. Established in 1947, ETS develops, administers, and scores more than 50 million tests annually in more than 180 countries. These include the AP®, GRE®, SAT®, CLEP®, and TOEFL® exams.

ETS developed the Proficiency Profile to measure college-level skills in reading, writing, critical thinking, and mathematics. The online, multiple-choice exam is designed specifically to measure the academic skills developed through general education courses, rather than the subject knowledge specifically taught in such courses. Measuring general academic skills, as opposed to specific subject knowledge, is exceedingly important for a health-related institution like TTUHSC, which does not offer lower division coursework. Thus, TTUHSC uses the ETS-PP as the primary method for measuring student attainment of the following core competencies: critical thinking, written communication, and empirical/quantitative skills.

Locally Developed Instruments. Teamwork, oral communication, visual communication, personal responsibility, and social responsibility are not measured by the ETS-PP. Therefore, locally developed instruments are used to determine student achievement on these competencies.

TTUHSC Oral and Visual Communication Rubric. To measure student progress on oral and visual communication, faculty members use a rubric which was adapted from the *Oral Communication VALUE Rubric* available through the Association of American Colleges and Universities. This rubric is one of several VALUE (i.e., Valid Assessment of Learning in Undergraduate Education) rubrics developed by teams of faculty experts representing colleges and universities across the United States. Each rubric articulates fundamental criteria for a specific learning outcome, with performance descriptors demonstrating progressively more sophisticated levels of attainment.

Foundations for Interprofessional Collaborative Practice Post-Test. Interprofessional education is rapidly becoming an essential component of preparing future healthcare practitioners. According to the World Health Organization, interprofessional education occurs when individuals from two or more healthcare professions learn about, from, and with each other to enable effective collaboration and improve patient outcomes. This definition aligns well with the THECB definition of teamwork, as adopted by TTUHSC, which requires students to consider differing points of view and work effectively with others to support a shared purpose or goal.

To meet the increasing demand for interprofessional education, TTUHSC requires all students to complete a course titled *Foundations for Interprofessional Collaborative Practice*. The course consists of a series of online modules about interprofessionalism, roles and responsibilities, interprofessional communication, teamwork, and cultural sensitivity. Students must complete a post-test upon completion of all the modules. This exam serves as the primary method of measuring student attainment of the general education competency for teamwork.

Personal and Social Responsibility in Healthcare Exam. Approximately six years ago, a committee of TTUHSC faculty and staff developed multiple-choice questions aimed at measuring personal and social responsibility as these constructs relate specifically to healthcare. These items were administered to a sample of undergraduate students as part of a pilot test. Committee members narrowed the list of exam questions based on the subsequent item analyses. Currently, TTUHSC students respond to these questions electronically in designated undergraduate courses.

Other. Additional course-embedded assessments may supplement the required measures but are not required at an institutional level. Individual TTUHSC schools are responsible for establishing such requirements.

Criteria for Success

Very few health sciences centers use the ETS-PP, so data comparisons with similar peers are limited. Currently, the criteria for success are determined by comparing each cohort's subscores to those of seniors (>90 semester hours) who are enrolled in allied health or health medical sciences fields at other four-year colleges and universities. This comparative data reflects the results obtained by administering the ETS-PP to more than 18,000 students at 132 institutions from July 2008 to June 2014. ETS staff provided this information to TTUHSC upon request. Refer to the attached ETS Custom Comparative Report. Subscores for critical thinking, writing, and mathematics are reported on a 100-130 scale, and the resulting criteria for success are indicated below.

No comparative peer data are available for the instruments developed by TTUHSC faculty and staff to measure student achievement related to oral and visual communication, teamwork, and personal and social responsibility. Therefore, the criteria for success are based on common thresholds for acceptable performance in education, as outlined below.

Critical Thinking: Each TTUHSC cohort will achieve a mean Critical Thinking subscore on the ETS-PP which is greater than or equal to that of its comparison group (i.e., ≥ 111.97).

Communication-Written: Each TTUHSC cohort will achieve a mean Writing subscore on the ETS-PP which is greater than or equal to that of its comparison group (i.e., ≥ 114.50).

Communication-Oral and Visual: At least 70% of students in each TTUHSC cohort will achieve a mean individual score of 80 or greater on the *TTUHSC Oral and Visual Communication* rubric.

Empirical/Quantitative Skills: Each TTUHSC cohort will achieve a mean Math subscore on the ETS-PP which is greater than or equal to that of its comparison group (i.e., ≥ 112.80).

Teamwork: Each TTUHSC cohort will achieve a mean score of at least 70.00 on the final exam for the *Foundations for Interprofessional Collaborative Practice* course.

Personal Responsibility: Each TTUHSC cohort will achieve a mean score of at least 70.00 on the related sub-section of the *Personal and Social Responsibility in Healthcare* exam.

Social Responsibility: Each TTUHSC cohort will achieve a mean score of at least 70.00 on the related sub-section of the *Personal and Social Responsibility in Healthcare* exam.

Results

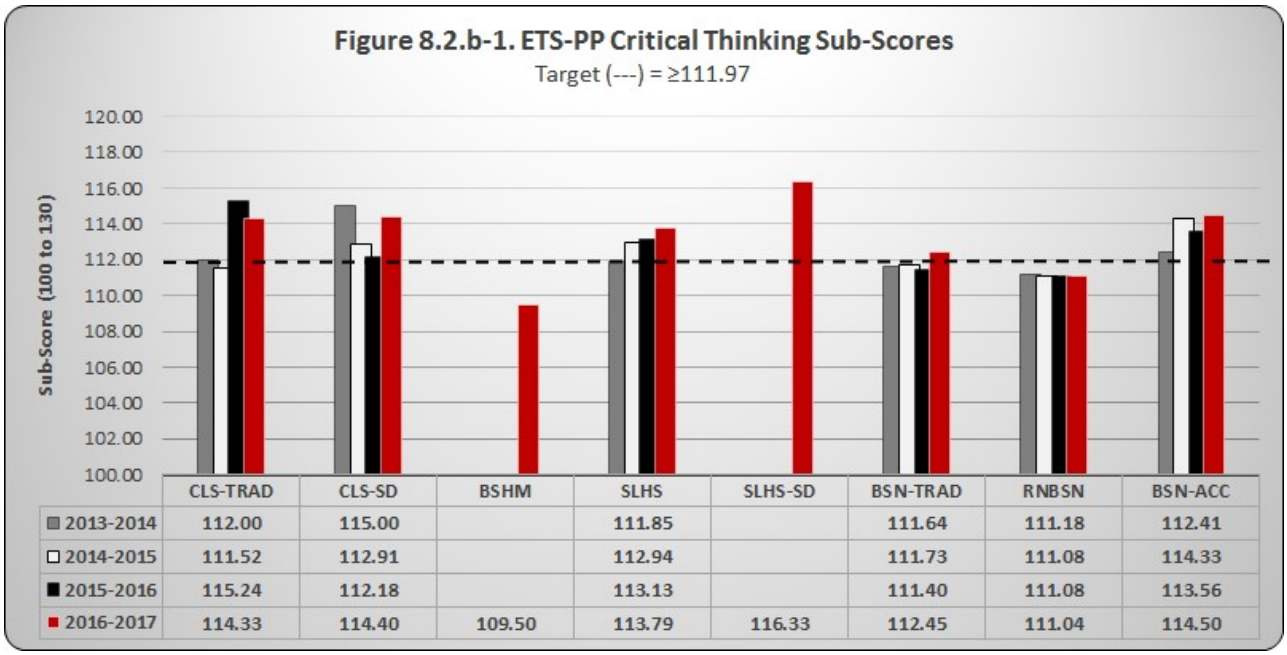
On an annual basis, faculty members are expected to complete a GenEd Competencies Annual Report for each undergraduate degree program. Please note that Gayle Greve Hunt School of Nursing at TTUHSC-El Paso is included in the report template. This school will continue to follow the TTUHSC methodology for assessing general education competencies until the institution completes the process of seeking separate SACSCOC

accreditation, which is currently in progress. The 2016-2017 annual reports are provided below for each of the TTUHSC programs and tracks, excluding Gayle Greve Hunt School of Nursing.

2016-2017 GenEd Competencies Annual Reports

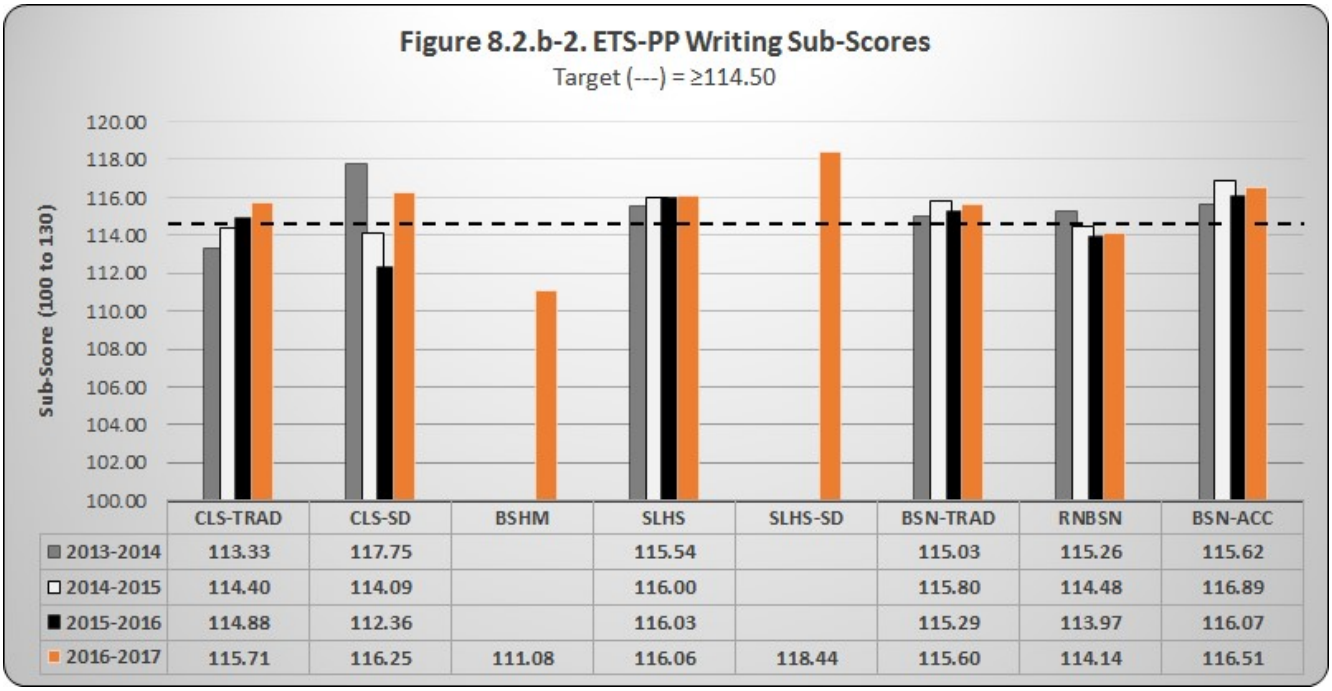
(1) Clinical Laboratory Science-Traditional Track (CLS-TRAD)
(2) Clinical Laboratory Science-Second Degree Track (CLS-SD)
(3) Healthcare Management (BSHM)
(4) Speech, Language and Hearing Sciences-Traditional Track (SLHS-TRAD)
(5) Speech, Language and Hearing Sciences-Second Degree Track (SLHS-SD)
(6) Nursing-Traditional Track (BSN-TRAD)
(7) Nursing-RN to BSN Track (RNBSN)
(8) Nursing-Accelerated Track (BSN-ACC)

Figures 8.2.b-1 through *8.2.b-6* summarize assessment results over the past four academic years, with each figure illustrating the results, by degree program and track, for the specified general education competency. TTUHSC faculty will complete the 2017-2018 annual reports after submission of the current SACSCOC reaffirmation report. Therefore, current data will be available upon request. Please note that the Healthcare Management program and second degree track of the Speech, Language and Hearing Sciences program were new in AY 2016-2017.



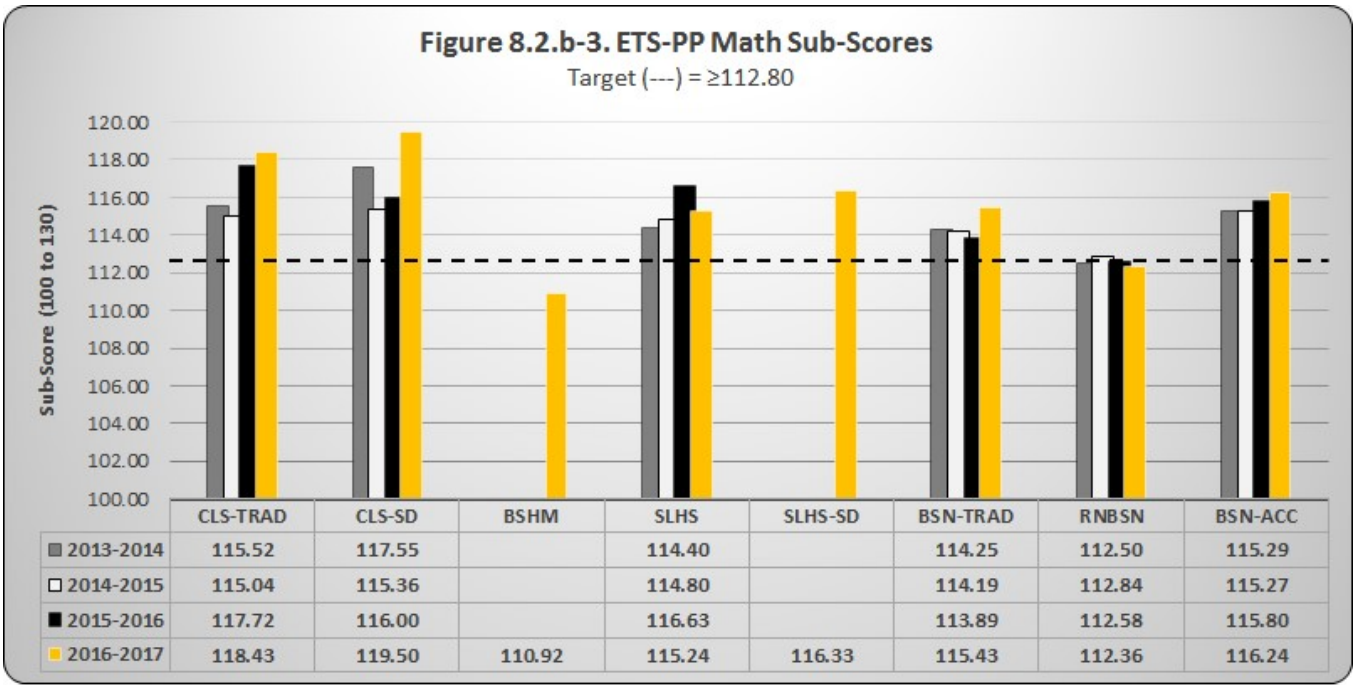
	CLS-TRAD	CLS-SD	BSHM	SLHS	SLHS-SD	BSN-TRAD	RNBSN	BSN-ACC
2013-2014	112.00	115.00		111.85		111.64	111.18	112.41
2014-2015	111.52	112.91		112.94		111.73	111.08	114.33
2015-2016	115.24	112.18		113.13		111.40	111.08	113.56
2016-2017	114.33	114.40	109.50	113.79	116.33	112.45	111.04	114.50

As *Figure 8.2.b-1* indicates, six programs met the desired target of 111.97 for critical thinking in 2016-2017. Two programs did not: (1) Healthcare Management and (2) the RN to BSN track. Sub-scores ranged from 109.50 to 116.33. Evidence of seeking improvement based on analyses of these results will be presented in the subsequent section.



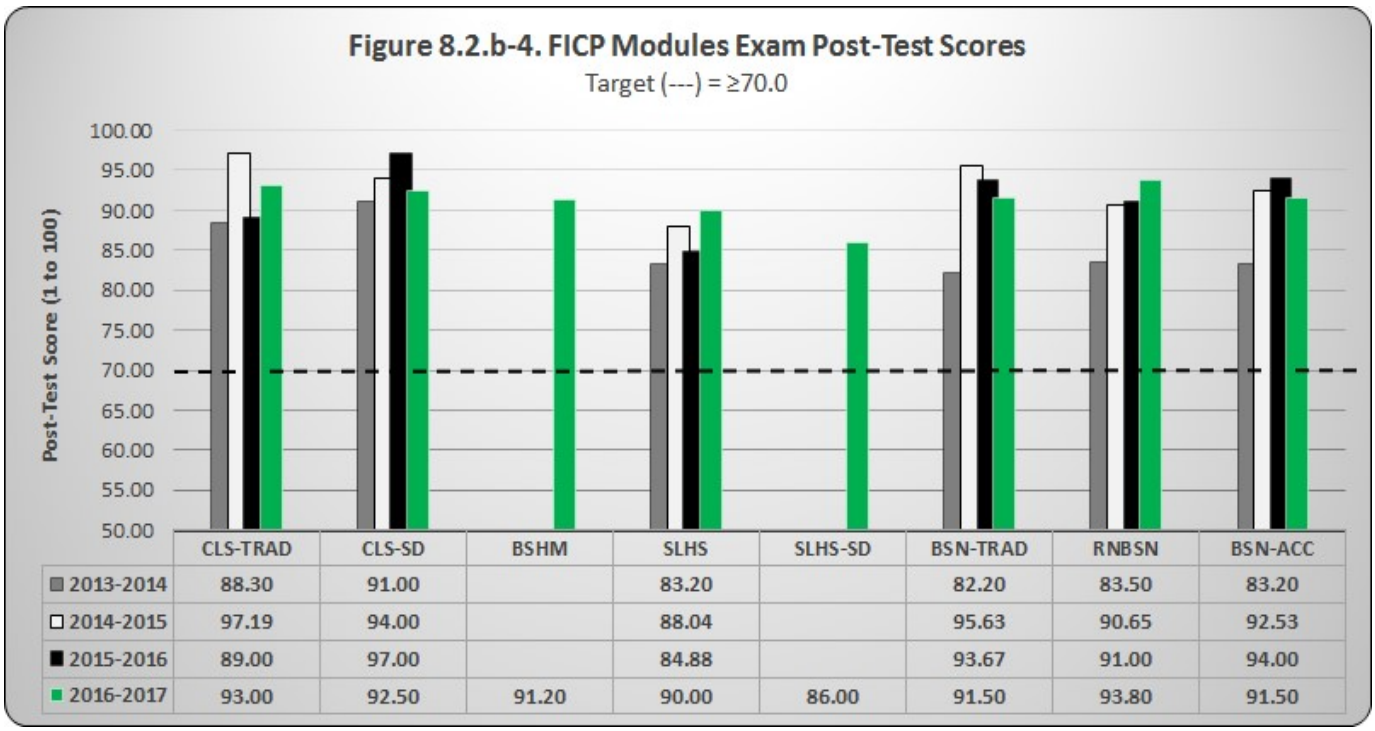
	CLS-TRAD	CLS-SD	BSHM	SLHS	SLHS-SD	BSN-TRAD	RNBSN	BSN-ACC
2013-2014	113.33	117.75		115.54		115.03	115.26	115.62
2014-2015	114.40	114.09		116.00		115.80	114.48	116.89
2015-2016	114.88	112.36		116.03		115.29	113.97	116.07
2016-2017	115.71	116.25	111.08	116.06	118.44	115.60	114.14	116.51

As shown in *Figure 8.2.b-2*, with regard to written communication skills, TTUHSC students met the desired target of 114.50 in six programs in 2016-2017. Students in two programs did not: (1) Healthcare Management and (2) the RN to BSN track. Sub-scores ranged from 111.08 to 118.44.



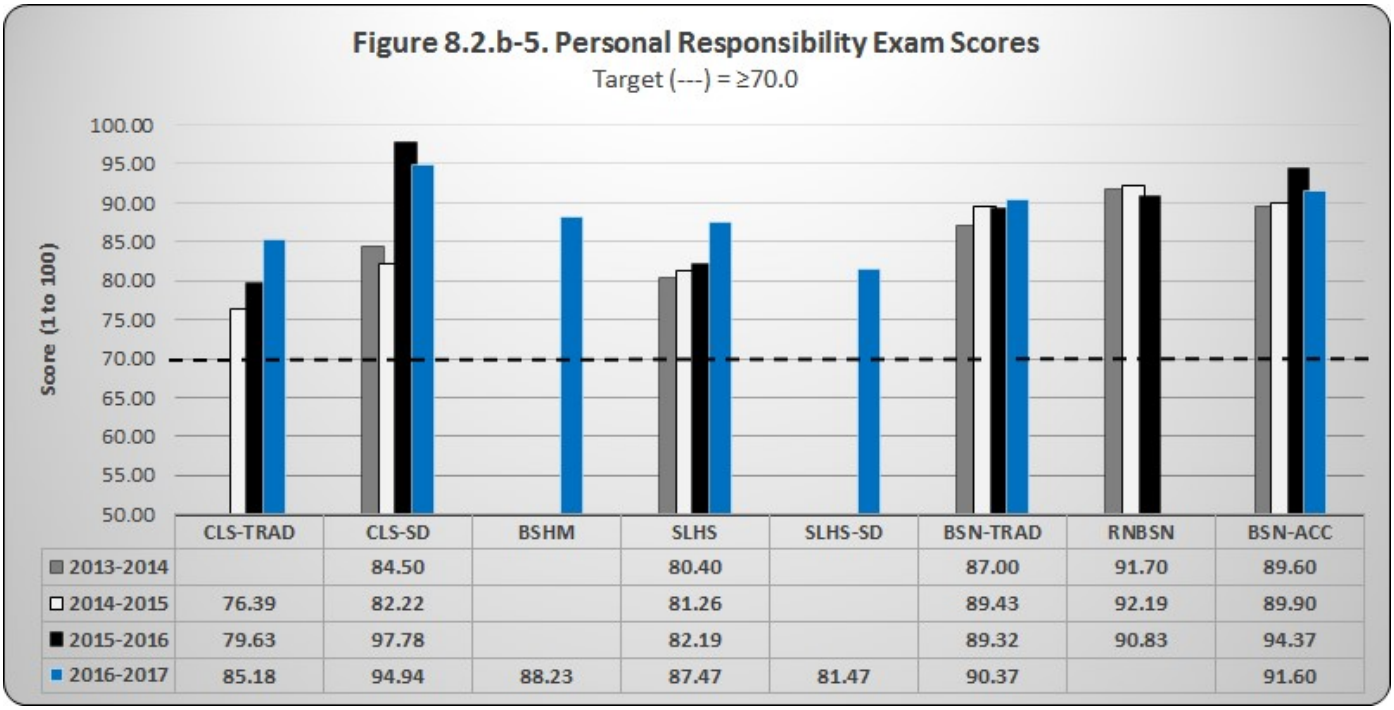
	CLS-TRAD	CLS-SD	BSHM	SLHS	SLHS-SD	BSN-TRAD	RNBSN	BSN-ACC
2013-2014	115.52	117.55		114.40		114.25	112.50	115.29
2014-2015	115.04	115.36		114.80		114.19	112.84	115.27
2015-2016	117.72	116.00		116.63		113.89	112.58	115.80
2016-2017	118.43	119.50	110.92	115.24	116.33	115.43	112.36	116.24

According to Figure *8.2.b-3*, TTUHSC students met the desired target of 112.80 for the ETS-PP math sub-score in six programs in 2016-2017. Students in two programs did not meet the target: (1) Healthcare Management and (2) the RN to BSN track. Sub-scores ranged from 110.92 to 119.50.



	CLS-TRAD	CLS-SD	BSHM	SLHS	SLHS-SD	BSN-TRAD	RNBSN	BSN-ACC
2013-2014	88.30	91.00		83.20		82.20	83.50	83.20
2014-2015	97.19	94.00		88.04		95.63	90.65	92.53
2015-2016	89.00	97.00		84.88		93.67	91.00	94.00
2016-2017	93.00	92.50	91.20	90.00	86.00	91.50	93.80	91.50

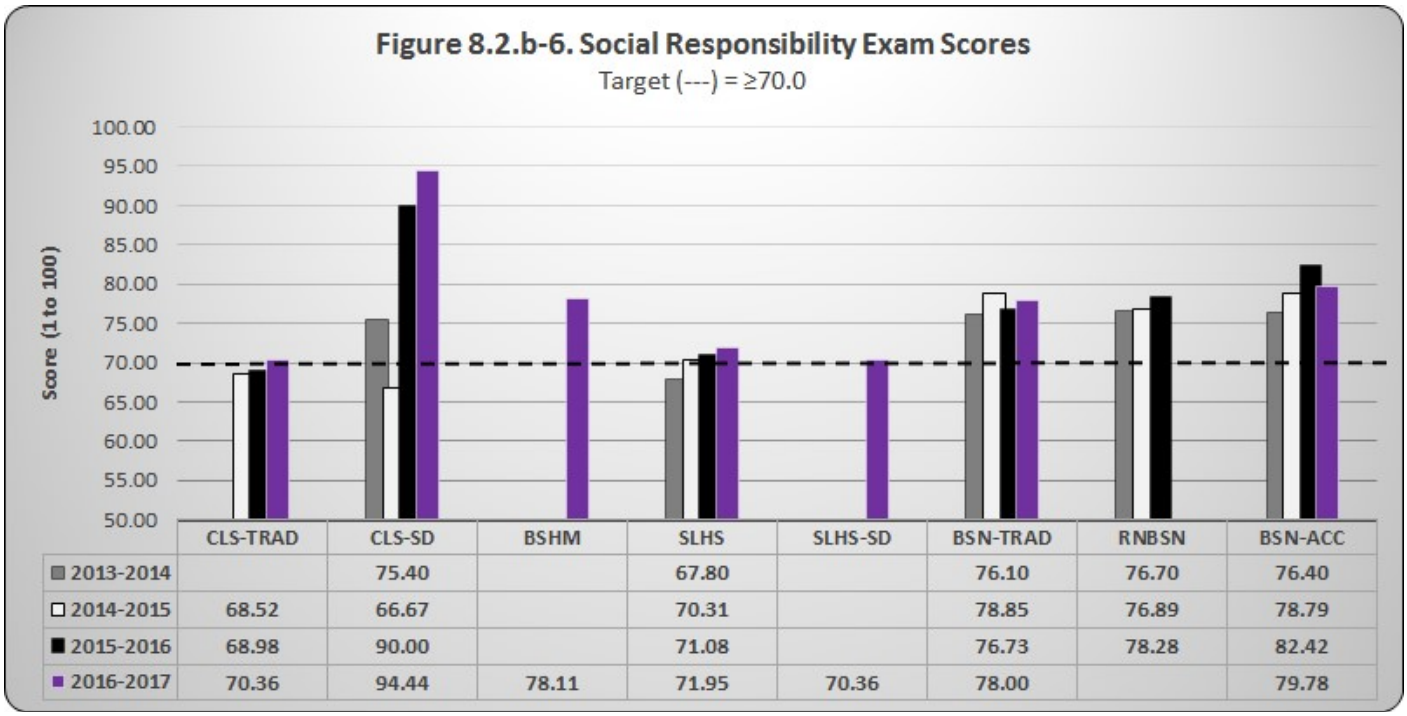
For the general education competency of teamwork, all programs met the desired target of 70.00 in 2016-2017 on the post-test score for the *Foundations for Interprofessional Collaborative Practice* modules. Scores ranged from 86.00 to 93.80. Refer to *Figure 8.2.b-4*.



	CLS-TRAD	CLS-SD	BSHM	SLHS	SLHS-SD	BSN-TRAD	RNBSN	BSN-ACC
2013-2014		84.50		80.40		87.00	91.70	89.60
2014-2015	76.39	82.22		81.26		89.43	92.19	89.90
2015-2016	79.63	97.78		82.19		89.32	90.83	94.37
2016-2017	85.18	94.94	88.23	87.47	81.47	90.37		91.60

As *Figure 8.2.b-5* illustrates, all programs met the desired target of 70.00 for personal responsibility in 2016-2017. Scores ranged from 81.47 to 94.94. Due to an administrative oversight, students in the RN to BSN track

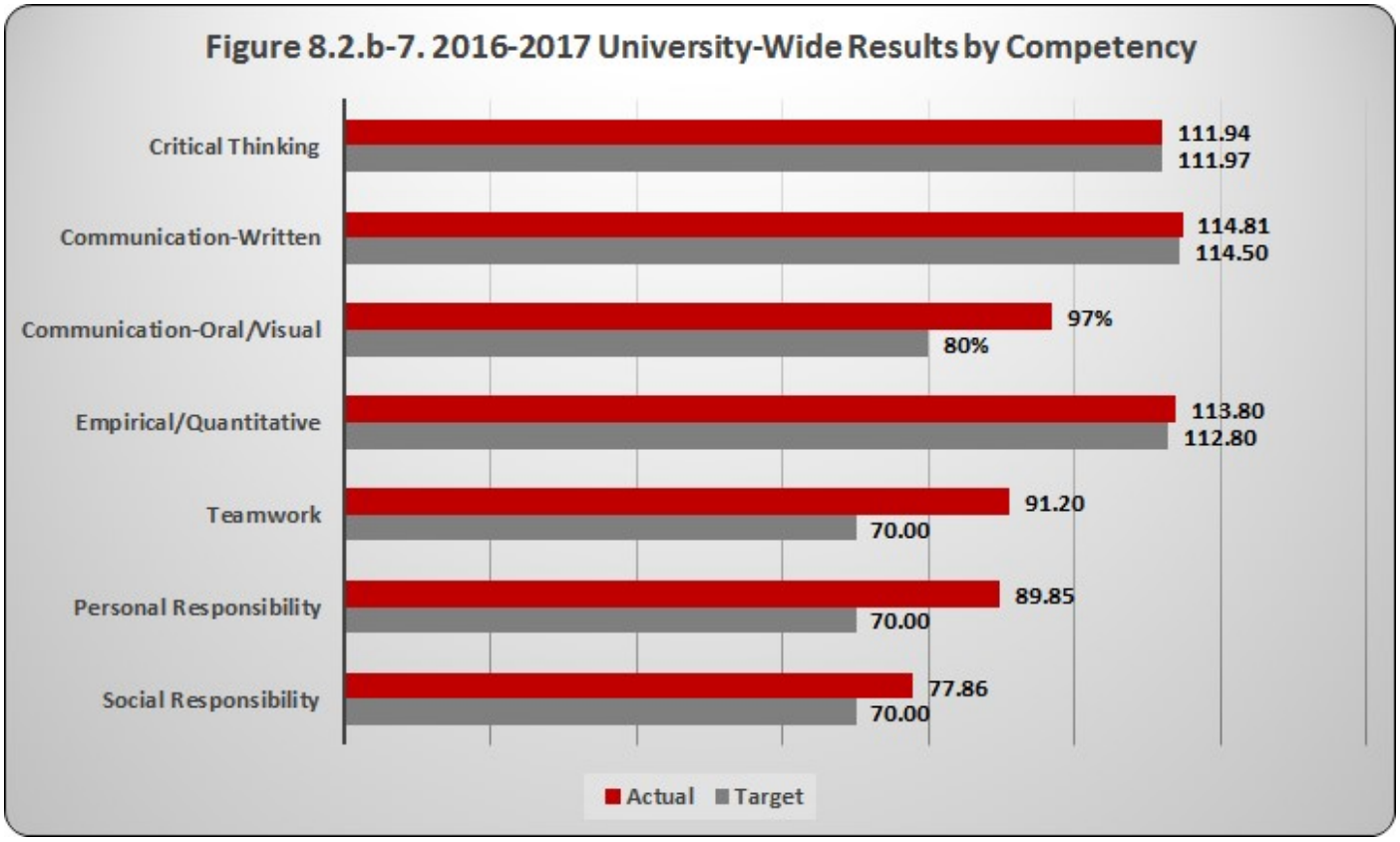
did not take the exam in 2016-2017. This issue has been addressed to prevent a similar occurrence in the future. As the data indicate, however, this program track has been consistent in meeting the desired target for personal responsibility in past years.



	CLS-TRAD	CLS-SD	BSHM	SLHS	SLHS-SD	BSN-TRAD	RNBSN	BSN-ACC
2013-2014		75.40		67.80		76.10	76.70	76.40
2014-2015	68.52	66.67		70.31		78.85	76.89	78.79
2015-2016	68.98	90.00		71.08		76.73	78.28	82.42
2016-2017	70.36	94.44	78.11	71.95	70.36	78.00		79.78

As *Figure 8.2.b-6* illustrates, all programs met the desired target of 70.00 for social responsibility in 2016-2017. Scores ranged from 70.36 to 94.44. Due to an administrative oversight, students in the RN to BSN track did not take the exam in 2016-2017. This issue has been addressed to prevent a similar occurrence in the future. As the data indicate, however, this program track has been consistent in meeting the desired target for social responsibility in past years.

For a more general overview, *Figure 8.2.b-7* provides a university-wide snapshot of student performance on each general education competency for 2016-2017. The actual results are presented in comparison to the desired targets. Please note the scales for each measurement differ, so the figure is intended to provide a single visual representation for convenience purposes only. See below.



Thus, from an institutional perspective, TTUHSC met the desired targets for each general education competency in 2016-2017, except critical thinking. However, the discrepancy of 0.03 is not significant enough to warrant concern at this time.

EVIDENCE OF SEEKING IMPROVEMENT

Because the institution does not offer lower division undergraduate coursework, TTUHSC does not have the student support services to provide remediation for students who fail to demonstrate the expected levels of attainment for each general education competency. For this reason, assessment results are not evaluated for individual students. Data is reviewed in aggregate only for each undergraduate academic program. Based on those findings, program faculty identify general strengths and weaknesses for students across a particular program and make changes, where feasible, in order to enhance those competencies more effectively in the future.

Based on the results provided in the previous section, three competencies warrant additional consideration for the Bachelor of Science in Healthcare Management and Bachelor of Science in Nursing (RN to BSN track). These programs did not meet the desired targets in 2016-2017 for critical thinking, written communication, and empirical/quantitative skills, as measured by the ETS-Proficiency Profile exam. Both of these programs are classified as distance education programs, which is indeed important to note, but the other distance education programs at TTUHSC met the desired targets in the same areas. Thus, there does not appear to be a comprehensive issue related to program delivery.

Healthcare Management

The Healthcare Management program is an online program that prepares graduates to enter management and leadership positions in healthcare organizations. It is a restructured program developed from two pre-existing programs: (1) Bachelor of Science in Clinical Services Management and (2) Bachelor of Science in Health Sciences. Because the current Healthcare Management program is new, only one year of general education data is available. Program faculty intend to track student performance for at least two more cycles to identify any emerging trends.

Using the available data, however, program faculty are already identifying and implementing strategies for improving critical thinking, written communication, and empirical/quantitative skills. For example, program faculty hired a teaching assistant (TA) for one of the core courses in the program, *Financial Management for Clinical Supervisors*. The TA and assigned faculty member are working collaboratively to develop remedial math modules to incorporate into the course in Spring 2018. Students enrolled in this course complete practice problems each week to review basic skills. Refer to Module 1 as an example. This was an ideal course to enhance students' empirical/quantitative skills since the course content includes cost accounting, departmental budgeting, and resource management allocation.

In addition, faculty members developed a case study for incorporation into another core course, *Healthcare Law and Ethics*. This assignment requires students to make a recommendation to a hospital ethics committee regarding a patient's care in the absence of an advanced directive and evidence of disagreement between the patient's daughter and attending physician. Students must evaluate the situation and submit a written recommendation in the form of a memorandum. Thus, the assignment seeks to enhance students' critical thinking and written communication skills.

RN to BSN

The RN to BSN is a specific track in the Bachelor of Science in Nursing degree program. It is designed for individuals who already possess a license as a Registered Nurse (RN). Some of the individuals who apply for this program have been working as healthcare professionals for a period of time before deciding to pursue a bachelor's degree. Sometimes the transition back to school is difficult because these individuals have not received formal instruction in critical thinking, writing, and mathematics in many years.

As noted in the previous section, students in this program did not meet the targets in 2016-2017 for critical thinking, written communication, and empirical/quantitative skills. The results for these competencies have been relatively consistent over the past four years and typically fall slightly above or below the desired scores. To seek continued improvement in these areas, program faculty submitted an application to the TTUHSC Quality Improvement Review Board for a research project related to the improvement of general education competencies in the RN to BSN program. See the attached project proposal. As part of this improvement initiative, a work group meets monthly to develop and implement appropriate interventions to improve student performance. Refer to the December 2017 meeting minutes. Thus far, the work group has provided multiple presentations to educate RN to BSN faculty about general education competencies, developed an orientation video for students to communicate the purpose of general education assessment, and incorporated practice questions into several courses.

SUMMARY

Based on the information provided in the preceding narrative, TTUHSC has determined that it is compliant with the current standard. With regard to collegiate-level general education competencies, the institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of seeking improvement based on analysis of the results.

8.2.c

Student Outcomes: Academic and Student Services

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of seeking improvement based on analysis of the results in the academic and student services that support student success.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) embraces a systematic approach to institutional effectiveness. A key component of this approach is the annual planning and assessment process. This process requires key entities to identify expected outcomes, assess the extent to which they achieve these outcomes, and provide evidence of seeking improvement based on analysis of the results. The following narrative will describe this process as it relates to academic and student services that support student success.

ORGANIZATIONAL STRUCTURE

Before describing TTUHSC's approach to institutional effectiveness, it may be beneficial to explain the organizational structure as it relates to institutional planning and assessment.

Office of Institutional Effectiveness and Accreditation

In 2005, TTUHSC established a department to coordinate and oversee institutional planning and assessment. The office has been renamed over the years but is now referred to as the Office of Institutional Effectiveness and Accreditation (OIEA). Led by the Assistant Vice President for Academic Affairs, OIEA aims to promote continuous improvement across the institution and facilitate ongoing compliance with regional accreditation standards. OIEA employs a full-time Director of Academic Affairs and full-time Director of Accreditation. Refer to the organizational chart for this area. Primary responsibilities of the department include the following:

- Coordination of annual assessment plans at the unit level;
- Communication between school liaisons and system administrators for faculty credentialing software;
- Coordination of the assessment of general education competencies for undergraduate students;
- Facilitation of the annual certification of online and hybrid courses by faculty;
- Administration of the annual Student Satisfaction Survey; and
- Oversight of SACSCOC reaffirmation processes.

IE Advisory and Accreditation Oversight Committee

The Assistant Vice President for Academic Affairs and Director of Accreditation co-chair the Institutional Effectiveness Advisory and Accreditation Oversight Committee (IEA-AOC). Established in 2005 as the IE Workgroup, the current committee is a broad-based group composed of faculty, staff, and administrators from key areas across TTUHSC (see IEA-AOC Roster). These individuals are appointed by the Deans and Vice Presidents to represent their respective areas. For five years, the IE Workgroup met frequently to identify and implement strategies for supporting continuous improvement and institutional effectiveness across the institution. For example, in December 2009, the IEA-AOC engaged in initial discussions about the implementation of Digital Measures-Activity Insight to document faculty credentials. Refer to the meeting minutes. By late March 2010, the Executive Vice President for Academic Affairs introduced the IE Workgroup's proposal to the TTUHSC Council of Deans, and Digital Measures-Activity Insight was adopted in May 2010. The

system continues to be used today across all TTUHSC schools.

The role of the IE Workgroup at TTUHSC has evolved over time as institutional effectiveness and continuous improvement processes have matured. Beginning in September 2016, the IE Workgroup's focus shifted to the reaffirmation of accreditation through SACSCOC. Today, members of the re-named IEA-AOC serve in an advisory role to OIEA personnel on matters related to institutional effectiveness, communicate about and advocate for continuous improvement processes within their respective areas, and actively participate in the development of responses for the SACSCOC Compliance Certification Report. The IEA-AOC co-chairs communicate regularly with committee members and organize group meetings as needed. See, for example, the September 2017 meeting agenda/notes and January 2018 email for evidence of these activities.

ANNUAL PLANNING AND ASSESSMENT PROCESS

Background

TTUHSC academic programs have always engaged in various planning and assessment efforts to determine the success of their students. Academic and student support areas, however, participated in such efforts less systematically until the implementation of WEAVEonline in 2006. Now known simply as Weave, this assessment management system is used by faculty and staff to document continuous quality improvement in key areas across the institution, including educational programs, administrative support services, academic/student support services, research, and community/public services. The adoption of Weave has further strengthened TTUHSC's efforts to document institutional effectiveness.

Overview of Weave

Each Weave planning and assessment cycle corresponds to a traditional academic year: September 1 through August 31. To date, TTUHSC faculty and staff have used Weave to document unit-level planning and assessment for twelve cycles (2006-2007 through 2017-2018). The 2017-2018 cycle ends on August 31, 2018, but completed Weave plans are not due until September 30, 2018. Since implementation of the annual process in 2006, TTUHSC has succeeded in achieving widespread participation across the institution. In 2016-2017, for example, faculty and staff used Weave to complete 80 assessment plans. Approximately 15 of these were for academic and student support services.

During the planning phase of the annual Weave cycle, designated faculty and staff members are expected to identify and/or verify the following for their individual departments: (1) mission statement, (2) student or customer outcomes, (3) process objectives, (4) measures for each outcome/objective, and (5) achievement targets. To ensure alignment with the TTUHSC strategic plan, faculty and staff must also link each established outcome/objective to an objective from the 2013-2018 TTUHSC Strategic Plan. *(Note: A new strategic plan was approved in Spring 2018. Faculty and staff will begin linking to relevant objectives during the 2018-2019 Weave cycle.)* At the conclusion of the academic year, faculty and staff members are required to complete the assessment phase of the process, in which they enter their findings and responses to the analysis questions. The following analysis questions have been used since the 2008-2009 cycle:

- Review the achievement targets for <PREVIOUS YEAR> which were marked Partially Met or Not Met. Describe in detail what actions you took in <CURRENT YEAR> to address those issues. Then summarize the impact of those actions on this year's findings. Upload any applicable documentation under Document Management.

- Review the achievement targets for <CURRENT YEAR>, which were marked Partially Met or Not Met. Describe how you intend to address these issues over the next year. If you marked Met on all targets, what specifically do you intend to do in <NEXT YEAR> to promote continuous improvement in your area?

- Provide a summary of your program, department, or unit's activities in <CURRENT YEAR>. You might want to describe a major accomplishment or explain how your area contributed to the overall mission of TTUHSC. Upload any applicable documentation under Document Management.

Table 8.2.c-1 lists each Weave plan for academic and student support services and provides links to the Detailed Assessment Reports for the past three completed Weave cycles: (1) 2016-2017, (2) 2015-2016, and (3) 2014-2015. These are standard reports generated by Weave and are intended to provide a comprehensive view of each department. More specific examples of student or customer outcomes, process objectives, assessment methods, and evidence of improvement based on analysis of results will be highlighted in subsequent paragraphs.

Table 8.2.c-1. Weave Detailed Assessment Reports for Academic and Student Support

Department/Area	Reporting Cycle		
Institutional			
Classroom Support	2016-2017	2015-2016	2014-2015
Global Health	2016-2017	2015-2016	2014-2015
Information Technology	2016-2017	2015-2016	2014-2015
Institutional Health	2016-2017	2015-2016	2014-2015
Interprofessional Education	2016-2017	2015-2016	2014-2015
Libraries	2016-2017	2015-2016	2014-2015
Simulation	2016-2017	2015-2016	2014-2015
Student Services, Registrar, and Financial Aid	2016-2017	2015-2016	2014-2015
Writing Center	2016-2017	New in 2016-2017	
School-Specific			
GSBS Administration	2016-2017	2015-2016	2014-2015
SHP Admissions and Student Affairs	2016-2017	2015-2016	2014-2015
SHP Education Technology	2016-2017	New in 2016-2017	
SOM Student Affairs	2016-2017	2015-2016	2014-2015
SON Educational Support and Student Affairs	2016-2017	2015-2016	2014-2015
SOP Student Services	2016-2017	2015-2016	2014-2015

Through completion of the required Weave components, faculty and staff members are able to demonstrate how they identify outcomes and/or objectives, measure the extent to which such outcomes are achieved, and document evidence of seeking improvement based on analyses of corresponding results. See below for additional information.

Outcomes/Objectives

As described in the TTUHSC Weave Instruction Sheet, academic support, administrative, research, and community outreach units areas may identify customer outcomes or process objectives. Customer outcomes refer to expected results for the intended customer, which may or may not be students, depending on the department. Process objectives, on the other hand, are anticipated actions intended to help the unit accomplish its mission. Several examples of outcomes and/or objectives are provided below.

Library. Patrons will be able to augment their research, clinical, and educational skills by requesting materials not owned by the TTUHSC Libraries through the Interlibrary Loan (ILL) service.

Institutional Health. The Office of Institutional Health will promote patient health by providing annual influenza vaccines to employees and students with direct patient care or who work in a laboratory setting.

Information Technology. The TTUHSC IT Division will maintain appropriate security infrastructure, policies, and procedures to protect institutional information and technology services.

School of Medicine-Student Affairs. The SOM Office of Student Affairs develops and maintains effective academic advising and support systems for students.

School of Nursing-Educational Support and Student Affairs. Nursing students will develop societal responsibility, foster a sense of global citizenship, and enhance their academic development and learning by participating in co-curricular activities, programs, and opportunities.

Assessment of Outcomes/Objectives

In addition to identifying expected outcomes and objectives, TTUHSC assesses the extent to which it achieves them. For example, OIEA administers a biennial Student Satisfaction Survey (SSS). Redesigned in 2017, the locally developed instrument is administered every odd-numbered spring semester to all TTUHSC students. The survey solicits feedback about student support services, academic support services, and various aspects of student life at TTUHSC. In Spring 2017, approximately 1,750 students completed the survey, resulting in a response rate of 38%. Respondents represented all schools and campuses, including distance education. Survey results were distributed to members of the President's Executive Council, Student Affairs Workgroup (SAW), President of the Student Government Association, and other department directors, as appropriate. The results are also posted on the OIEA website. Refer to the 2016-2017 SSS Institutional Report for a sample report.

Below are some additional examples of assessment methods used in selected academic and student support areas.

Interprofessional Education. The Office of Interprofessional Education developed a series of online modules, collectively referred to as the Foundations for Interprofessional Collaborative Practice, which all TTUHSC students must complete. The modules are typically administered by each school during the student's first year of study at the university. Successful achievement of the desired learning outcomes is measured by student performance on the FICP Modules Post-Test. Students are expected to score 70% or higher on the exam. In 2016-2017, the mean post-test score was 91.37%.

School of Health Professions-Admissions and Student Affairs. The Office of Admissions and Student Affairs in the School of Health Professions facilitates orientation sessions for new students. The orientation format (i.e., face-to-face, online) is contingent upon the academic program. Regardless, students are expected to complete a New Student Orientation Survey to measure satisfaction with their orientation experiences. The annual target is for 85% of students to strongly agree or agree that orientation significantly enhanced their understanding of the School of Health Professions. In 2017, approximately 92.65% students responded as expected to this survey item.

School of Pharmacy-Student Services. The School of Pharmacy administers the AACP Graduating Student Survey, which is offered through the American Association of Colleges of Pharmacy. The 2017

National Summary Report is provided for reference. The Office of Student Services uses specific survey items to measure the desired objective to meet student needs through effective advising, communication, and responsiveness. The desired agreement level on related survey items is at least 75%. See below for the 2016-2017 results for the TTUHSC School of Pharmacy.

1. The college/school provided access to academic advising. (=79.53%)
2. The college/school of pharmacy provided timely information about news, events, and important matters. (=87.40%)
3. The college/school's administration responded to problems and issues of concern to the student body. (=73.23%)
4. The college/school of pharmacy had processes to communicate student perspectives to the faculty or administration. (=83.47%)

Use of Assessment Results

In addition to assessing the extent to which they achieve desired outcomes and/or objectives, TTUHSC faculty and staff also seek improvement based on analyses of the results. For example, each school and key student support areas are required to complete an annual Survey Action Plan if results are lower than expected on the Student Satisfaction Survey (SSS), as determined by the Assistant Vice President for Academic Affairs. In the most recent administration of the survey in Spring 2017, no departments were required to complete a Survey Action Plan.

In 2015-2016, however, personnel in Information Technology (IT) were required to complete a Survey Action Plan based on Spring 2015 results from the SSS. Results indicated a potential area of needed improvement regarding the reliability of wireless connectivity on the Lubbock campus. Students expressed a mean satisfaction level of 4.34 of 6.00 on this item. As the report demonstrates, IT provided a context for the survey data, developed a strategy for improvement, and evaluated the outcome. In Spring 2017, the survey reflected a complete re-design with a new 5-point scale. The same item was not flagged as an immediate area of concern, and results will be monitored when the instrument is administered again in Spring 2019.

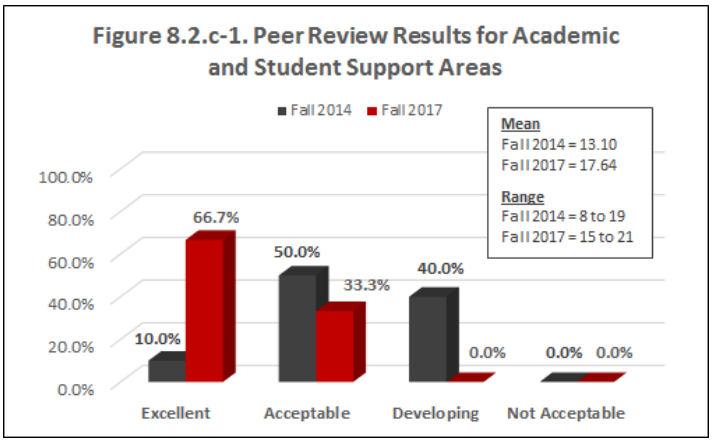
The Office of Institutional Health offers another example of seeking improvement based on analysis of results, as demonstrated by an example related to managing exposures to bloodborne pathogens in the provision of patient care. Employees and students who are exposed to bloodborne pathogens are at risk for serious or life-threatening illnesses and are expected to follow appropriate protocols to manage such exposures. In 2016, for example, TTUHSC had a total of 19 student exposures across all schools and campuses, and three students did not follow the appropriate protocol for exposure management. This presents an ongoing challenge for the Office of Institutional Health because TTUHSC has students and employees in over 500 clinical sites, for which TTUHSC has no control over related policies and procedures. Nonetheless, the Office of Institutional Health continues to promote student health and safety by providing education on the prevention of bloodborne pathogen exposure, as well as providing timely access to healthcare when an occupational exposure to a bloodborne pathogen occurs.

For example, the Managing Director of Institutional Health developed and implemented an institutional policy that includes relevant information regarding pre- and post-exposure management. See HSC OP 75.11, Health Surveillance Program for TTUHSC. In addition, office personnel plan, develop, and/or sponsor at least two structured educational programs for each TTUHSC school on an annual basis to provide information about bloodborne pathogens and diseases, methods to control occupational exposure, and post-exposure follow-up procedures. Refer to the Exposures PowerPoint presentation. They also distribute badges with information about exposure management for students to wear behind their photo identification badges in clinic rotations. These badges provide basic instructions and key contact numbers in the case of an incident.

Peer Review Process

Since the implementation of Weave, TTUHSC has achieved widespread participation in using the system to document continuous quality improvement and institutional effectiveness across the institution. However, OIEA personnel recognized that completion of an annual assessment plan does not ensure the content is conducive to continuous improvement. Thus, OIEA personnel developed two rubrics for evaluating assessment plans, one of which was designed specifically to review plans for administrative/student support, research, and community/public service departments (see Form B: Administrative/Student Support, Research, and Community/Public Service). The rubrics, which align seamlessly with Weave, reflect best practices in planning and assessment and have been presented at several conferences (e.g., SACSCOC 2012 Annual Meeting, 2015 and 2016 Conferences of the Southern Association for Institutional Research).

After pilot testing the rubrics for two years, OIEA implemented a cross-disciplinary review process in Fall 2014. Currently, all assessment plans for educational programs and administrative/support units are reviewed on an annual basis by a committee of trained faculty and staff during a day-long retreat. In October 2017, for example, 80 plans were reviewed at the retreat. *Figure 8.2.c-1* illustrates results for academic/student support plans only. Since implementation of the peer review process, the percent of plans scoring in the Excellent (18-21 points) and Acceptable (12-17 points) categories have increased, and the percent of Developing (6-11 points) plans has decreased. Evidence of continuous improvement is also evident in the comparison of means and ranges. An example of a completed rubric is provided for the Office of Student Services, Registrar, and Financial Aid.



After each peer review process, results are compiled into an Executive Summary for the President's Executive Council. Doing so is intended to provide a means of accountability for plan quality and to maintain open communication with institutional leaders. In addition, copies of the completed rubrics are emailed to the appropriate representatives for each Weave plan. OIEA personnel work collaboratively with faculty and staff to improve any Weave plans receiving a Developing or Not Acceptable overall score.

SUMMARY

As described in the preceding narrative, TTUHSC embraces a systematic approach to institutional effectiveness. A key component of this approach is the annual planning and assessment process. This process requires key entities to identify expected outcomes, assess the extent to which they achieve these outcomes, and provide evidence of seeking improvement based on analysis of the results. To assist faculty and staff in improving the quality of their annual assessment plans, OIEA staff implemented a peer review process more than four years ago. The annual planning and assessment process contributes to the institution's ongoing commitment to continuous improvement. Based on these factors, TTUHSC is in compliance with the current standard.

9.1

Program Content

Educational programs (a) embody a coherent course of study, (b) are compatible with the stated mission and goals of the institution, and (c) are based upon fields of study appropriate to higher education.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The mission of Texas Tech University Health Sciences Center (TTUHSC) is “to enrich the lives of others by educating students to become collaborative health care professionals, providing excellent patient care, and advancing knowledge through innovative research.” In alignment with the institutional mission, TTUHSC has a strategic goal to "provide innovative educational programs that prepare students to be competent and caring health care professionals and researchers." Refer to the TTUHSC Strategic Plan 2020.

In alignment with the mission and goals, TTUHSC prepares students for careers as health professionals in biomedical sciences, public health, allied health, medicine, nursing, and pharmacy. More specifically, faculty members develop and implement appropriate curricula for certificates and degrees at the baccalaureate, master’s, doctoral, and professional levels. Refer to the *Institutional Summary* for a list of all programs, including concentrations. Individual program descriptions, curricula, and course descriptions for programs are available in school-specific catalogs.

2017-2018 Catalogs
Graduate School of Biomedical Sciences
School of Health Professions
School of Medicine
School of Nursing
School of Pharmacy

Specific examples for each program level will be provided in the following paragraphs. Descriptions will include how these programs embody a coherent course of study, are compatible with the stated mission and goals, and are based upon fields of study appropriate to higher education.

EXAMPLES OF EDUCATIONAL PROGRAMS BY LEVEL

Certificate

The Post-Master’s Certificate in Nurse Midwifery, which is offered via distance education, prepares graduates to assume an advanced care provider role for women across the life cycle and for their newborns in the first month of life. The certificate requires 33 credit hours with coursework in diagnostic methods, pharmacotherapeutics, pathophysiology, and care management. The program culminates in a practical experience in which students are expected to apply knowledge and skills in nurse midwifery practice to a selected population. Upon completion of course requirements, graduates are eligible to sit for the American Midwifery Certification Board Examination.

Coherent Course of Study. As demonstrated by the degree plan, the program embodies a coherent course of study. The first semester includes coursework in more general topics related to the advanced practice nursing role. The second semester includes courses related specifically to midwifery, such as

antepartum, intrapartum, postpartum, and newborn care, as well as a six-credit hour practicum in integrated practice.

Compatible with Mission/Goals. The program clearly supports the TTUHSC mission to educate students to become collaborative healthcare professionals and the related goal to develop competent and caring healthcare professionals. Because the certificate program requires students to complete a practicum, students also have the opportunity to enrich the lives of others through direct patient care or education.

Appropriate to Higher Education. One year of experience as a registered nurse in labor and delivery or similar experience is required for admission to this certificate program. Therefore, the nurse midwifery program is appropriate to higher education.

Baccalaureate

The Bachelor of Science degree in Speech, Language, and Hearing Sciences prepares graduates for entry into a graduate program in speech-language pathology or audiology or for employment in various state agencies, long-term care facilities, childcare facilities, or public schools. Prerequisites for admission into the program include approximately 63 credit hours at an accredited college or university. Upon entry into the TTUHSC program, students complete an additional 60 credit hours of coursework, in which they learn about normal processes of speech, hearing, and language, as well as a variety of communication disorders. Students who successfully complete all required coursework may become licensed speech-language pathology assistants.

Coherent Course of Study. The program embodies a coherent course of study, as exemplified in the degree plan. During the first semester of coursework, students participate in a variety of introductory courses in audiology, speech-language pathology, language development, and anatomy and physiology. By the third semester, students are exposed to more advanced topics, such as clinical methodology, neural bases of speech and language disorders, and diagnostic audiology. In the third and fourth semesters, students also participate in clinical observations, in which they witness firsthand the application of concepts by trained professionals in the field.

Compatible with Mission/Goals. As stated above, the program prepares graduates to become licensed speech-language pathology assistants or pursue graduate degrees in related fields. Therefore, the program clearly supports the TTUHSC mission to educate students to become collaborative healthcare professionals and the related goal to develop competent and caring healthcare professionals.

Appropriate to Higher Education. Approximately two years of undergraduate coursework is required prior to entry to this program. The program also prepares graduates for entry into graduate school. Thus, the Bachelor of Science in Speech, Language and Hearing Sciences program is appropriate to higher education.

Master's Degree

The Master of Public Health (MPH) degree prepares students to approach complex health issues from a population perspective, using evidence-based solutions to improve outcomes for communities. The program emphasizes the knowledge and skills of the core public health fields and the application of those fields to public health practice. Program graduates may pursue career opportunities in various health care settings, not-for-profit organizations, and governmental health agencies. Graduates may also work in public health research or academia.

Coherent Course of Study. As indicated in the degree plan, the MPH requires 45 credit hours of graduate coursework. During their first year of study, students take several introductory courses in the

five core public health fields: (1) biostatistics, (2) environmental health, (3) epidemiology, (4) health policy management, and (5) social/behavioral sciences. The first year culminates in an applied practice experience in which students apply their knowledge and skills to a public health problem in the context of a mentored learning experience. During their second year, students complete additional courses and an integrated learning experience. The purpose of the experience is for students to demonstrate proficiency in the five core public health domains through completion of one of four options--a thesis, independent project, group project, or comprehensive examination. Thus, the program embodies a coherent course of study that requires an appropriate learning progression.

Compatible with Mission/Goals. The MPH program also aligns with the institution's mission to educate students to become collaborative healthcare professionals who seek to improve health outcomes in communities. Through the applied practice and integrated learning experiences, students also have the opportunity to enrich the lives of others through their contributions to community agencies and organizations.

Appropriate to Higher Education. A bachelor's degree or equivalent from an accredited college or university is required for admission into this graduate program. The program also prepares graduates for future graduate study and/or careers in a wide variety of local, national, and global organizations, including academia. Therefore, the MPH is appropriate to higher education.

Doctorate

The Doctor of Philosophy (PhD) in Pharmaceutical Sciences, which is based on the Amarillo campus, prepares students for careers in the pharmaceutical industry, academia, and federal regulatory agencies, including the Food and Drug Administration. Pharmaceutical sciences encompass all areas of pharmacy research that relate to drug design, delivery, formulations, and therapeutics.

Coherent Course of Study. The PhD in Pharmaceutical Sciences requires a total of 72 credit hours, as indicated in the degree plan. This includes 48 hours of didactic coursework, 12 hours of research, and 12 hours of dissertation work. The core didactic courses are designed to give students a basic understanding of the biomedical processes by which the body operates and the pharmaceutical agents and delivery systems available to interact with these systems. Elective didactic courses offer students opportunities for specialization in more focused areas of interest. Students also complete coursework in research and have opportunities to engage in a broad range of biomedical and pharmaceutical research throughout the program. As expected, the PhD in Pharmaceutical Sciences culminates with the completion of a written dissertation and oral defense. The dissertation embodies a significant contribution of new information to a particular subject or a substantial reevaluation of existing knowledge. In consideration of this curricular progression, the program embodies a coherent course of study.

Compatible with Mission/Goals. The PhD in Pharmaceutical Sciences program aligns with the institution's mission to produce graduates who advance knowledge through innovative research in the pharmaceutical industry. Furthermore, the program clearly supports the strategic goals to prepare students to be competent researchers and advance the institution's research portfolio. Through their research, graduates have the potential to greatly impact future patient care and healthcare delivery.

Appropriate to Higher Education. A bachelor's degree is required for admission into this graduate program. The degree may be in any field, but a strong background in science must be evident. As described, program graduates enter careers in academia or the pharmaceutical industry. For these reasons, the PhD in Pharmaceutical Sciences is appropriate to higher education.

Professional Degree

The Doctor of Medicine (MD) is a four-year degree program that prepares students to be competent and compassionate physicians in the 21st century. The program emphasizes the principles of primary care and provides sound interdisciplinary and interprofessional training that integrates basic sciences knowledge and clinical skills. Graduates specialize in a broad spectrum of disciplines but are united by a passion for extending quality care to patients in West Texas and around the globe.

Coherent Course of Study. As indicated in the degree plan, the Year 1 curriculum focuses on normal physiology and is divided into four interdisciplinary blocks: clinically-oriented anatomy, biology of cells and tissues, structure and function of major organ systems, and host defense. First-year medical students are also required to participate in a longitudinal block in which they learn foundational skills for patient assessment. The curriculum in the second year focuses on abnormal physiology. Year 2 features an interdisciplinary organ-based systems approach, combining principles and content from microbiology, pathology, neurosciences, and clinical medicine. Students also continue their clinical training.

The curricular focus in Year 3 is on patient assessment. Some students remain on the Lubbock campus. Others move to Amarillo, Odessa, or the Lubbock-Covenant Health System site. Each student focuses on one clinical discipline at a time and rotates though six eight-week clerkships in internal medicine, surgery, family medicine, obstetrics/gynecology, pediatrics, and psychiatry. In Year 4, students complete a rotation in geriatrics and three selective experiences in ambulatory care, critical care, and a sub-internship. The remainder of the fourth year curriculum consists of five months of broadly-based elective experiences. Thus, over the course of four years, students participate in a coherent course of study, in which they progress from learning about normal physiology to developing clinical competencies in specific disciplines.

Compatible with Mission/Goals. The MD clearly supports the TTUHSC mission to educate students to become collaborative healthcare professionals and the related goal to develop competent healthcare professionals. Because medical students are engaged so extensively in various clinical settings throughout the curriculum, the program also supports the strategic goal to promote improved community health through service. Finally, medical students have several opportunities to participate in research. In Year 4, for example, students may choose to participate in basic, translational, or clinical research in numerous disciplines or even engage in an independent research study with a faculty sponsor. Thus, the MD program clearly supports the institution's mission and goals as they relate to advancing knowledge through research.

Appropriate to Higher Education. Entry into medical school is highly competitive. Applicants to the TTUHSC program must have completed at least 90 semester credit hours of undergraduate coursework at a regionally accredited U.S. or Canadian college or university. Prerequisites include substantial science coursework, including biology, chemistry, organic chemistry, and biochemistry. Program graduates are equipped with the knowledge and skills to become licensed physicians. Thus, the Doctor of Medicine program is clearly appropriate to higher education.

REVIEW PROCESSES

As demonstrated by the examples cited above, each TTUHSC program embodies a coherent course of study, is compatible with the mission and goals of the institution, and is appropriate to higher education. To ensure ongoing alignment, all new educational programs and significant changes to existing programs are subject to the policies and procedures described in *HSC OP 60.11, New Degree Programs, Implementing Significant*

Curricular Changes, and Degree and Certificate Program Termination. This policy, which applies to traditional and distance education programs, describes the roles of faculty, program directors, department chairs, school deans, the TTUHSC President, and Texas Tech University (TTU) System Board of Regents in the development of new programs and/or the revision of existing programs. See, for example, the approval routing sheet for expanding the Doctor of Pharmacy program from two to four years on the Dallas campus.

All new degree programs at TTUHSC must also be approved by the Texas Higher Education Coordinating Board (THECB). *Title 19 Texas Administrative Code, §5.46,* describes the criteria for doctoral programs, including a carefully planned and systematic program of study and alignment with the institution's strategic plan. *Title 19 Texas Administrative Code, §5.45,* describes the criteria for baccalaureate and master's degree programs. Criteria include review of the program in relation to the existing institutional mission and a curriculum that is consistent with current educational theory. For example, TTUHSC is currently seeking approval to extend the traditional Bachelor of Science in Nursing program to the Amarillo campus, as indicated in the following THECB Request Form.

Degree programs are also subject to the program review requirements of the *Title 19 Texas Administrative Code, §5.52*. Per these requirements, TTUHSC must conduct formal reviews of all doctoral and stand-alone master's programs at least once every seven years. As part of this required process, each program review must include at least two external reviewers with subject-matter expertise who are employed by institutions of higher education outside of Texas. Criteria for review include many factors, such as faculty qualifications, program curriculum, graduation rates, licensure rates, and alignment of programs with stated program and institutional goals/purposes. See, for example, the most recent graduate program review for the PhD in Communication Sciences and Disorders. The report includes the self study, report of external review, and response to the external review.

Finally, as a health-related institution, most of TTUHSC's degree programs are also accredited by specialized accrediting bodies. Refer to the list of current accreditors. These external bodies verify that TTUHSC's programs are appropriate to higher education and embody a coherent course of study aligned with national standards. For example, the Liaison Committee on Medical Education, which accredits the Doctor of Medicine, has numerous requirements related to curricular design, content, management, and evaluation. See LCME Curriculum Standards.

SUMMARY

Continued accreditation through individual program accreditors, as well as ongoing compliance with TTUHSC and THECB requirements, help ensure that all TTUHSC educational programs embody a coherent course of study, are compatible with the institution's stated mission and goals, and are based upon fields of study appropriate to higher education. For these reasons, TTUHSC is in compliance with the current standard.

9.2

Program Length

The institution offers one or more degree programs based on at least 60 semester credit hours or the equivalent at the associate level; at least 120 semester credit hours or the equivalent at the baccalaureate level; or at least 30 semester credit hours or the equivalent at the post-baccalaureate, graduate, or professional level. The institution provides an explanation of equivalencies when using units other than semester credit hours. The institution provides an appropriate justification for all degree programs and combined degree programs that include fewer than the required number of semester credit hours or its equivalent unit.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Program length is appropriate for each of the educational programs at Texas Tech University Health Sciences Center (TTUHSC). Each program is of sufficient length to include appropriate coursework and provide opportunities for mastery of the subject matter. Program faculty determine the duration of each program in accordance with commonly accepted practices in higher education, as specified below.

CRITERIA FOR PROGRAM LENGTH

HSC OP 60.11 (New Degree and Certificate Programs, Implementing Significant Curricular Changes, and Degree and Certificate Program Termination) outlines the process by which faculty propose new certificate and degree programs at TTUHSC or make significant curricular changes to existing programs. Such proposals are developed and refined through a collaborative process among the appropriate faculty, department chair, and dean. The dean obtains the President's support, who seeks approval by the Texas Tech University System Board of Regents. See, for example, the completed routing sheet for the Master of Science in Clinical Mental Health Counseling. The next step is for faculty to prepare a formal new program proposal in accordance with the guidelines of the Texas Higher Education Coordinating Board (THECB), which grants TTUHSC the legal authority to confer undergraduate, graduate, and professional certificates and degrees in the state of Texas. Refer to the THECB approval of the Master of Science in Addiction Counseling in May 2017 as evidence of this approval process.

The following regulations provide the criteria for the development of new certificate, baccalaureate, master's, and doctoral degree programs:

- *Title 19 Texas Administrative Code, §5.45 (Criteria for New Baccalaureate and Master's Degree Programs)*
- *Title 19 Texas Administrative Code, §5.46 (Criteria for New Doctoral Programs)*
- *Title 19 Texas Administrative Code, §5.48 (Criteria for Certificate Programs at Universities and Health-Related Institutions)*

These regulations do not dictate specific program lengths by degree level. Rather, *Title 19 Texas Administrative Code, §5.55 (Revisions to Approved Programs)* suggests that the number of required semester

credit hours should align with any requirements by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), individual program accreditors, and licensing bodies, if applicable. Thus, for a health-related institution, external accrediting bodies largely influence program length at TTUHSC. Refer to the table of current TTUHSC accreditors.

TTUHSC determines program length and academic credit based on the unit of the semester credit hour and in accordance with *HSC OP 60.05 (Definition and Calculation of Credit Hours)* and Title 19 Texas Administrative Code, §4.6. Some external accrediting bodies define program length and academic credit in different terms, however. The Liaison Committee on Medical Education (LCME), which is the accrediting body for medical education programs in the U.S. and Canada, defines program length and academic credit in terms of weeks of instruction, requiring a minimum of 130 weeks of instruction for educational programs leading to the MD degree (Functions and Structure of a Medical School, Standard 6.8). The standard medical school curriculum at TTUHSC is 158 weeks. This is typically completed in four years. For purposes of comparison with other TTUHSC schools, the School of Medicine also calculates equivalency to semester credit hours. Based on this calculation, the degree program is determined to be equivalent to 147 semester credit hours. Refer to *Standard 10.7 (Policies for Awarding Credit)* for additional information.

Based on all of these institutional policies, state regulations, and accreditation requirements, TTUHSC adheres to the following guidelines for program length. Upper-level undergraduate, graduate, and professional certificates require at least 12 semester credit hours. First baccalaureate degree programs require ≥120 semester credit hours. Master's degree programs require ≥30 semester credit hours of graduate-level work. Doctoral degrees require ≥70 semester credit hours of graduate-level work. The program length of professional-level certificates/degrees is determined primarily by external program accreditors. These guidelines apply to educational programs delivered traditionally and via distance education.

PROGRAM LENGTH

Table 9.2-A provides the minimum semester credit hours required for each certificate and degree offered at TTUHSC, including the tracks leading to each degree and concentrations within specific degrees. Distance education programs are marked appropriately. For a more detailed description of how the institution defines and calculates a credit hour, refer to the response for *Standard 10.7 (Policies for Awarding Credit)*. Additional information about program requirements for all TTUHSC educational programs is also located in the appropriate school catalogs: (1) Graduate School of Biomedical Sciences, (2) School of Health Professions, (3) School of Medicine, (4) School of Nursing, and (5) School of Pharmacy.

Table 9.2-A. Minimum Semester Credit Hours for TTUHSC Educational Programs

Certificate/Degree Program by School	Min. Credit Hours
Graduate School of Biomedical Sciences	
Graduate Certificate in Public Health (Traditional, Online[a])	15
Master of Public Health (Traditional, Accelerated, Online[a])	45
Master of Science in Biomedical Sciences (All concentrations)	30
Master of Science in Biotechnology	30
Master of Science in Pharmaceutical Sciences	30
Doctor of Philosophy in Biomedical Sciences (All concentrations)	72
Doctor of Philosophy in Pharmaceutical Sciences	72
School of Health Professions	
Certificate in Clinical Laboratory Science[a]	35
Bachelor of Science in Clinical Laboratory Science	131
Bachelor of Science in Clinical Laboratory Science (Second Degree)[a]	83[b]
Bachelor of Science in Healthcare Management[a]	120
Bachelor of Science in Speech, Language and Hearing Sciences	122
Bachelor of Science in Speech, Language and Hearing Sciences (Second Degree)	77[b]
Master of Athletic Training	60
Master of Occupational Therapy	88
Master of Physician Assistant Studies	125
Master of Rehabilitation Counseling[a,c]	48
Master of Science in Addiction Counseling[a]	60
Master of Science in Clinical Mental Health Counseling[a]	60
Master of Science in Clinical Rehabilitation Counseling[a]	60
Master of Science in Healthcare Administration[a]	36
Master of Science in Molecular Pathology	42
Master of Science in Speech-Language Pathology	58
Doctor of Audiology	101
Doctor of Philosophy in Communication Sciences and Disorders[c]	81
Doctor of Philosophy in Rehabilitation Science	86
Doctor of Philosophy in Rehabilitation Sciences[c]	88
Doctor of Physical Therapy	100
Doctor of Physical Therapy (Transitional)[a]	27[b]
Doctor of Science in Physical Therapy[a]	36[b]
School of Medicine	
Doctor of Medicine	147
Doctor of Medicine (Family Medicine Accelerated Track)	135
School of Nursing	
Bachelor of Science in Nursing	120
Bachelor of Science in Nursing (Accelerated)[a]	116[b]
Bachelor of Science in Nursing (RN to BSN)[a]	120
Graduate Certificates (Rural Community Health, Global Health)	12
Master of Science in Nursing (Concentration: Advanced Practice Registered Nurse-All specializations)[a]	48
Master of Science in Nursing (Concentration: Leadership-All specializations)[a]	39
Post-Master's Certificates[a]	12
Doctor of Nursing Practice (All concentrations)[a]	45[b]
School of Pharmacy	
Doctor of Pharmacy	169

[a] 50 percent or more of credit hours are delivered via distance education.
[b]Additional information about this program is provided in the subsequent narrative.
[c]Teach-out in progress

As *Table 9.2-A* indicates, there are no significant differences in program length between traditional programs and programs delivered via distance education. For example, the traditional Bachelor of Science in Nursing degree requires 120 semester credit hours. The Bachelor of Science in Nursing (RN to BSN) degree, which is a distance education program, also requires 120 credit hours. The latter targets students who are already registered nurses. Similarly, the Master of Public Health is offered in both traditional and online formats. Both MPH formats require 45 semester credit hours.

Additional Information about Selected Programs
For purposes of clarification, the program length for some TTUHSC educational programs is explained below:

- The Bachelor of Science in Clinical Laboratory Science (Second Degree) program, which is a distance education program, targets students who have already completed a bachelor's degree in a science-related discipline from an accredited college or university. It requires 30 semester credit hours of prerequisite coursework in laboratory sciences and statistics, at least 18 semester credit hours of general education curriculum, and 35 semester credit hours at TTUHSC. Thus, the degree requires a total of 83 semester credit hours.

- The Bachelor of Science in Nursing (Accelerated-Second Degree track), also a distance education program, targets students who have already completed a bachelor's degree from an accredited college or university. Students in this program complete 55 semester credit hours in general education and prerequisite coursework and 61 semester credit hours at TTUHSC. In total, the degree requires 116 semester credit hours.

- The Bachelor of Science in Speech, Language and Hearing Sciences (Second Degree) program targets students who have already completed a bachelor's degree from an accredited college or university. Prerequisite coursework includes completion of the Texas core curriculum requirements, which requires a minimum of 42 semester credit hours. Often, the core curriculum includes program-specific requirements for courses in physical science, biological/life science, and social/behavioral science, and statistics. If not, these prerequisites must be completed in addition to the core curriculum before entry to the program. Students must complete an additional 35 semester credit hours at TTUHSC. Thus, the degree requires a total of at least 77 semester credit hours.

- The Transitional Doctor of Physical Therapy (tDPT), also a distance education program, is a clinical doctoral degree designed for experienced, licensed physical therapists who want to augment their current knowledge and skills in order to keep up with the changing expectations of the profession and current standards for entry into the profession. The tDPT differs from an advanced post-professional degree in that it does not reflect the acquisition of advanced or specialized clinical skills, but rather the augmentation of the body of knowledge and practice in physical therapy over the last five or more years. Therefore, it requires 27 semester credit hours of TTUHSC coursework for students with a master's degree and 33 semester credit hours for students with a bachelor's degree in the field.

- The Doctor of Science in Physical Therapy (ScD) is a distance education program that aims to provide advanced post-professional education for practicing physical therapists. It enables practitioners to develop the advanced knowledge base, clinical skills, and professional competencies needed for state-of-the-art evaluation and treatment of patients, as well as the successful management of clinical

services in isolated practice settings. Program length varies. Students with a bachelor's degree complete a minimum of 70 semester credit hours at TTUHSC. Students with a master's degree complete a minimum of 48 hours. Students with a Doctor of Physical Therapy complete 36-48 hours, depending on prior coursework.

- The Doctor of Nursing Practice (DNP) prepares nurses for the highest level of practice in clinical settings, academic leadership, or health systems leadership. It requires a minimum of 45 semester credit hours at TTUHSC for students who enter the program with current licensure as a registered nurse in the United States, as well as a Master of Science in Nursing degree from a regionally accredited college or university with the required nursing program accreditation. Students seeking a DNP with only a Bachelor of Science in Nursing must complete at least 74 semester credit hours TTUHSC.

Dual Degree Programs

Standard 10.9 (Cooperative Academic Arrangements) provides details about each of TTUHSC's dual degree programs, including copies of the related agreements. To summarize, TTUHSC offers a small number of dual degree programs, in which students earn multiple degrees from two separate institutions. They include:

(1) **Master of Science in Biotechnology (TTUHSC)**/Master of Business Administration (Texas Tech University)
(2) **Master of Science in Biotechnology (TTUHSC)**/Doctor of Jurisprudence (Texas Tech University)
(3) **Doctor of Philosophy in Biomedical Sciences (TTUHSC)**/Master of Business Administration (Texas Tech University)
(4) **Doctor of Pharmacy (TTUHSC)**/Master of Business Administration (Texas Tech University)

For these dual degree programs, TTUHSC accepts no more than 12 semester credit hours from Texas Tech University (TTU). For example, students seeking dual degrees in Biotechnology and Business Administration may apply 12 credit hours from TTU toward the 30-credit hour program at TTUHSC. In this case, TTUHSC is providing the instruction for 40 percent of the credit hours toward the Biotechnology degree. This is in compliance with *Standard 9.5 (Institutional Credits for a Graduate/Professional Degree)*, which requires TTUHSC to provide instruction for at least one-third of the credit hours toward any graduate/professional degree awarded by the institution.

Another example is the Doctor of Pharmacy and Master of Business Administration dual degree program. Students complete 30 semester credit hours toward the MBA over the course of two summers when they are not taking pharmacy coursework. TTU accepts TTUHSC coursework for several additional classes to meet their program requirements. TTUHSC only substitutes one three-credit hour course (i.e., *FIN 5320: Financial Management Concepts*) from TTU for a course in the typical pharmacy curriculum (*PHAR 4233: Practice Management-Financial Management*). Thus, the integrity of the degree offered by TTUHSC is clearly maintained.

As referenced in *Standard 10.9*, the School of Medicine also has agreements with Texas Tech University for a Doctor of Medicine/Doctor of Jurisprudence and Doctor of Medicine/Master of Business Administration. In both cases, TTU accepts TTUHSC coursework toward their degree requirements, but TTUHSC does not accept coursework from TTU.

Combination Degrees

TTUHSC offers several programs that may be classified as combination degrees, or two degrees earned from the same institution. They are described below.

Doctor of Medicine/Doctor of Philosophy in Biomedical Sciences. This program option is designed to provide students rigorous training in both clinical medicine and biomedical research. Students typically complete graduate studies in the summer prior to the first and second years of medical school. After completion of the second year curriculum in the School of Medicine, students defer continuation in medical school until completion of the PhD requirements. A maximum of 30 semester credit hours may be applied from the medical school curriculum to the PhD program. No biomedical science coursework is applied toward the Doctor of Medicine. Depending on the nature of the student's research, both degrees usually take seven to eight years to complete.

Doctor of Medicine/Master of Science in Biomedical Sciences. Students who wish to pursue these degrees in combination typically begin working on the master's degree after the second or third year of medical school. They engage full-time in graduate studies for a full year before returning to medical school. Typical coursework includes research conduct, statistics, and bioinformatics, as well as a minimum of 12 semester credit hours of biomedical research in a lab setting. A maximum of 15 semester credit hours may be applied from the medical school curriculum to the master's program. No biomedical science coursework is applied toward the Doctor of Medicine.

Doctor of Medicine/Master of Public Health. Students who wish to pursue a Master of Public Health in addition to the Doctor of Medicine may do so concurrently. Students typically complete 23 semester credit hours of public health coursework in the summers prior to the first, second, and third years of medical school. They complete an additional 12 hours during the second and fourth years of medical school. A maximum of 9 semester credit hours may be applied from the medical school curriculum to the master's program. No public health coursework is applied toward the Doctor of Medicine.

Specialty Programs

The School of Medicine offers an innovative curriculum for students interested in pursuing a career in family medicine, which is known as the Family Medicine Accelerated Track (FMAT) program. Students complete requirements for the Doctor of Medicine curriculum in three years rather than the usual four years. Then they transition to three years of family medicine residency. As indicated in *Table 9.2-A*, the FMAT program requires an estimated 135 semester credit hours. This far exceeds the expectations stated in the current standard for a professional degree.

The School of Nursing offers a Veterans to BSN option in conjunction with the accelerated track of the Bachelor of Science in Nursing program. Offered via distance education, the program targets veterans from all branches of the service and is designed to build upon their prior military medical training. Students in this program complete 59 semester credit hours in general education and prerequisite coursework and 61 semester credit hours at TTUHSC. Up to 13 of the 61 semester credit hours (=21%) may be earned through successful demonstration of competencies in specific courses. These credits are referred to as prior learning credits. Students have the opportunity to demonstrate knowledge of foundational nursing knowledge, health assessment, pharmacology, and management through a battery of exams. Success on these exams may allow

a student to earn credit in the following courses: (1) *NURS 3380: Foundational Concepts of Nursing Practice*, (2) *NURS 3307: Health Assessment*, (3) *NURS 3107: Pharmacology I*, (4) *NURS 4207: Pharmacology II*, and (5) *NURS 4409: Leadership and Management*. In total, the degree requires 120 semester credit hours.

SUMMARY

As described in this response, TTUHSC offers multiple degree programs based on at least 120 semester credit hours or the equivalent at the baccalaureate level and at least 30 semester credit hours or the equivalent at the post-baccalaureate, graduate, or professional level. Justification has been provided for all degree programs that include fewer than the required number of semester credit hours. In addition, information has been provided about the dual degrees, combination degrees, and specialty programs at TTUHSC. In all of these cases, the integrity of the degrees being awarded by TTUHSC is maintained. Program length is appropriate for each educational program and is of sufficient length to include appropriate coursework and provide opportunities for mastery of the subject matter. Therefore, TTUHSC is compliant with the current requirement.

9.3

General Education Requirements

The institution requires the successful completion of a general education component at the undergraduate level that: (a) is based on a coherent rationale; (b) is a substantial component of each undergraduate degree program. For degree completion in associate programs, the component constitutes a minimum of 15 semester hours or the equivalent; for baccalaureate programs, a minimum of 30 semester hours or the equivalent; (c) ensures breadth of knowledge. These credit hours include at least one course from each of the following areas: humanities/fine arts, social/behavioral sciences, and natural science/mathematics. The courses do not narrowly focus on those skills, techniques, and procedures specific to a particular occupation or profession.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

As a health-related institution, Texas Tech University Health Sciences Center (TTUHSC) offers limited undergraduate degrees. These programs are listed below by school:

School of Health Professions
B.S., Clinical Laboratory Science (*Tracks: Traditional, Second Degree*)
B.S., Healthcare Management
B.S., Speech, Language and Hearing Sciences (*Tracks: Traditional, Second Degree*)

School of Nursing
B.S., Nursing (*Tracks: Traditional, Accelerated, RN to BSN*)

TTUHSC offers only upper division coursework in each of these programs. Students are expected to complete lower division undergraduate coursework at another college or university for transfer into TTUHSC. To ensure completion of appropriate prerequisites and general education requirements, each TTUHSC program abides by requirements set forth in the *Texas Education Code, §61.822*, and by the Texas Higher Education Coordinating Board (THECB) in *Title 19 Texas Administrative Code, §4.28*. For purposes of clarification, these regulations use the term *core curriculum* to refer to general education requirements. The following narrative will describe how TTUHSC requires the successful completion of a general education component at the undergraduate level that (a) is based on a coherent rationale; (b) is a substantial component of each undergraduate degree program, and (c) ensures breadth of knowledge.

(A) COHERENT RATIONALE
Per the state regulations referenced above, TTUHSC has adopted a core curriculum based on the purpose approved by the THECB: "Through the Texas Core Curriculum, students will gain a foundation of knowledge of human cultures and the physical and natural world, develop principles of personal and social responsibility for living in a diverse world, and advance intellectual and practical skills that are essential for all learning."

The THECB revised the Texas core curriculum in Fall 2011 based on the recommendations of the Undergraduate Education Advisory Committee, which is comprised of faculty members from Texas public community colleges and universities. Implementation of the new core curriculum occurred in Fall 2014. All public institutions in Texas have an approved list of courses as part of the Texas core curriculum. These

courses are approved on an annual basis and are available online at the Texas General Education Core Curriculum WebCenter.

TTUHSC's general education requirement, which aligns with the Texas core curriculum, is outlined in HSC OP 77.07, Core and Transfer Compliance Policy, which is accessible on the Office of the Registrar website and TTUHSC General e-Catalog. Core curriculum requirements are also described in individual course catalogs for the School of Health Professions and School of Nursing.

(B) SUBSTANTIAL COMPONENT

TTUHSC students are expected to complete 42 semester credit hours of coursework across several broad areas, as listed below. The THECB Table of Foundational Component Areas provides additional information about each category. This requirement constitutes a substantial component of an undergraduate degree program at TTUHSC. Given that a typical undergraduate degree program requires 120 credit hours, the TTUHSC general education requirement constitutes approximately 35% of the degree program.

- Communication (6 SCH)
- Mathematics (3 SCH)
- Life and Physical Sciences (6 SCH)
- Language, Philosophy and Culture (3 SCH)
- Creative Arts (3 SCH)
- American History (6 SCH)
- Government/Political Science (6 SCH)
- Social and Behavioral Sciences (3 SCH)
- Additional courses selected from one of the other foundational areas (6 SCH)

Because TTUHSC does not offer lower division coursework, students must submit official transcripts from another Texas public college or university that indicate completion of that institution's core curriculum. General education requirements completed at a private or out-of-state institution may not be equivalent to the required Texas core curriculum and do not exempt a student from completing the 42-hour requirement.

For applicants whose transcripts do not indicate compliance with the Texas core curriculum, designated staff members in the School of Health Professions and School of Nursing review transcripts for course equivalencies by utilizing various resources available to them. One example is the Texas Common Course Numbering System website, which allows individuals to check lower-division course compatibility across 136 Texas colleges and universities. Another resource is the Transfer Equivalency Search website available through the Transfer Evaluation Office at Texas Tech University (TTU), which is a four-year general academic institution in the Texas Tech University System that has an extensive history of performing course equivalency evaluations. This website enables TTUHSC staff members to search any courses that have been reviewed by TTU staff for core equivalency at colleges and universities across the United States and internationally.

Consider, for example, a TTUHSC applicant who submits a transcript from Casper College in Wyoming. The applicant successfully completed *CO/M 1030: Interpersonal Communication* at this institution. To determine whether this course meets a general education requirement, a TTUHSC admissions officer may search the website referenced above and determine that this course has indeed been evaluated for core equivalency and meets the requirements for the *Social and Behavioral Sciences* category. Refer to the Transfer Equivalency Search example.

On occasion, admissions personnel in the School of Health Professions or School of Nursing need further assistance in determining whether a course meets a general education requirement. In these cases, s/he may

contact directly the colleges/universities which offer the course(s) in question to gather additional information to make informed decisions. Admissions personnel may also choose to consult the Core/Transfer Coordinator in the TTUHSC Office of the Registrar. This individual may request a special review of a course by qualified TTU staff members. The need for such reviews, however, is not a common occurrence.

Applicants who are not compliant with general education requirements at TTUHSC are asked to complete the necessary courses before enrolling in an undergraduate degree program at TTUHSC. Upon matriculation, core completion is documented on the student's TTUHSC transcript. Refer to the following transcript example.

(C) BREADTH OF KNOWLEDGE

Humanities/Fine Arts

As indicated above, at least one course is required in the humanities/fine arts, social/behavioral sciences, and natural sciences/mathematics as part of the 42-credit hour requirement. More specifically, 3 semester credit hours are required in the *Creative Arts*, and 3 semester credit hours are required in *Language, Philosophy, and Culture*. Courses in the *Creative Arts* category focus on the appreciation and analysis of creative artifacts and works of human imagination. These courses involve the synthesis and interpretation of artistic expression and enable critical, creative, and innovative communication about works of art. Sample courses include art history or music appreciation. Refer to the comprehensive list of THECB-approved courses in *Creative Arts*.

Courses in the *Language, Philosophy, and Culture* category focus on how ideas, values, beliefs, and other aspects of culture express and affect human experience. These courses involve the exploration of ideas that foster aesthetic and intellectual creation in order to understand the human condition across cultures. Examples include courses in British literature, introductory Spanish, or world religions. Refer to the comprehensive list of THECB-approved courses in *Language, Philosophy, and Culture*. Courses used to fulfill the core curriculum requirement for *Creative Arts* and *Language, Philosophy, and Culture* are appropriate to meet the humanities/fine arts requirement of the current standard.

Social/Behavioral Sciences

The 42-hour core curriculum requirement also includes a requirement for 3 semester credit hours in *Social and Behavioral Sciences*, which also aligns with the general education requirements of the current standard. Courses in this category focus on the application of empirical and scientific methods that contribute to the understanding of what makes us human. In addition, courses involve the exploration of behavior and interactions among individuals, groups, institutions, and events, examining their impact on the individual, society, and culture. Sample courses include anthropology, psychology, or sociology. Refer to the comprehensive list of THECB-approved courses in *Social and Behavioral Sciences*.

Natural Science/Mathematics

Finally, 9 semester credit hours are required to meet the 42-hour core curriculum requirement in the *Mathematics* and *Life and Physical Sciences* categories. This exceeds the the general education requirement for at least one course in the *Natural Science/Mathematics* category. Mathematics courses focus on quantitative literacy in logic, patterns, and relationships and involve the understanding of key mathematical concepts and the application of appropriate quantitative tools to everyday experience. Examples include courses in algebra, calculus, or statistics. Refer to the comprehensive list of THECB-approved courses in *Mathematics*.

Courses in the *Life and Physical Sciences* category focus on describing, explaining, and predicting natural phenomena using the scientific method. Such courses involve the understanding of interactions among natural phenomena and the implications of scientific principles on the physical world and on human

experiences. Sample courses include microbiology, physics, or organic chemistry. Refer to the comprehensive list of THECB-approved courses in *Life and Physical Sciences*.

SUMMARY

TTUHSC requires the successful completion of a general education component at the undergraduate level. The curriculum reflects a coherent rationale and is based on the collective work of faculty members across several Texas public community colleges and universities. The 42 semester credit hour requirement also constitutes a substantial component of each undergraduate program at TTUHSC, as it exceeds the 30-hour requirement of the current standard. Finally, the TTUHSC general education requirement ensures a breadth of knowledge through diverse courses which do not narrowly focus on skills, techniques, and procedures specific to a particular occupation or profession. For these reasons, TTUHSC has determined that the institution remains in compliance with the current standard.

9.4

Institutional Credits for an Undergraduate Degree

At least 25 percent of the credit hours required for an undergraduate degree are earned through instruction offered by the institution awarding the degree.

Judgment

☑ Compliance ❑ Partial Compliance ❑ Non-Compliance ❑ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) ensures that at least 25 percent of the credit hours required for the degree are earned through instruction offered by the institution awarding the degree.

The School of Health Professions (SHP) and the School of Nursing (SON) are the only schools at TTUHSC that offer undergraduate degrees. Students who pursue baccalaureate degrees in these schools complete general education requirements and prerequisite course work for the major at another academic institution prior to completing upper-division coursework in the major at TTUHSC, as described in *Standard 9.3 (General Education Requirements)*.

PROCESS FOR DETERMINING TRANSFER CREDITS

The administrative process of transferring and transcribing academic credit at the TTUHSC is coordinated by the admissions offices of the schools in cooperation with the TTUHSC Office of the Registrar. *HSC Operating Policy and Procedure (OP) 77.17, Core & Transfer Compliance Policy* establishes core and transfer compliance requirements in accordance with the Texas Higher Education Coordinating Board (THECB). This policy applies to all TTUHSC campus locations, and distance education students. Institutional transfer guidelines and procedures are disseminated to all faculty, staff, and students via the online TTUHSC General e-Catalog, and staff members in the TTUHSC Office of the Registrar work collaboratively with personnel in each school to ensure successful implementation of the guidelines and procedures. Student transcript data is managed using the Banner student information system, and the integrated DegreeWorks program used to monitor the amount of credit earned at the institution with respect to the total number of credits required for the degree. This program is used to verify that the required courses have been completed and that the appropriate credit has been generated by courses taken at TTUHSC.

Each student transcript states the name of the institution/s in which credit is transferred, along with the courses taken and their respective grades. Please see the attached SHP example, BS in Speech, Language, and Hearing Sciences Redacted Transcript. Following the SACSCOC "Quality and Integrity of Undergraduate Degrees Policy Statement", TTUHSC ensures that all transfer courses are reviewed by academically qualified individuals. For more information on policies governing the transfer of credit, please see *Standard 10.8 (Evaluating and Awarding Academic Credit)*.

The institutional transfer guidelines and procedures are supplemented by school- and program-based policies that ensure the processes for evaluating, awarding, and accepting academic credit are in keeping with discipline-specific accreditation standards. SHP and SON both publish specific information online and in respective catalogs regarding the number of residential credit hours required in each undergraduate program, as summarized below.

School of Health Professions

The *SHP OP ST.1, Residence Credit Policy* for undergraduate students states that to earn a degree from the school, "the minimum number of semester credit hours in residence as a student registered in the School of Health Professions must not be less than twenty-five percent of the total semester credit hours required for the desired degree." In practice, most students earn all of their upper-division in-discipline credit hours at the school and, therefore, the percentage of hours earned at TTUHSC is usually higher than 25 percent, as summarized in *Table 9.4-A*. For more information on policies governing the length of a program, please see *Standard 9.2 (Program Length)*.

Table 9.4-A. Credit Hours Required for Undergraduate Degree Programs in the School of Health Professions

Degree Program	General Education and Prerequisite Credit Hours	Upper Division Credit Hours Offered at TTUHSC	Total Credit Hours	Percentage of Credit Hours Earned at TTUHSC
BS Speech, Language, and Hearing Sciences	**63**	**59-60**	**122-123**	**48%**
BS Speech, Language, and Hearing Sciences (Second Degree)	**42-44**	**35**	**77-79**	**44%**
BS Clinical Laboratory Science (Standard Option)	**57-58**	**74**	**131-132**	**56-57%**
BS Clinical Laboratory Science (Pre-Med Option)	**77**	**74**	**151**	**49%**
BS Clinical Laboratory Science (Pre-Physician Assistant Option)	**76**	**74**	**150**	**49%**
BS Clinical Laboratory Science (Second Degree)	**58**	**35**	**93**	**38%**
BS Healthcare Management (Professional Track)	**90**	**30**	**120**	**25%**
BS Healthcare Management (Executive Track)	**66**	**54**	**120**	**45%**

Source: SHP 2017-2018 Catalog

School of Nursing

Per the *SON OP 30.13, Residence Credit Policy*, each undergraduate student completes at least 30 hours at TTUHSC. The total hours needed for a Bachelor of Science in Nursing is 120 SCHs, resulting in at least 25% percent of the credit hours required are earned through instruction offered by TTUHSC. Most BSN students complete more than 25% percent of credit hours at TTUHSC, however. For example, traditional students typically complete 63 SCHs or 52.5% toward the BSN at TTUHSC. Credit hour requirements for each track are summarized in *Table 9.4-B*.

Table 9.4-B. Credit Hours Required for Undergraduate Degree Programs in the School of Nursing

Degree Program	General Education and Prerequisite Credit Hours	Upper Division Credit Hours Offered at TTUHSC	Total Credit Hours	Percentage of Credit Hours Earned at TTUHSC
BS Nursing (Traditional)	**57**	**63**	**120**	**52.5%**
BS Nursing (Accelerated)	**59**	**61**	**120**	**50.8%**
BS Nursing (RN to BSN)	**54**	**66**	**120**	**55%**

Source: SON 2017-2018 Catalog

SUMMARY

To meet the requirements listed in the SACSCOC "Agreements Involving Joint and Dual Academic Awards: Policy and Procedures", "The Quality and Integrity of Undergraduate Degrees" and *Standard 9.4*, TTUHSC and the respective schools have policies to ensure 25 percent or more of the credits required for the baccalaureate degrees are awarded through TTUHSC direct instruction. The evidence is stated in the *SON OP 30.139, Residence Credit Policy* and the *SHP OP ST.15, Residence Credit Policy* for undergraduate programs as well as *HSC OP 77.17, Core & Transfer Compliance Policy*. The transfer and transcription of academic credit at TTUHSC is coordinated by the admissions offices of the TTUHSC schools in cooperation with the TTUHSC Office of the Registrar. TTUHSC guidelines governing the transfer and transcription of academic credit define basic criteria for ensuring that any course work or credit recorded on the institution's transcript is consistent with the institution's mission and is comparable in quality to course work offered through the institution's own degree programs.

9.5

Institutional Credits for a Graduate/Professional Degree

At least one-third of the credits required for a graduate or a post-baccalaureate professional degree are earned through instruction offered by the institution awarding the degree.

Judgment

☑ Compliance ❑ Partial Compliance ❑ Non-Compliance ❑ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) is in compliance with *Standard 9.5 (Institutional Credits for a Graduate Degree)*. Per TTUHSC policy, at least one-third of the credits earned for a graduate or post-baccalaureate professional degree are earned through instruction by TTUHSC. In addition, TTUHSC faculty members in each school are responsible for reviewing transcripts and deciding which credits may be transferred and applied toward the school's graduate program(s).

PROCESS FOR DETERMINING TRANSFER CREDITS

The administrative process of transferring and transcribing academic credit at the TTUHSC is coordinated by the admissions offices of the TTUHSC schools in cooperation with the TTUHSC Office of the Registrar. *HSC Operating Policy and Procedure (OP) 77.17, Core & Transfer Compliance Policy* is a comprehensive policy for the institution and states, ". . . a minimum of 33% of graduate coursework must be taken at TTUSHC to receive a degree from the institution." The one-third requirement applies to all degrees, including distance and dual degree programs (for more information on collaborative arrangements, please see *Standard 10.9, Cooperative Academic Arrangements).* Further guidelines and procedures are designed to ensure the integrity of TTUHSC's graduate and post-baccalaureate professional degree programs and include the following requirements:

- Credit that is accepted for transfer and applied to a degree program at TTUHSC is recorded on the TTUHSC transcript under the name of the institution from which the coursework was taken. For example, please see an example graduate transfer student transcript.
- Transfer courses used to meet admissions prerequisite requirements are documented in the student's admissions file and are recorded on the TTUHSC transcript.
- Transfer credit does not alter the TTUHSC grade point average.

Institutional transfer guidelines and procedures are disseminated to all faculty, staff, and students via the online TTUHSC General e-Catalog, and staff members in the TTUHSC Office of the Registrar work collaboratively with personnel in each school to ensure successful implementation of the guidelines and procedures. Student transcript data is managed using the Banner student information system, and the integrated DegreeWorks program used to monitor the amount of credit earned at the institution with respect to the total number of credits required for the degree. This program is used to verify that the required courses have been completed and that the appropriate credit has been generated by courses taken at TTUHSC. Please see a DegreeWorks Audit graduate student example. The institutional transfer guidelines and procedures are supplemented by school- and program-based policies that ensure the processes for evaluating, awarding, and accepting academic credit are in keeping with discipline-specific accreditation standards. These policies provide specific information regarding transfer policies and the number of residential credit hours required in each program, as summarized below.

Graduate School of Biomedical Sciences
The Graduate School of Biomedical Sciences (GSBS) requires students to complete a minimum of 30 hours of coursework for a Master of Science degree and 60 hours of coursework plus 12 hours of dissertation for the Doctor of Philosophy degree. The majority of these credits must be completed at the GSBS. Please see the attached example of a student degree plan including transfer credit hours. The graduate school will accept up to 30 hours of transfer credit toward the GSBS doctoral programs from a Master of Science degree earned at another regionally accredited U.S. institution. The transfer of credit for degrees earned at a foreign institution is contingent upon transcript evaluation.

Individual courses are transferred in accordance with the transfer credit guidelines in the GSBS Catalog. Courses taken at other accredited institutions are reviewed on a case-by-case basis, and transfer credit is awarded only when the course content is deemed to be equivalent to a similar GSBS course.

School of Health Professions
Graduate programs in the school require the majority of the credits for the given graduate degree to be earned at TTUHSC School of Health Professions (SHP). Some of the school's graduate programs define more specific requirements regarding the number of credit hours that can be transferred for completion of the given degree. For example, the minimum residency requirements for the doctoral program in Rehabilitation Sciences requires 64 of the 88 total required graduate semester credit hours to be taken at TTUHSC. The program will accept up to 24 hours of transfer credit toward the doctoral degree from a graduate program in Rehabilitation Sciences earned at another regionally accredited U.S. institution. Other academic programs do not allow any transfer credit toward the graduate-level component of the program. See, for example, the statement on transfer of credit for the Master of Occupational Therapy program.

School of Medicine
The vast majority of medical students at the TTUHSC School of Medicine receive all of the credits toward the Doctor of Medicine degree by successfully completing coursework at the school. The school considers transfer applicants only in accordance with *SOM OP 70.08, Transfer Students, Advanced Standing*. These guidelines follow those that have been established by the Liaison Committee on Medical Education for its accredited educational programs regarding acceptance of students in advanced standing (transfer students). Students accepted in advanced standing under these guidelines complete the majority of their coursework at the TTUHSC and receive their Doctor of Medicine degree from the TTUHSC School of Medicine.

Fourth-year medical students may take up to 12 of the required 20 weeks of electives at other LCME-accredited medical schools. Students are responsible for submitting an evaluation form from the TTUHSC School of Medicine to each of their faculty supervisors at other institutions so the supervisors can complete the evaluation and return it per instructions on the form to the Office of Student Affairs in the TTUHSC School of Medicine. Upon receipt, the Office of Student Affairs documents receipt of the evaluation and places the written evaluation in the student's folder and enters the grade on the student's transcript.

School of Nursing
The *School of Nursing (SON) Graduate OP 40.440, Degree Requirements* states that the majority of credits toward a graduate degree in nursing must be earned through TTUHSC. The policy specifies procedures for ensuring all students meet the residency requirements. The *Degree Requirements* policy is supported by the *SON Graduate OP 40.479, Transfer of Credit Policy*. Transfer of credit guidelines are published in the School of Nursing catalog as well.

School of Pharmacy

The School of Pharmacy (SOP) accepts transfer credit according to *SOP OP 77.P.16, Documenting the Pre-pharmacy Requirements Adopted by the Faculty for Admissions* and *SOP OP 77.P.17, Course Transfer and Course Waiver*. Admissions requirements are also published in the school catalog. According to these requirements, the admission of students into the Doctor of Pharmacy program is based on receipt of required documentation of credits earned and selective admission factors. Evaluation of transfer credit for each student is completed upon receipt of all documents required for admission. The School of Pharmacy requires at least one-third of credit hours toward the degree be earned at TTUHSC, following the institution's policy.

SUMMARY

TTUHSC requires that at least one-third of the credits toward a graduate or professional degree are earned through instruction provided by TTUHSC. This requirement is included in each school's catalog and applies to all graduate and professional regardless of delivery modality or location. Prior to graduation, the Registrar's Office performs an audit for all graduating students to ensure that this and all other relevant degree requirements have been met.

9.6

Post-baccalaureate Rigor and Curriculum

Post-baccalaureate professional degree programs and graduate degree programs are progressively more advanced in academic content than undergraduate programs, and are structured (a) to include knowledge of the literature of the discipline and (b) to ensure engagement in research and/or appropriate professional practice and training.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

As a comprehensive health sciences center, the Texas Tech University Health Sciences Center (TTUHSC) offers many graduate degree programs at the master's, doctoral, and professional levels across its five schools. Undergraduate degree programs are offered only in the School of Health Professions and School of Nursing. As expected, graduate-level degree programs are progressively more advanced in academic content than undergraduate programs, and are structured (a) to include knowledge of the literature of the discipline and (b) to ensure ongoing engagement in research and/or appropriate professional practice and training. Although specific examples are highlighted in the subsequent narrative, the catalogs for each school are also provided below, if needed.

2017-2018 Catalogs
Graduate School of Biomedical Sciences
School of Health Professions
School of Medicine
School of Nursing
School of Pharmacy

CURRICULAR ADVANCEMENT
School of Health Professions
The graduate degrees offered at TTUHSC are progressively more advanced than the undergraduate degrees offered in similar disciplines. *Table 9.6-A*, for example, lists the courses required for comparable programs in the School of Health Professions. Course descriptions from relevant catalog pages are provided for reference.

Table 9.6-A. Comparison of Course Requirements Across Degree Levels in the School of Health Professions

Bachelor of Science in Speech, Language and Hearing Sciences	Master of Science in Speech-Language Pathology	Doctor of Audiology
Introduction to Audiology	Foundations	Psychoacoustics and Auditory Perception
Introduction to Speech-Language Pathology	Research Principles and Application	Fundamentals of Sound and the Auditory System
Language Development	Pediatric Language Assessment & Intervention	Diagnostic Audiology
Anatomy & Physiology	Adult Language Assessment & Intervention	Audiology Practice Management
Phonetics	Childhood Speech Sound Disorders	Clinical Amplification
Speech Science	Motor Speech Disorders	Pediatric Audiology (and Lab)
Hearing Science	Dysphagia	Introduction to Clinical Research
Language Disorders	Professional Issues in Speech-Language Pathology	Applications of Clinical Amplification
Articulation & Phonological Disorders	Clinical Instrumentation & Technology for Communication Disorders	Counseling
Clinical Audiology	Aural Rehabilitation (and Lab)	Speech-Language Development and Disorders
Clinical Methods	Voice Disorders	Research Principles and Application
Clinical Observation	Fluency Disorders	Aural Rehabilitation
Interpersonal Communication for Healthcare Professionals	Evidence-Based Practice in Communication Disorders	Balance Function I, II (and Lab)
Neural Bases of Speech & Language Disorders	Augmentative & Alernative Communication	Implantable Devices in Audiology
Special Topics or Diagnostic Audiology	Capstone Course	Evidence-Based Practices in Audiology
Multicultural Issues	Graduate Clinical Practicum I, II, III, IV	Clinical Applications of Aural Rehabilitation
Basic Sign Language for the Health Professions	Master's Thesis (optional)	Auditory Electrophysiology (and Lab)
Assessment Procedures in Speech-Language Pathology		Special Topics in Audiology
		Business Management Practices for Audiologists
		Educational Audiologists
		Clinical Disorders in Audiology
		Advanced Amplification
		Advanced Concepts in Audiology
		Hearing Conservation and Instrumentation
		Auditory Processing Disorders
		Clinical Observation/Clinical Practicum
		Clinical Research I, II
		Clinical Externship
		Advanced Clinical Placement

Another way to demonstrate curricular advancement across degree levels is by reviewing the student learning outcomes for these programs. Examples are highlighted below, and links to the programs' annual assessment plans are also provided. More detailed information about the student learning outcomes for all degree programs is also available in *Standard 8.2.a (Student Outcomes-Educational Programs)*.

Bachelor of Science in Speech, Language and Hearing Sciences. Students will apply knowledge of basic human communication processes required for future academic and/or clinical work.

Master of Science in Speech-Language Pathology. Students will plan and deliver care in diverse settings, using current technology and a variety of service delivery models, including interprofessional practice.

Doctor of Audiology. Students will diagnose and treat hearing and balance disorders of patients across the lifespan and from culturally-linguistically diverse populations.

As stated above, the sample student learning outcome for the undergraduate program requires students to apply knowledge of basic human communication processes, such as language development. Based on the revised model of Bloom's taxonomy of learning in the cognitive domain, the application of knowledge requires the learner to use information in new situations. Remembering and understanding information precede the application of knowledge. Graduate students are expected to demonstrate a higher level of learning through diagnosis and delivery of patient care. Not only do students have to apply knowledge, but they often have to distinguish between parts of a concept, determine how those parts relate to each other, make informed judgments and justify decisions, and combine information in innovative ways. These actions require analysis, evaluation, and creation, which are the highest levels of the revised Bloom's taxonomy of learning.

The School of Health Professions also offers some special program options in which students intentionally pursue an undergraduate and graduate degree in related disciplines. This is often referred to as a dual track option. For example, some students who are enrolled in the Bachelor of Science in Clinical Laboratory Science (CLS) program also seek to complete a Master of Science in Healthcare Administration (MSHA). Doing so prepares them for entry-level practice as clinical laboratory scientists with the knowledge and skills to lead and manage a clinical laboratory.

With a few exceptions, students complete course requirements for the undergraduate degree before pursuing the graduate degree. However, there are two courses in the CLS program which also count towards MSHS degree requirements: (1) *HPCS 4300: Applied Research and Statistics*, and (2) *HPCS 4420: Laboratory Management*. Dual track students enroll in these courses with undergraduate students who are not in the dual track program. In order to receive graduate credit for these courses, they must complete special master's-level projects in both courses. The attached HPCS 4420 syllabus references this additional requirement for dual track students. Each student's project is individualized, so the instructions and objectives vary. In addition, the special project parameters for HPCS 4300 are described in the following instructions. The projects in these undergraduate courses help TTUHSC maintain the expected rigor in the graduate program.

School of Nursing

The graduate degrees offered in the School of Nursing are also progressively more advanced than undergraduate degrees offered in similar disciplines. *Table 9.6-B* lists the courses required for comparable nursing programs across degree levels. Course descriptions from relevant catalog pages are provided for reference.

Table 9.6-B. Comparison of Course Requirements Across Degree Levels in the School of Nursing

Bachelor of Science in Nursing (Traditional)	Master of Science in Nursing (APRN-Family Nurse Practitioner)	Doctor of Nursing Practice
Core Concepts of Nursing Care	Health Informatics for Advanced Nursing Practice	DNP Role Transition I, II
Applied Concepts of Pharmacology	Leadership for Advanced Nursing Practice	Informatics and Technology to Improve Health Care
Health Promotion Across the Lifespan	Population Health Essentials for Advanced Nursing Practice	Practical Application of Statistics in Healthcare
Integrated Learning I, II, III, IV	Health Policy Essentials for Advanced Nursing Practice	Evidence-Based Inquiry I, II
Complex Concepts of Nursing Care I, II	Research for Advanced Nursing Practice	Population Health and Epidemiology
Mental & Behavioral Health Nursing	Evidence for Advanced Nursing Practice	Advancing Policy and Politics in Health Care
Concepts of Community and Public Health Nursing	Foundations for Advanced Practice Nursing Role	Advanced Practice Development
Complex Concepts of Nursing Care-Application to Practice I, II	Diagnostic Methods for Advanced Nursing Practice	Systems Leadership for Effectiveness, Quality, and Safety
Nursing Care of Families with Children	Advanced Health Assessment	Financial Intelligence for the DNP Leader
Scholarship for Evidence-Based Practice	Pharmacotherapeutics for Nurses in Advanced Practice	Health Innovations in Chronic Illness
Leadership in Interprofessional Practice	Advanced Practice Nursing: Application of Pathophysiology	Leading Teams in Complex Health Care Environments
Professional Transitions of Nursing Care	Primary Health Care I, II	Population Health at the Organizational and Public Policy Level
Nursing Care of Families with Children-Application to Practice	Family Nurse Practitioner Practicum	Health Care Economics and Finance
		Integrating Community Mental Health into Health Care Systems
		DNP Project Seminar and Practice Immersion

Examples of student learning outcomes from these programs are also provided below, including links to the programs' annual assessment plans.

> **Bachelor of Science in Nursing.** Students will employ evidence-based practice by integrating current research with clinical expertise and patient values to provide optimal patient care.
>
> **Master of Science in Nursing.** Learners will appreciate the urgency of patient safety in today's healthcare environment, identify safety risks, and take appropriate action to improve safety in healthcare systems.

Doctor of Nursing Practice. Analyze epidemiological, biostatistical, environmental, and other appropriate scientific data to develop culturally relevant and scientifically based health promotion and disease prevention initiatives.

Students who graduate from TTUHSC with a Bachelor of Science in Nursing degree are prepared to take the professional licensure exam to become registered nurses. Therefore, the programmatic student learning outcomes reflect high levels of learning on the cognitive domain because students must be able to provide high quality patient care upon completion of the program. As indicated above, undergraduate students are expected to be able to integrate knowledge of current research with clinical skills to provide patient care. This involves all levels of Bloom's revised taxonomy, including remembering, understanding, applying, analyzing, evaluating in order to develop appropriate plans of care for patients. Graduate nursing students are expected to build on this strong foundation of knowledge and skills in order to provide an even more advanced level of patient care and assume leadership roles in complex healthcare systems.

KNOWLEDGE OF THE LITERATURE

In addition, the graduate and professional degree programs at TTUHSC are structured to include knowledge of the literature in the discipline. This is a common expectation of all educational programs at the institution, but several specific examples are highlighted below.

In the School of Health Professions, the **Master of Science in Clinical Rehabilitation Counseling** program prepares graduates to provide and coordinate services for individuals with a range of physical, psychiatric, and/or developmental disabilities. Rehabilitation counselors work to assist clients in gaining the skills and resources necessary to obtain meaningful work and function in life as independently as possible. As indicated in the degree plan, students complete 60 semester credit hours in coursework designed to lay the foundation in the essential knowledge, skills, and attitudes necessary for competent practice in the field. One of the core courses in the curriculum is *HPCR 5301: Introduction to Counseling and Ethical Development*. This is a foundational course that references key literature in the discipline, including the history of the counseling profession, professional accreditation and licensure requirements, and ethical decision making. Throughout the curriculum, students build on this general foundation as the subsequent courses explore these broad topics in much more detail.

In the School of Pharmacy, moreover, the curriculum for the **Doctor of Pharmacy** degree reflects program accreditation standards, best practices in the pharmaceutical industry, and current trends in the literature. More specifically, students take courses that are aligned directly to the literature of the discipline. *PHAR 1171: Early Experiences in Drug Information* is a course requirement in the first semester of the program. This course introduces students to basic drug information skills, provides practical experience in retrieving medical literature, and provides opportunities to respond to drug information inquiries. During the second year of pharmacy school, students take *PHAR 1241: Clinical Research and Drug Literature Evaluation.* This course aims to expose students to the fundamentals of experimental design, implementation, and data analysis relevant to pharmaceutical clinical investigations. One of the primary outcomes of the course is for students to be able to evaluate critically both peer-reviewed and non peer-reviewed literature.

ENGAGEMENT IN RESEARCH AND/OR PROFESSIONAL PRACTICE

Research

Research and patient care are major components of the TTUHSC mission. Therefore, all educational programs have explicit expectations for students to participate in research and/or professional practice to varying degrees. Several examples are described in the subsequent narrative.

In the Graduate School of Biomedical Sciences, all students in the **Doctor of Philosophy in Biomedical Sciences** program must take five core courses during the first semester of enrollment. One of these courses is *GSBS 5275: Introduction to Biomedical Research*, which introduces students to the fundamental principles and techniques in basic biomedical research. During the first four weeks of this course, advisors present information about specific concentrations and discuss research opportunities within each concentration. Concentrations include: (1) biochemistry, cellular, and molecular biology; (2) immunology and infectious diseases; (3) translational neurosciences and pharmacology; and (4) molecular biophysics. Then students complete two five-week lab rotations based on their research interests and faculty availability.

Once a research interest has been identified, students establish a formal degree plan with oversight and approval by the student's advisory committee. Doctoral students complete 72 semester credit hours of didactic coursework, 12 hours of laboratory research, and 12 hours of dissertation research to fulfill program requirements. Conducted under the supervision of the committee, the dissertation requires independent study by the student and culminates in an oral and written defense of his/her research. Students are evaluated on many criteria, including a review of relevant literature, appropriateness of methodology, discussion of findings, and overall contribution to the research field. Refer to the sample dissertation rubric.

Research is an expected requirement of a Doctor of Philosophy program, as described above, but it is also integrated into other graduate and professional degree programs at TTUHSC. For example, medical students are offered multiple opportunities and strongly encouraged to participate in research activities while pursuing a **Doctor of Medicine** degree. As part of the Medical Student Summer Research Program, students may participate in biomedical or clinical research during the eight-week summer break between Years 1 and 2. Students complete research projects in an area of interest and are expected to present a poster on their research findings during Student Research Week, which is organized each spring semester by the Graduate School of Biomedical Sciences.

Professional Practice

In addition to participating in research activities, medical students also participate in extensive professional practice throughout the curriculum. Refer to the degree plan for the **Doctor of Medicine**. The first and second years of medical school focus on the acquisition of knowledge related to the scientific basis of medicine, as well as an introduction to clinical medicine. In Years 3 and 4, students engage primarily in a variety of clinical experiences. In Year 3, each student focuses on one clinical discipline at a time and rotates though six eight-week clerkships in internal medicine, surgery, family medicine, obstetrics/gynecology, pediatrics, and psychiatry. In Year 4, students complete a rotation in geriatrics and three selective experiences in ambulatory care, critical care, and a sub-internship. The remainder of the fourth year curriculum consists of five months of broadly-based elective experiences.

Medical students are not the only TTUHSC students to engage in professional practice as part of the formal curriculum. Undergraduate and graduate nursing students also have multiple opportunities to do so, and these experiences are not limited to students enrolled in programs with a heavy clinical emphasis. Consider, for example, the administration track of the leadership concentration for the **Master of Science in Nursing**

degree. This specialization prepares students to assume nursing leadership and management positions in a variety of healthcare settings. Students who enter this program must have a minimum of one year of experience as a registered nurse. The degree plan includes coursework in health policy, law, finance, leadership, and informatics. The program culminates in a practicum in *NURS 6010: Application of Administrative Practice*, which requires a student to create a project designed to improve administrative practice in a participating clinical agency. A project example is provided for reference.

PROCESSES TO ENSURE PROGRAM RIGOR

Various processes and procedures exist at TTUHSC to ensure that all educational programs maintain the content and rigor appropriate for the degree level. The response for *Standard 9.1 (Program Content)* describes relevant institutional policies and state mandates in more detail. Also explained in *Standard 9.1*, most of TTUHSC's degree programs are accredited by specialized accrediting bodies. Refer to the list of current accreditors. These external bodies verify that TTUHSC's programs are appropriate to higher education, embody a coherent course of study, and reflect adequate rigor. Collectively, institutional policies, state mandates, and accreditation standards influence the specific processes and procedures implemented at the school level. In the School of Nursing, for example, *SON OP 40.105 (Curriculum Development-Curriculum Revision Policy)* describes the methods for developing and revising the curriculum for graduate nursing programs. As is the case in other TTUHSC schools, such processes begin with individual faculty members and culminate with approvals by program directors and/or relevant committees. Refer to *Standard 10.4 (Academic Governance)* for additional information.

SUMMARY

TTUHSC offers upper-level coursework only in a small number of undergraduate programs in the School of Health Professions and School of Nursing. As described above, the graduate and professional degree programs offered in similar disciplines are progressively more advanced in academic content. Furthermore, TTUHSC's graduate and professional degree programs are structured to include knowledge of the literature of the discipline and to ensure engagement in research and/or appropriate professional practice and training. Internships, clinical placements, and practica are very common, and often expected by program accreditors, in a health-related institution. For these reasons, TTUHSC is compliant with the current requirement.

9.7

Program Requirements

The institution publishes requirements for its undergraduate, graduate, and post-baccalaureate professional programs, as applicable. The requirements conform to commonly accepted standards and practices for degree programs.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) defines and publishes requirements for its undergraduate, graduate, and post-baccalaureate professional programs in the respective school catalogs and on school and program websites. Each program identifies required courses, including discipline-specific courses required for the given major, electives, general education courses, capstone courses, and any other courses needed to meet program requirements. All program requirements are developed through faculty committee processes to ensure such requirements conform to commonly accepted practices. When applicable, TTUHSC educational programs also adhere to disciplinary accreditation standards.

EDUCATIONAL PROGRAMS

Each TTUHSC School catalog, which includes individual program requirements, is published on the TTUHSC website.

2017-2018 Catalogs

Graduate School of Biomedical Sciences
School of Health Professions
School of Medicine
School of Nursing
School of Pharmacy

The Schools of Health Professions and Nursing are the only schools that offer undergraduate degrees at TTUHSC, and neither school offers lower-division courses for undergraduates. Each of TTUHSC's baccalaureate programs has specific prerequisites for admission that meet core curriculum requirements set forth by the Texas Higher Education Coordinating Board (THECB) *(Title 19 Texas Administrative Code, §4.28* and *Title 3 Texas Education Code, §61.822).* According to these regulations, every public institution of higher education in Texas must establish a core curriculum of at least 42 semester credit hours. These hours are to be distributed across the component areas of communication, mathematics, natural sciences, humanities/arts, and social/behavioral sciences. The TTUHSC Core Curriculum, which is publicized in the TTUHSC General e-Catalog, the School of Health Professions Catalog, and the School of Nursing Catalog, reflects these requirements and thus ensures an appropriate breadth of knowledge in general education for TTUHSC undergraduate students. For more information about general education requirements at TTUHSC, please see *Standard 8.2.b (General Education)*. Furthermore, in addition to completing the 42-hour core curriculum, students completing their first undergraduate degree at TTUHSC must complete any prerequisite coursework that is required for their chosen degree program.

Additionally, for all schools, graduate program faculty ensure the overall integrity of the school's programs by determining general degree requirements in accordance with standards established by the THECB via *Title 19 Texas Administrative Codes, §5.45 and §5.46*.

Graduate School of Biomedical Sciences. In the Graduate School of Biomedical Sciences (GSBS), members of the graduate faculty participate at every level of curriculum design and assessment through an organized structure of faculty committees, including the Graduate Council, graduate program committee, course evaluation committee, and the program review committee.

General program requirements are published on the school's website and in the school's catalog (master's degree and doctoral degree program descriptions). The Graduate Council, which is the governing body for all of the school's programs, comprise of elected representatives from all of the graduate programs and concentrations. The council serves as an advisory body to the school's dean on all matters related to graduate programs. Proposals for new graduate programs typically originate with program faculty at the departmental level and are forwarded to the Graduate Council for review and approval in accordance with the GSBS Programs (New, Termination and Changes in Delivery Format) policy. Attached is a copy of Graduate Council meeting minutes at which a new program was reviewed (Graduate Council minutes June 9, 2015).

Each graduate program and concentration in the school has a graduate committee composed of faculty representatives elected by the graduate faculty in the given program/concentration. Under the guidance of graduate committees, faculty members in each graduate program/concentration identify the specific requirements and experiences for students in their program.

The identifiable set of experiences and programmatic requirements for each program are published in program/concentration guidelines, which are posted on the GSBS website and in the GSBS catalog. See, for example, guidelines for Biomedical Sciences Ph.D. - Biochemistry, Cellular & Molecular Biology. Faculty members in each program have also worked through their respective graduate committees to establish student learning outcomes and written assessment plans for each graduate program using the WEAVEonline assessment management system. Attached is a sample assessment report for the Ph.D. in Biomedical Sciences program.

The Course Evaluation Committee is a school-wide faculty committee that reviews all courses offered by the school in accordance with the GSBS Course Evaluation and Review policy. The Course Evaluation Committee is an advisory committee to the program-level graduate committees and the Graduate Council. Results of course evaluations are used to assess program effectiveness, identify potential areas for improvement, and update curriculum and course content. Course evaluations are conducted at the end of every spring and fall semester. Refer to the example Course Evaluation Committee meeting minutes.

In addition to the regular course evaluations, the school conducts a comprehensive review of each graduate program at least once every seven years in accordance with the GSBS Graduate Academic policy and procedures. An internal program review committee is appointed by the Dean of the school and includes one graduate faculty member from each program/concentration, excluding faculty of the program being reviewed, plus two students. External reviewers may also be asked to participate. An example is attached for the Masters in Biotechnology program.

The Graduate School of Biomedical Sciences recruitment brochure lists the disciplines in which master's and doctoral programs are offered. The school's website is also identified in the brochure. The school also publishes an executive summary, which includes the school's mission statement and provides additional information on GSBS programs.

School of Health Professions. The School of Health Professions (SHP) offers five baccalaureate degree programs, and several graduate degree programs, including both master's and doctoral programs. These programs are offered through the school's five departments, which include the Department of Speech, Language, and Hearing Sciences; the Department of Laboratory Sciences and Primary Care; the Department of Rehabilitation Sciences; the Department of Healthcare Management and Leadership; and the Department of Clinical Counseling and Mental Health. The course content for all the school's degree programs is determined by program faculty under the guidance of the relevant Program Director. Curricular changes also are subject to review and approval by the appropriate department chair and by the school's Academic Affairs Committee and Executive Committee. Each course in the SHP is designed to meet program requirements. See, for example, the attached 2016 Doctor of Physical Therapy (DPT) Faculty Conference Curriculum Changes, corresponding 2017 Memo of Curriculum Changes for the DPT Program, and 2017 DPT Academic Affairs Meeting Minutes regarding a change to the program's curriculum. The faculty, in coordination with the program director, are responsible for ensuring the establishment and assessment of learning outcomes for each program.

The majority of the school's academic programs are subject to professional accreditation, and the published guidelines and standards of the relevant accrediting body are the greatest factor in determining appropriate academic standards for a given program (SHP Accrediting Organizations for Degree Programs). Program faculty have defined student learning outcomes for each of the school's degree programs based on the guidelines and standards of relevant accrediting bodies. Faculty also consult advisory committees of professionals within the field and guidelines of other relevant professional organizations to ensure that the content of the curriculum is consistent with industry and professional standards in the given discipline.

Faculty analyze data from relevant professional licensure examinations—including pass scores, test questions, and practice examinations—to ensure that the content of the curriculum is consistent with industry and professional standards in the given discipline. The resulting program requirements are published in the school catalog, which includes the school's mission and educational goals, an overview of the curriculum, course descriptions, and admission requirements for each of the degree programs. Additionally, academic and professional requirements are published in the respective departmental and program student handbooks. These handbooks provide more specific information about professional and academic standards, clinical requirements, professional expectations, research requirements and guidelines, and requirements for graduation. The departmental handbooks are available online. The school's recruitment materials include information about admission requirements and provide brief overviews of the school's educational programs. Recruitment brochures, for example, the SHP Viewbook, also refer students to the school's website for additional information.

School of Medicine. The School of Medicine awards the Doctor of Medicine (MD) in accordance with the standards for educational programs established by the Liaison Committee on Medical Education (LCME). LCME standards provide the framework through which medical schools design and maintain a curriculum that is consistent with the requirements and expectations for the practice of medicine in the U.S. The LCME requires schools to identify the competencies to be attained by medical students, defining achievement of educational objectives in terms of the knowledge, skills, behaviors, and attitudes students are expected to demonstrate.

The Educational Policy Committee (EPC) is a faculty committee responsible for the oversight and management of the curriculum. EPC membership comprise basic science faculty from the Lubbock campus, clinical science faculty from Amarillo, Lubbock, Permian Basin, and the Lubbock-Covenant Health System, plus resident and student representatives from each campus. SOM administrative leaders serve as ex-officio members of the

committee. The EPC develops and updates the *Institutional Vision, Goals, and Objectives* that outline expected learning outcomes, which are consistent with the mission of TTUHSC.

The MD curriculum is designed to provide sound interdisciplinary training that integrates basic sciences knowledge with clinical skills. Most students follow a standard four-year program. Year 1 focuses on normal physiology and is divided into four interdisciplinary blocks: clinically-oriented anatomy, biology of cells and tissues, structure and function of major organ systems, and host defense. First-year medical students are also required to participate in a longitudinal block in which they learn foundational skills for patient assessment. The curriculum in the second year focuses on abnormal physiology. Year 2 features an interdisciplinary organ-based systems approach, combining principles and content from microbiology, pathology, neurosciences, and clinical medicine. Students also continue their clinical training in the offices of practicing physicians.

The curricular focus in Year 3 is on patient assessment. Some students remain on the Lubbock campus. Others move to the Lubbock-Covenant Health System or the Amarillo and Odessa campuses. Each student focuses on one clinical discipline at a time and rotates through six eight-week clerkships in internal medicine, surgery, family medicine, obstetrics/gynecology, pediatrics, and psychiatry. In Year 4, students complete a two-week rotation in geriatrics; a two-week selective experience in an ambulatory setting, a four-week selective in critical care, and a four-week sub-internship. The remainder of the fourth year curriculum consists of five months of broadly-based elective experiences.

A select number of students participate in a three-year Family Medicine Accelerated Track that follows the standard degree plan during Years 1 and 2, with students completing an in-depth, longitudinal family medicine clerkship in Year 2 and all other clerkships in Year 3.

LCME standards require that medical education programs include at least 130 weeks of instruction. The standard medical education track offered by the School of Medicine is completed in 158 weeks, and the Family Medicine Accelerated Track requires 134 weeks.

The design and structure of the medical education curriculum and program learning objectives are published on the SOM Office of Academic Affairs website and are included in the syllabi of each course. Syllabi are available online for easy student access. Objectives are also included in the School of Medicine Catalog and are described in orientation sessions at the beginning of Years 1, 2, and 3.

Fully accredited medical education programs are reviewed through an institutional self-study and survey team site visit every eight years. The most recent site visit to the School of Medicine was conducted in March 2017, and full accreditation was renewed through 2025 (LCME Accreditation Letter, June 2017).

School of Nursing. The School of Nursing (SON) offers undergraduate and graduate degree programs. The Bachelor of Science in Nursing (BSN) degree is offered through two undergraduate departments. The department for Traditional Undergraduate Studies offers a BSN through traditional classroom and clinical activities. The department for Non-Traditional Undergraduate Studies offers an RN to BSN track for registered nurses who seek to earn a BSN as well as an Accelerated BSN track. The Accelerated BSN track offers a program of study with two admissions routes. The Second Degree BSN route is for students with an earned baccalaureate in another field who desire to earn a BSN. The Veteran to BSN route is for veterans with military medical experience. Undergraduate faculty participate at every level of curriculum design, and assessment through an organized structure of faculty councils for each BSN degree track.

The respective undergraduate program councils serve as the decision-making body for the undergraduate degree tracks. Council membership consists of faculty teaching in the respective BSN track. Input from non-

traditional students in the Accelerated BSN track is solicited through student representatives on Accerelated BSN (ASBN) Program Council, including one Second Degree BSN student and one Veteran to BSN student. Both RN-BSN and Accelerated BSN Non-Traditional students also provide input through the Non-Traditional Undergraduate Department Chair's "Ideas for the Chair" student forum link via the student management system, SAKAI. In this tool, students can send an email expressing improvements or concerns directly with the Department Chair. Students are introduced to the "Idea's for the Chair" link during the virtual orientation, and the availability of the link is reinforced via the communication of the student council representatives with other students. When an Idea email is received the department chair then shares the input with the respective non-traditional program councils for review and discussion. The outcome of those discussions is then shared with students who submitted the ideas. Traditional undergraduate students provide input through representatives on the Traditional Undergraduate Department Chair's Undergraduate Advisory Council, which includes a junior and a senior student representative for each campus (Abilene, Lubbock, and Odessa). The department chair shares input from these students with the Traditional Undergraduate Council. The undergraduate program councils review and evaluate programmatic data and develop and implement policies and procedures to ensure the attainment of the school's mission and goals. The councils work collaboratively with the Associate Dean for Outcomes Management and Evaluation to conduct a comprehensive program of curriculum evaluation that includes regular course evaluation that includes regular course evaluations (*SON OP 50.160, End of Course Faculty Assessment and Improvement Plan Policy*). Faculty are given authority to initiate curricular changes at the programmatic level. Such changes are then forwarded for review and approval through the respective programmatic council in accordance with *SON OP 30.040, Curriculum Development - Curriculum Revision Policy*. An example of meeting minutes for the Traditional BSN Council for February 13, 2017 is provided.

Through the faculty governance council structure, the School of Nursing undergraduate faculty have defined a purpose statement, and student learning outcomes for the BSN degree tracks based on the Institute of Medicine's recommendations for health professions education. The School of Nursing faculty have defined a clearly identifiable set of experiences for each degree track. Faculty develop course objectives, content, and expected student learning outcomes based on the THECB's core curriculum and THECB Nursing Field of Study requirements, the Texas Board of Nursing Differentiated Essential Competencies, and on requirements and guidelines of professional nursing organizations, including, for example, the American Association of Colleges of Nursing, which publishes Standards for Accreditation of Baccalaureate and Graduate Nursing Programs and The Essentials of Baccalaureate Education for Professional Nursing Practice. Each BSN degree track is designed to meet the relevant state and professional guidelines, and the resulting degree requirements are published in the School of Nursing Catalog. Course objectives, content, and expected student learning outcomes are published in course syllabi, course packets, and the course map for each course.

The school's admission requirements and brief overviews of the undergraduate degree tracks are provided on the respective BSN degree-track websites. See, for example, the School of Nursing Traditional Bachelor of Science in Nursing program website. The coursework required for the School of Nursing's undergraduate degree programs is consistent with the requirements and expectations of the nursing education community as defined by the Commission on Collegiate Nursing Education (Accrediting Organizations for Degree Programs).

Graduate degrees offered by SON include the Master of Science in Nursing (MSN) and Doctorate of Nursing Practice (DNP). Graduate faculty participate at every level of curriculum design and assessment through an organized structure of faculty councils for each graduate program. The graduate program councils serve as the decision-making bodies for the graduate degree programs and are responsible for reviewing and revising as necessary the curricula for the degrees. Graduate student representatives, who have the privilege of voice and vote except on issues related to admissions or progressions, serve on the respective graduate councils, and

MSN student representatives and DNP student representatives serve on the Graduate Department Chairs' Graduate Advisory Councils. Faculty are given authority to initiate curricular changes at the programmatic level, and the Masters Studies and Doctoral Studies Councils are responsible for reviewing suggested changes and making recommendations to the respective graduate council. The governance process facilitates the faculty functions as primary developer, implementer, and evaluator of the curriculum while ensuring the integrity of the curriculum. Faculty recommendations are submitted to the respective graduate councils for approval in accordance with the school's graduate program policies, including *SON OP 40.105 Curriculum Development - Curriculum Revision* and *SON OP 40.100 Course Development/Course Revision*.

Two administrative liaisons serve on each graduate council with the privilege of voice but not vote. The graduate councils review and evaluate recommendations from faculty and programmatic data, and they develop and implement policies and procedures to ensure the attainment of the school's mission and goals. The councils work collaboratively with the Associate Dean for Outcomes Management and Evaluation to conduct a comprehensive program of curriculum evaluation that includes regular course evaluations (*SON OP 50.160, End of Course Faculty Assessment and Improvement Plan Policy*). A representative example of an MSN Council meeting minutes is attached (MSN Council Minutes October 10, 2017, highlighted, page 2 and 3).

The School of Nursing faculty have also defined a clearly identifiable set of experiences for each graduate program. Faculty develop course objectives, content, and expected student learning outcomes based on guidelines of professional nursing organizations, including, for example, the American Association of Colleges of Nursing, which publishes Standards for Accreditation of Baccalaureate and Graduate Nursing Programs, Essentials of Master's Education for Advanced Practice Nursing, and Essentials of Doctoral Education for Advanced Practice Nursing. Each graduate program in the School of Nursing is designed to meet relevant professional guidelines, and the resulting degree requirements are published in the School of Nursing Catalog (MSN Leadership and Nurse Practitioner Studies degree requirements and Doctorate of Nursing Practice degree requirements). The school's admission requirements and brief overviews of the graduate programs are provided on the respective graduate track websites. See, for example, the School of Nursing Master of Science in Nursing FNP program. The coursework required for the School of Nursing's graduate degree programs is consistent with the requirements and expectations of the nursing education community as defined by the Commission on Collegiate Nursing Education (Accrediting Organizations for Degree Programs).

School of Pharmacy. In the School of Pharmacy, the Curricular Affairs Committee is responsible for continuing evaluation of the professional pharmacy education curriculum and for developing recommendations regarding curricular revision, additions, or other alterations. Responsibilities of the Curricular Affairs Committee are defined in the School of Pharmacy Faculty Bylaws. The membership of the Curricular Affairs Committee includes the Associate Dean for Academic Affairs (ex officio with a vote), who serves as the permanent secretary to the committee; two members of the faculty from each academic department who are appointed to the committee by the dean; and no more than one professional pharmacy student per class, nominated by the Pharmacy Student Senate. Professional student committee members have a total of one vote. The committee reports its minutes and recommendations to the school's Executive Committee through the Associate Dean for Academic Affairs and to the faculty as a whole. Curricular changes are reviewed and approved at meetings of the full faculty in accordance with *SOP OP 80.P.01, Changes to the Professional Curriculum*. Meeting minutes documenting the Curricular Affairs Committee review of Curriculum/Course Review Procedures is attached (Curricular Affairs Committee minutes February 19, 2016).

The school's faculty has identified a set of competencies that students must possess to graduate with the Doctor of Pharmacy degree. These overall curricular competencies are further defined in terms of the level of mastery expected upon the completion of each course within the curriculum. The School of Pharmacy uses the Pharmacy Curriculum Outcomes Assessment (PCOA), developed and delivered by the National Association of

Boards of Pharmacy, as their primary assessment tool (2018 PCOA School Report). The PCOA assesses an individual student's overall performance in several key curricular areas based on how far along they are in our curriculum. It also provides the School of Pharmacy with data on how our students are performing compared to other schools in the nation. The purposes of the assessment are to help students evaluate their personal and professional development, identify areas of needed remediation, and help the faculty monitor the overall performance of the curriculum in achieving the expected outcomes. The faculty have also defined a clearly identifiable set of experiences for students in the program, as reflected in the degree requirements for the Doctor of Pharmacy program published in the school catalog.

The School of Pharmacy recruitment brochure includes information about the school's admission requirements and provides a brief overview of the educational program. The brochure refers students to the school's website for additional information. The School of Pharmacy's curriculum is consistent with the requirements and expectations of the pharmacy education community as defined by the Accreditation Council for Pharmacy Education (Accrediting Organizations for Degree Programs).

INSTITUTION-WIDE CO-CURRICULAR REQUIREMENT

Interprofessional Education (IPE)

TTUHSC believes that health care professionals, who learn together, work better together. Interprofessional practice and education (IPE) is a powerful tool to establish links between the education system and the health care delivery system. As a leader in health care education, TTUHSC's overarching goal for IPE is to prepare all health professional students for deliberately and collaboratively working together to reach a common goal of well-coordinated, high-quality patient-centered care. Classroom instruction alone is not enough to prepare students for collaborative practice. There must be opportunities for multiple professions working together inherent in the process; the focus of IPE is students, faculty, and preceptors linking their own professional roles with students, faculty, and preceptors in other professions to promote teamwork for safe, quality, and cost-effective care.

To ensure that our learners will be able to work effectively in teams, we need to educate them in learning environments where the model is interprofessional collaborative care. To this end, all incoming TTUHSC students, regardless of school affiliation, are required to complete the IPE Curriculum prior to graduation administered by the Office of Interprofessional Education. The IPE Curriculum is composed of two components including successful completion of a non-credit online course (>70% accuracy on the knowledge post-test) and successful participation in at least one registered IPE learning activity. The IPE Core Curriculum is a non-credit program requirement for all students. Both components of the IPE Curriculum are tracked through a student's degree plan and appear on their transcript as a non-credit program requirement. Failure to complete the IPE Curriculum will result in delayed graduation. The IPE Curriculum requirements are published on the TTUHSC IPE website.

SUMMARY

All TTUHSC undergraduate, graduate, and professional program requirements conform to commonly accepted standards and practices for degree programs. In addition, the institution publishes general education and program completion requirements in each school's catalog, on the institution's website, and in other official documents.

10.1

Academic Policies

The institution publishes, implements, and disseminates academic policies that adhere to principles of good educational practice and that accurately represent the programs and services of the institution.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) publishes academic policies that adhere to principles of good educational practice and disseminates these policies to students, faculty, and other interested parties through publications that accurately represent the programs and services of TTUHSC. Academic policies apply to all students regardless of a program's mode of delivery or geographical location.

DEVELOPMENT AND APPROVAL OF ACADEMIC POLICIES AND PROCEDURES

TTUHSC faculty members assume primary responsibility for determining good educational practice and perform a substantive role in developing and reviewing academic policies. Faculty participation helps ensure that the institution establishes sound academic practices that are within the context of TTUHSC's mission, which is to "enrich the lives of others by educating students to become collaborative health care professionals, providing excellent patient care, and advancing knowledge through innovative research." In addition, TTUHSC's academic policies adhere to the standards of relevant program accrediting bodies. The development and approval of institutional and school-specific policies and procedures will be described in subsequent paragraphs.

Institutional Academic Policies and Procedures

TTUHSC Operating Policies and Procedures (OP's). *HSC OP 10.01, Operating Policies and Procedures for TTUHSC,* establishes a standard process for developing, reviewing, revising, and publishing institution-wide policies and procedures. This process is facilitated by the Office of the Vice President and Chief Financial Officer (VP/CFO). Using the format specified in the policy, a department head may initiate the formal process of creating a new OP. Upon review and approval by the responsible Dean or Vice President, the new policy is sent for final approval to the responsible reviewers listed in the policy. Although an OP can be revised at any time, all institution-wide OP's are also reviewed during the regular review cycle stated in the OP.

For example, *HSC OP 60.11, New Degree Programs and Certificates, Implementing Significant Curricular Changes, and Degree and Certificate Program Termination* is scheduled to be reviewed on August 1 of each even-numbered year by the VP/CFO, Executive Vice President of Academic Affairs (EVPAA), and Deans. In compliance with this review process, the Office of the EVPAA initiated a review last on July 15, 2016, and requested revisions from the appropriate individuals. The signature sheets document the subsequent reviews by the EVPAA and Deans. The revised policy was published on September 30, 2016.

The Office of the VP/CFO publishes approved HSC OP's on the institution's OP website. The majority of the academic policies and procedures are located in *HSC OP 60, Faculty and Clinic Administration* and *HSC OP 77, Student Services*. Whenever new OP's are published or revised, the Office of the VP/CFO also posts a notice on the TTUHSC Announcements and maintains a comprehensive list of all recently published OP's online.

TTUHSC General e-Catalog. The TTUHSC General e-Catalog is a dynamic web-based publication that links to key student resources, including institution-wide departments, school websites, school-specific catalogs, and various policies and procedures. The home page of the e-catalog is reviewed and updated at least twice per year by personnel in the Office of Institutional Effectiveness and Accreditation under the direction of the Executive Vice President for Academic Affairs. The secondary pages on the e-catalog are reviewed and regularly updated by personnel in relevant departments. For example, under the Prospective Students sub-heading, the e-catalog references *HSC OP 77.17, Core & Transfer Compliance Policy*, which outlines the procedures for meeting core curriculum requirements and transferring credits to TTUHSC. In adherence with the review process described above for TTUHSC Operating Policies and Procedures, this policy is reviewed on May 1 every year by the Registrar. It was last published on June 29, 2018.

TTUHSC Student Handbook. The TTUHSC Student Handbook, which includes the Code of Professional and Academic Conduct, describes expectations for student behavior, processes for filing grievances, and procedures for disciplinary action. It is posted on the Student Services website. The handbook is reviewed annually by the Assistant Vice President of Student Services, Registrar, and Financial Aid; student affairs leaders in each school; specific support services departments; student government officers; and general counsel. Per *Section 05.01.2, Regents' Rules*, any proposed revisions to the handbook must be approved by the Board of Regents of the Texas Tech University System (TTU System), as demonstrated by the May 2018 meeting agenda.

School-Based Academic Policies and Procedures

Detailed academic policies regarding issues such as program-specific admissions requirements, attendance, grading, academic standards, and academic review are defined by individual schools and programs. Schools are also required to define the applicability of their academic policies to students engaged in the school's distance education programs. Schools publish academic policies in student handbooks and faculty handbooks, which are located on the respective school websites. Students in each school sign an acknowledgment form that they are aware of the documents. For more information on program requirements in general, see *Standard 9.7 (Program Requirements)*.

The following table lists school-based faculty committees responsible for developing, reviewing, and approving academic policies:

Table 10.1-A. School-Based Faculty Committees Responsible for Development and Review of Academic Policies

Faculty Review Committees
Graduate School of Biomedical Sciences (GSBS)
Graduate Program Committee
Graduate Council
School of Health Professions (SHP)
Academic Affairs Committee
Executive Committee
Educational Technology Committee
School of Medicine (SOM)
Educational Policy Committee
Education Operations Committee

Clinical Education Operations Committee
Student Promotions and Professional Conduct Committee
Student Affairs Committee
School of Nursing (SON)
Traditional Undergraduate Council
RN-BSN Council
Accelerated Undergraduate Council
MSN Council
DNP Council
School of Pharmacy (SOP)
Curricular Affairs Committee
Student Admissions Committee
Student Progressions Committee
Student Assessment of Learning Committee

The following are representative examples of publications describing faculty responsibility and procedures for developing, reviewing, and approving academic policies:

- School of Health Professions Faculty Bylaws
- School of Medicine, Educational Policy Committee Bylaws
- School of Pharmacy Faculty Bylaws

In addition, the following are representative examples of minutes from meetings at which school-based academic policies were modified or approved:

- School of Nursing - Traditional Undergraduate Council Minutes for modification of the Traditional Undergraduate Admissions Policy February 13, 2017, p. 3.
- Graduate School of Biomedical Sciences - Annual Faculty Meeting meeting for modification on qualifying exams.

See also, for reference, a redacted Grade Appeal Form from the School of Nursing following *SON OP 60.84, Graduate Appeal Policy* and a redacted Official Withdrawal Checklist required for each withdrawal from the School of Health Professions as examples of academic policy implementation. For more information on specific grading policies, please see *Standard 10.2 (Public Information)*.

SUMMARY

As detailed in the sections above, and in alignment with the mission to educate students, TTUHSC develops and publishes academic policies that accurately represent the programs and services of TTUHSC and adhere to principles of good educational practice. These policies establish a learning environment that is conducive to the personal and intellectual development of its students. Institutionally, this process is facilitated by the Office of the Vice President and Chief Financial Officer (VP/CFO). *HSC OPs Section 60, Faculty and Clinic Administration* and *HSC OPs Section 77, Student Services*, the TTUHSC Student Handbook, and the TTUHSC General Catalog are all published on the TTUHSC website, where they may be easily accessed by students, faculty, and other interested parties. These policies are periodically reviewed, and coordination is provided by

the Office of Institutional Effectiveness and Accreditation under the direction of the Executive Vice President for Academic Affairs; the Assistant Vice President of Student Services, Registrar, and Financial Aid; student affairs leaders in each school; specific support services departments; student government officers; and general counsel, which is a pathway that provides sufficient checks and balances to adhere to the standards of all relevant program accrediting bodies. School-specific academic policies are developed through faculty committees and are published in respective school catalogs and handbooks.

10.2

Public Information

The institution makes available to students and the public current academic calendars, grading policies, cost of attendance, and refund policies.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) makes available current academic calendars, grading policies, cost of attendance, and refund policies to students and other constituents through several online resources. These resources are available to traditional students at each geographical location, those enrolled in distance education, and the public. In addition, these policies adhere to principles of good educational practice as evidenced in *Standard 10.1 (Academic Policies)*.

ACADEMIC CALENDARS

Academic calendars are published on the TTUHSC Student Services website, Office of the Registrar website and individual school websites, as listed below:

2017-2018 Academic Calendars
Graduate School of Biomedical Sciences
School of Health Professions
School of Medicine
School of Nursing
School of Pharmacy

GRADING POLICIES

Institutional policies governing grades and grading are published in the online TTUHSC Institutional Student Handbook which is updated and published annually on the TTUHSC Student Services website. In addition, the Office of the Registrar has an internal operating policy, *01.04- Grading Policy*. These general policies are followed by all schools. Detailed grading policies for each school and program are published in various resources, as follows:

- The **Graduate School of Biomedical Sciences (GSBS)** publishes grading policies and procedures in its student catalog, which is available online. The 2017-2018 GSBS Catalog, for example, provides general information about grades and filing a formal written grade appeal.
- The **School of Health Professions (SHP)** publishes school-wide student policies on its website specifically *SHP OP ST.08, Grading Criteria*, available online to all students in undergraduate and graduate education programs. Grading criteria is also included in the SHP catalog. Grading policies are the same for both undergraduate and graduate students.
- The **School of Medicine** publishes the *SOM OP 30.01, Grading Policy* and *SOM OP 40.04, Student Promotion* on its website**.**
- The **School of Nursing (SON)** publishes grading policies in the SON Student Handbook, available online to all student in undergraduate and graduate education programs. SON also publishes grading policies through SON OPs, such as *SON Undergraduate OP 30.80, Grade Point Average* and *SON Graduate OP*

40.472, Grade Point Average Policy. For SON, separate policies exist for undergraduate and graduate students.

- Grading policies for the **School of Pharmacy (SOP)** are published in the current course catalog, which is available online. The *SOP OP 77.P.18, Grade Grievance Resolution* policy is also published on the school's website.

COST OF ATTENDANCE AND REFUND POLICIES

The institution's cost of attendance is published online on the TTUHSC Student Business Services website in addition to individual school student handbooks/catalogs. For example, please see the tuition and fees section of the SHP catalog.

Refund policies are based on the *Title 3 Texas Education Code, §54.006*. These policies, which apply to all TTUHSC schools, are also published on the TTUHSC Student Business Services website and in the TTUHSC Student Handbook, which is updated and published annually on the TTUHSC Student Services website. Because these resources are published online, they are accessible to students enrolled in traditional and distance education programs as well as the public.

SUMMARY

In summary, TTUHSC is compliant with *Standard 10.2, Public Information*. The institution publishes grading policies, academic calendars, refund policies, and the cost of attendance online on respective schools websites and the student services' website as evidenced in the narrative above. All information is available to HSC students and the public.

10.3

Archived Information

The institution ensures the availability of archived official catalogs, digital or print, with relevant information for course and degree requirements sufficient to serve former and returning students.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) publishes electronic catalogs for each of its five schools. These publications include information of potential interest to current and former students, the public, and other stakeholders. The structure of each catalog differs to meet the needs of individual schools, but much of the content is consistent. For example, all catalogs include information about the institution, school, educational programs, program curricula, course descriptions, and faculty members. Current and archived versions of the catalogs are available online for public view, as described below.

Graduate School of Biomedical Sciences (GSBS). Current and archived catalogs may be accessed on the school's website under the Student Resources link. Catalogs are available online from 2007-2008 to present. The 2017-2018 GSBS Catalog is attached for reference. Printed catalogs are stored at an off-site storage facility and can be accessed, as needed. If a former student has a question about a catalog prior to 2007, s/he must contact the Assistant Dean in the Office of the Graduate School, who has responsibility for maintaining archived GSBS catalogs.

School of Health Professions (SHP). Current and archived catalogs may be accessed on the school's website under the Student Resources link. Catalogs are available online from 2003-2004 to present. Attached is the 2017-2018 SHP Catalog. For information about educational programs or requirements prior to 2003, individuals must contact the Office of Admissions and Student Affairs for further assistance. The Associate Dean for Admissions and Students Affairs has responsibility for maintaining archived catalogs.

School of Medicine (SOM). The 2017-2018 SOM Catalog may be accessed on the school's website under the Students link. Archived electronic catalogs since 2005 are available in the Office of the Associate Dean for Academic Affairs. Printed catalogs are available for 1985-1986 and 1989-2000. Former students are encouraged to contact the Office of the Dean for historical information about the program. Specific requests will be routed to the appropriate department.

School of Nursing (SON). Current and archived catalogs may be accessed on the school's website under the Admissions and Student Affairs link. Catalogs are available online from 1985-1986 to present. The 2017-2018 SON Catalog is provided as an example. Printed catalogs are stored at an off-site storage facility and can be accessed, as needed. The SON Education Technology Services department has responsibility for maintaining archived nursing catalogs.

School of Pharmacy (SOP). Current and archived catalogs may be accessed on the school's website under the Student Resources link. Catalogs are available online from 2008-2009 to present. No printed catalogs are available. Attached is the 2017-2018 SOP Catalog. In

collaboration with the SOP Office of Information Services, the Associate Dean of Curriculum has responsibility for maintaining archived electronic catalogs.

Although TTUHSC does not publish an institutional catalog, it has a TTUHSC e-Catalog, which is also available online for public view. Links are provided to key student resources at TTUHSC, as well as school-specific websites and current catalogs. The site, which is maintained by staff in the Office of Academic Affairs, is updated on an annual basis after each school publishes its current school catalog. This typically occurs in August each year. Individual schools adhere to different timelines for revising their annual course catalogs, but the process typically begins in late fall/early spring in order to publish by the following summer.

TTUHSC follows the procedures outlined in *HSC OP 10.09 (Records Retention)* regarding the retention and destruction of administrative, electronic data processing, personnel, fiscal, support services, and institution-specific records. Per policy, an appointed individual from each department reviews records on an annual basis to determine whether departmental documents should be retained or destroyed. Each department must comply with the TTUHSC Records Retention Schedule prepared by TTUHSC and approved by the State and Local Records Management Division of the Texas State Library. According to this schedule, catalogs must now be retained permanently.

It is common practice for students to graduate under the provisions of the catalog in effect at the time of enrollment. If a change becomes necessary, students are given the opportunity to complete program requirements under the old requirements, if at all possible, or develop an alternate course of action in collaboration with program faculty and/or advisors. Faculty and staff serving in an advisory capacity for educational programs communicate any such changes through a variety of methods, such as email or student portal notifications. For example, students enrolled in the Master of Rehabilitation Counseling program received multiple emails in Spring 2017 regarding the new program option to earn a Master of Science in Clinical Rehabilitation Counseling. Currently enrolled students were given the option to remain in the original program or to change to the new 60-hour program. The attached email provides an example of this correspondence.

SUMMARY

As demonstrated in the preceding narrative, TTUHSC ensures the availability of archived official catalogs in printed or electronic format. These catalogs contain key information about course and degree requirements, which is sufficient to serve the needs of current and former students. For these reasons, the institution is compliant with the current standard.

10.4

Academic Governance

The institution (a) publishes and implements policies on the authority of faculty in academic and governance matters, (b) demonstrates that educational programs for which academic credit is awarded are approved consistent with institutional policy, and (c) places primary responsibility for the content, quality, and effectiveness of the curriculum with its faculty

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) is in compliance with *Standard 10.4, Academic Governance*. TTUHSC faculty are responsible for the content, quality, and effectiveness of program curriculum, including distance education programs, regardless of geographical location. All new educational programs and significant curricular changes are approved by qualified faculty and administrators consistent with institutional policy, the Texas Tech University System (TTU System) Board of *Regents' Rules and Regulations (Regents' Rules)*, and the policies of the Texas Higher Education Coordinating Board (THECB).

ACADEMIC GOVERNANCE POLICIES

TTUHSC adheres to the TTU System *Regents' Rules*, TTUHSC *Operating Policies and Procedures*, as well as TTUHSC individual school-based policies regarding faculty governance. All policies and procedures on the responsibility and authority of faculty in academic and governance matters are published online and in the individual school catalogs, bylaws, and handbooks as described below.

TTU System *Regents' Rules*

The TTU System Board of Regents defines the rights and responsibilities of faculty members in Chapter 4 of the *Regents' Rules*. *Section 04.04, Regents' Rules* addresses faculty responsibilities in teaching, research, and service. Specifically, in *Section 04.04.3 and 04.04.5*, the board charges the faculty with the responsibility and authority to evaluate the quality of student achievement and to participate in the formulation of academic policies. Moreover, *Section 2.04.2* gives the TTUHSC President the authority to "ensure that the component institution provides a high quality of education curriculum and faculty for the benefit of its students." All *Regents' Rules* are published on the TTU System website.

TTUHSC Operating Policies and Procedures

The TTUHSC *Operating Policies and Procedures*, published on the university's website, include a number of policies describing the roles and responsibilities on faculty administration. For example, *HSC OP 10.11, Delegation of Authority by the President* gives the authority to the Dean of each health professional school at TTUHSC to direct and coordinate their academic and operational affairs. Moreover, *HSC OP 01.07, Organization of the Texas Tech University Health Sciences Center,* describes lines of organizational responsibility at TTUHSC. Part 6 of this policy, TTUHSC Academic Administration, describes the responsibility of the faculty as follows: "Each department chairperson, in cooperation with the faculty, is responsible for supervising the activities of the department, preparing the department budget requests, initiating requests for salary increases, recommending tenure and promotion, initiating appointment recommendations, and developing curricula."

Policies and procedures regarding faculty rights and responsibilities are also published in *Chapter 60, Faculty and Clinic Administration. HSC OP 60.01, Tenure and Promotion Policy*, establishes the rules on tenure and promotion for the institution that include academic and governance matters. To ensure adequate review of HSC faculty-related operating policies, modifications and additions to the operating policies are provided to the Faculty Senate for their review. See, for reference, Faculty Senate Meeting Minutes from March 2, 2018.

Faculty Senate's Role in Governance. The Faculty Senate, which has a regular monthly meeting on the first Friday of each month during the fall and spring semesters, is composed of elected faculty from all schools on all campuses of TTUHSC. Its purpose is "to promote interaction and collaboration between the members of the faculty of the various schools as well as to represent the faculty as an advisory body to the TTUHSC President on common issues affecting faculty and their responsibilities in teaching, practice, research, and service." As such, the Faculty Senate is one of the most important vehicles by which the faculty shares governance of the university.

The purpose of the Faculty Senate and the Faculty Senate's jurisdiction, organization, and responsibilities are defined in the Constitution of the Faculty Senate. Details regarding the membership of the Faculty Senate, the selection of officers, the formation of subcommittees, and the Senate's processes for accepting proposals and making recommendations to the TTUHSC president are provided in the Faculty Senate Bylaws. The constitution and bylaws are published on the Faculty Senate website, which also includes links to the schedule, agendas, and minutes of Faculty Senate meetings.

TTUHSC School Policies

In addition to institutional procedures, each TTUHSC school publishes faculty bylaws, handbooks, policy manuals, and other procedural documents that include information on the responsibility and authority of faculty. Faculty oversight of the curriculum is coordinated through school-based committees, which routinely evaluate curriculum quality and effectiveness (Also refer to *Standard 8.2.a, Student Outcomes: Educational Programs, Standard 9.7, Program Requirements, and Standard 10.7, Policies for Awarding Credit).* Detailed information and examples of each school's policies on governance are provided below. Additional examples are also available onsite.

Graduate School of Biomedical Sciences. The *Bylaws* of the Graduate School of Biomedical Sciences (GSBS), which are published online, define privileges of membership on the GSBS graduate faculty, which include "voting on issues pertaining to the specific GSBS Graduate Program in which membership is held such as curriculum requirements, graduate course content, election of new members to the program, and changes in the specific guidelines of the graduate program." The *Bylaws* also describe the role of the Graduate Council. The council is made up of two graduate faculty members from each program/concentration and meets monthly to vote on admission to candidacy, review new graduate faculty applications, discuss curricular changes and policy updates, and share information about other graduate-related topics. Annually in May, the entire graduate faculty meet to discuss issues related to graduate education, including changes in the curriculum. Meeting minutes of all Graduate Council and Faculty meetings are posted on the GSBS website.

School of Health Professions. The School of Health Professions (SHP) *Faculty Bylaws*, which are published in the school's faculty handbook online, set forth and describe the structure, guidelines, and processes that are used for faculty governance within the school. For example, the bylaws describe the voting membership of the faculty and the frequency of meetings of the full faculty and establish the membership and purpose of the school's Executive Committee and Faculty Council. The bylaws also establish the membership and purpose of committees of the school that assist in faculty governance and academic affairs.

Each academic program in the School of Health Professions has regular curriculum faculty meetings to evaluate the content, quality, and effectiveness of the program's curriculum. Curricular changes are presented to the program's Department Chair for review and approval. After Department Chair approval, curricular changes are subject to formal review by the SHP Academic Affairs Committee. The Academic Affairs Committee is a standing committee co-chaired by the Executive Associate Dean of the School and the Associate Dean for Admissions and Student Affairs and consists of the School's program directors, Assistant Dean for Outcomes and Assessment, Senior Director of Educational Technology and Student Support Services, and Office of Admissions and Student Affairs Unit Manager. The Academic Affairs Committee approves all curricular changes before they are implemented. See, for example, meeting minutes and memos on curricular changes in the Master of Occupational Therapy (MOT) program**.**

School of Medicine. The responsibility of the School of Medicine (SOM) faculty is outlined by the *SOM OP 20.05, Faculty Council Bylaws*, which establish the Faculty Council comprised of all full-time faculty. The Faculty Council Executive Committee administers the affairs of and reports regularly to the Faculty Council and is made up of faculty from all campuses. General responsibilities of the Faculty Council and the Faculty Council Executive Committee are to "review and make recommendations on such matters as admissions, curricula, standards of instruction, student conduct, student promotions, graduation, or any other matters, which may affect the pursuit of academic excellence."

SOM OP 20.05, Faculty Council Bylaws also establishes the Educational Policy Committee (EPC), which is primarily responsible for management and oversight of the curriculum. The EPC is "charged with establishing those policies necessary to maintain a contemporary and effective undergraduate medical curriculum that remains relevant to the continuum of medical education and is compatible with the Institutional Vision, Goals and Objectives of the TTUHSC SOM." Any faculty member or medical student in good standing is eligible to serve on the EPC; the committee contains a total of 19 voting members: 14 faculty and 5 students.

More specific guidance regarding the authority and actions of the EPC are outlined in the *Educational Policy Committee Bylaws*. Faculty work groups reporting to the EPC and involved in the design, oversight, and implementation of the curriculum include the Education Operations Committee (responsible for Years 1 and 2) and the Clinical Education Operations Committee (overseeing Years 3 and 4). General administrative support and oversight for the curriculum is provided by the Associate Dean for Academic Affairs and the Office of Academic Affairs. See, for example, EPC meeting minutes on changing the curriculum of medical studies.

The EPC continually monitors medical student performance compared to a number of national metrics to include the first-time pass rate on the United States Medical Licensing Examination (USMLE) Step 1, Step 2-Clinical Skills, and Step 2-Clinical Knowledge exams. Faculty from all campuses are also involved in educational planning summits held at least annually to examine and review the effectiveness of the curriculum in achieving the SOM Institutional Vision, Goals and Objectives.

School of Nursing. The School of Nursing (SON) *Organization Bylaws* ensure the SON fulfills its mission, operates in a manner consistent with its values, moves toward its vision, and executes its accountabilities. The *Organization Bylaws*, published on SON Shared Governance website, describe faculty and staff shared-governance and faculty functions of collaborating with the administration, developing curricula, and developing criteria for faculty appointment, promotion, and tenure. The bylaws describe the structure of SON and its programmatic councils, rules of operation for faculty, procedures for election of council officers, selection of faculty representatives to the Faculty Senate, workgroups/task forces, and curriculum development as a primary function of faculty governance (e.g., functions of the Coordinating Council). An

example of the Traditional Undergraduate Council curriculum review is the documented in the September 11, 2017 meeting minutes.

School of Pharmacy. Faculty governance provisions are defined in the School of Pharmacy, *Faculty Bylaws* which are published in the school's faculty and staff e-handbook. The bylaws clearly define faculty governance (*Article I, Section A: Functions of the Faculty*) which state that standing faculty committees "shall be appointed to represent the total School faculty organization in the governance of their affairs and to protect and promulgate faculty interests pertaining to the mission, role and functions of the School." The bylaws define committee structure, function, faculty membership, organizational officers, and governance. The faculty committees are charged with developing policies and providing recommendations for the governance of specific areas of academic business including admissions, curriculum, graduation requirements, faculty development, and tenure and promotion. The bylaws also discuss the composition and responsibilities of the Curricular Affairs Committee (*Article III, Section B: Curricular Affairs Committee*). This committee keeps the school's faculty informed of curricular affairs during regular faculty meetings. See, for, example, Curricular Affairs Committee meeting minutes discussing the course review process in effort to improve the effectiveness of the curriculum.

DEVELOPING AND APPROVING EDUCATIONAL PROGRAMS

Texas State Policies

The Texas Higher Education Coordinating Board (THECB) *Texas Administrative Code (TAC) Chapter 5, Subchapter C, §5.41-5.55* outlines criteria and requirements for the approval of new traditional baccalaureate, master's, and doctoral degree programs. In addition, *TAC Chapter 4, §4.255* outlines requirements regarding the approval of distance education courses and programs. These policies are in place to ensure program quality at Texas public institutions, including TTUHSC.

TTUHSC Faculty Review and Approval

In conjunction with the THECB policies, TTUHSC adheres to *HSC OP 60.11, New Degree and Certificate Programs, Implementing Significant Curricular Changes, and Degree and Certificate Program Termination*. This policy ensures that TTUHSC is following THECB requirements regarding educational program approval and significant curricular changes. Following *HSC OP 60.11*, each new educational program or a significant curricular change begins with faculty review and approval at the department level in each school. Proposed programs are then reviewed by faculty committees (as discussed in the narrative above on Academic Governance) to ensure that the program's curriculum complies with discipline-specific standards, including those standards defined by the external accrediting body for the given discipline.

Once approved by the Dean of each school, a formal program proposal following THECB guidelines is required. The THECB guided proposal should address items including cost, sustainability, degree of fit, and adequacy of faculty. Each TTUHSC school is responsible for establishing a formal review process to ensure that the amount of credit awarded for courses meet sound academic practice in the specific field (*HSC OP 60.05, Definition and Calculation of Credit Hours*). In addition, a 5-year financial business plan must be developed for the proposed educational program (*OP 60.11, Attachment A*). This business plan should include timing and expectation of the number of faculty hires and student enrollment projections to ensure that the financial needs align with accreditation and academic requirements. The THECB proposal and 5-year financial business plan, along with the routing sheet provided in *Attachment B of HSC OP 60.11*, are submitted to the Executive Vice President of Academic Affairs (EVPAA) at TTUHSC.

TTUHSC Administrative Review and Approval

The EVPAA reviews the new educational program or significant curricular change proposal and forwards it to the Assistant Vice President of Student Services, Registrar, Director of Student Business Services, Director of

Classroom Support, Executive Director of the Library, Vice President for Information Technology, and the Vice President/Chief Financial Officer. Once each of the above individuals has reviewed the proposal and signed the routing sheet, the EVPAA sends the finalized proposal to the President of TTUHSC. The President then sends the fully approved proposal to the TTU System Board of Regents. Once approved by the TTU System Board of Regents, the EVPAA submits the proposal to THECB. When the new program constitutes a substantive change, the EVPAA will send appropriate notification to SACSCOC prior to implementation of the degree program.
For example, please refer to the following *HSC OP 60.11* completed routing sheets as evidence of new educational programs being approved consistent with its institutional policy:

- Graduate School of Biomedical Sciences, Ph.D. in Pharmaceutical Sciences - Abilene
- School of Health Professions, Master of Science in Addiction Counseling - Distance Education
- School of Nursing, Traditional Bachelor of Nursing (BSN) - Amarillo
- School of Pharmacy, Pharm.D. 4-year curriculum expansion - Dallas

SUMMARY
TTUHSC publishes policies on faculty academic and governance matters in faculty handbooks and bylaws, as well as online. Faculty are responsible for educational program curriculum development, review, and approval. In addition, new educational programs are approved consistent with institutional policy. Each new program must follow *HSC OP 60.11, New Degree and Certificate Programs, Implementing Significant Curricular Changes, and Degree and Certificate Program Termination*, which defines the process for implementing a new educational degree program at the institution. The example meeting minutes and program approvals provided in the narrative further demonstrate faculty's role in governance.

10.5

Admissions Policies and Practices

The institution publishes admissions policies consistent with its mission. Recruitment materials and presentations accurately represent the practices, policies, and accreditation status of the institution. The institution also ensures that independent contractors or agents used for recruiting purposes and for admission activities are governed by the same principles and policies as institutional employees.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) publishes admissions policies that are consistent with the institution's mission to "enrich the lives of others by educating students to become collaborative health care professionals, providing excellent patient care, and advancing knowledge through innovative research." Recruitment materials, moreover, accurately represent the practices, policies, and accreditation status of the institution. *Standard 14.1 (Publication of Accreditation Status)* provides additional details about the institution's accurate representation of its accreditation status to internal and external stakeholders. TTUHSC does not rely on independent contractors or agents for recruiting purposes or admissions activities.

TTUHSC ADMISSIONS POLICY

As stated in Section 05.02, *Regents' Rules*, the Texas Tech University System Board of Regents is expected by law to set campus admission standards consistent with the role and mission of TTUHSC. The board shall also ensure system excellence by promoting enhanced recruitment strategies and allocating the resources necessary to ensure admission of a quality student body. In alignment with system requirements, TTUHSC publishes the general admissions policy (*HSC OP 77.01, Admission*) on the Operating Policies and Procedures website and on the TTUHSC General e-Catalog. Both are available online for public view. The admissions policy is applicable across educational programs, regardless of campus or method of delivery.

Prospective students can also locate general admissions information on the TTUHSC Admissions website. Applicants are considered for admission to TTUHSC if they meet the published entrance requirements established by each school: (1) Graduate School of Biomedical Sciences, (2) School of Health Professions, (3) School of Medicine, (4) School of Nursing, and (5) School of Pharmacy. Completed applications, transcripts, test scores, and other applicable qualifying factors constitute the basis upon which eligibility is considered. Additional details are provided in the subsequent narrative.

SCHOOL-SPECIFIC ADMISSIONS POLICIES

Each TTUHSC school publishes information describing the processes for evaluating applications and making admissions decisions. Links to program-specific admissions processes and online applications are published on school websites and catalogs. *Table 10.5-A* provides links to the admissions section in each school's current catalog and the corresponding website. In the Graduate School of Biomedical Sciences, for example, program faculty utilize three general categories in reviewing applicants for admission: (1) academic records, (2) Graduate Record Examination (GRE) scores, and (3) individual profiles, which are based on recommendation letters, essays, and personal interviews. International applicants must meet additional admissions criteria, as outlined in the course catalog and admissions website.

Table 10.5-A. Admissions Information by School

School	Catalog Section	Website
Graduate School of Biomedical Sciences	2017-2018	Admissions
School of Health Professions	2017-2018	Office of Admissions & Student Affairs
School of Medicine	2017-2018	Office of Admissions & Diversity
School of Nursing	2017-2018	Office of Admissions & Student Affairs
School of Pharmacy	2017-2018	Office of Student Affairs & Admissions

Each TTUHSC school accepts responsibility for establishing and adhering to school- and program-specific admissions processes. Program faculty maintain primary responsibility for evaluating applications and making admissions decisions for their respective academic programs. These admissions policies and processes comply with *Title 3 Texas Education Code, §51.842*, which specifies admissions factors for graduate and professional programs. For example, individuals who seek admission to the Master of Science in Nursing program must submit proof of the following for consideration for admission:

General Admission Requirements-Master of Science in Nursing

- Valid, unencumbered license as Registered Nurse (RN)
- Bachelor's degree in nursing from a regionally accredited college/university or from the Commission on Collegiate Nursing Education or American Commission for Education in Nursing
- Completion of undergraduate course in research and statistics with a grade of C or better
- Minimum GPA of 3.0 on 4.0 scale for baccalaureate program
- Personal statement/essay
- Basic Life Support (BLS) certification from the American Heart Association
- Professional letters of reference
- Official transcripts
- Completion of TTUHSC SON Computer Literacy Test

Additional admissions requirements exist depending on the concentration and area of specialization for the Master of Science in Nursing. For example, applicants interested in the Advanced Practice Registered Nurse concentration for adult-gerontology acute care must also have at least one year of RN experience in an acute care, intensive care, or emergency department setting within the past five years, as well as provide responses to essay questions specific to that area of specialization. These requirements are described in the admissions resources for the School of Nursing that were listed in *Table 10.5-A*.

Some TTUHSC programs also have provisions for special student enrollment. For example, conditional, or contingent, admission may be granted to applicants in the traditional Bachelor of Science in Nursing program if the full requirements for admission are not met. In these cases, the applicant must comply with the conditions stated in the letter of admission offer prior to the first day of class. Failure to do so may result in a retraction of the offer. Refer to the sample letter of conditional admission. Other programs offer provisional, readmission, or transfer admission criteria. These requirements vary substantially by program but are described in the admissions materials listed in *Table 10.5-A*, where applicable.

In addition to complying with state mandates, many TTUHSC program faculty develop admissions policies and processes in accordance with standards set by external accrediting bodies. Refer to the list of current TTUHSC accreditors. These external accrediting bodies promote accountability for developing admissions policies that are consistent with the TTUHSC mission and maintaining admissions standards that are clear, reasonable, and consistently implemented.

For example, the School of Medicine adheres to standards established by the Liaison Committee on Medical Education (LCME) with regard to admission of medical students. *LCME Standard 10 (Medical Student Selection, Assignment, and Progress)* outlines the premedical education requirements for applicants, guidelines for selecting students, and expectations for accepting transfer and visiting students. To maintain a consistent admissions process in alignment with these accreditation requirements, the school adheres to multiple policies related to medical student admissions. These policies are available for public view on the School of Medicine website. See below.

School of Medicine Operating Policies

SOM OP 70.01, School of Medicine Admissions Committee Bylaws
SOM OP 70.02, Student Application Process
SOM OP 70.03, Student Interviews
SOM OP 70.04, Acceptance of Offer for Admission
SOM OP 70.05, School of Medicine Special Admissions Programs
SOM OP 70.06, Family Medicine Accelerated Track Committees
SOM OP 70.07, Response to Findings on Required Criminal Background Checks Prior to Admissions
SOM OP 70.08, Transfer Students, Advanced Standing
SOM OP 70.09, Readmissions for Students with Special Circumstances

The admissions policies for the School of Medicine represent only a sample of school-specific policies. Additional examples are available upon request.

REVIEW OF ADMISSIONS POLICIES

Ongoing compliance with state regulations and accountability to external accreditors helps TTUHSC faculty ensure that admissions policies are clear, reasonable, consistently implemented, and in alignment with the institutional mission. However, TTUHSC also engages in regular internal review processes. The general TTUHSC admissions policy (*HSC OP 77.01, Admission*) is reviewed every even-numbered year by the Registrar and Dean of each school. Recommendations for revisions are forwarded to the Executive Vice President for Academic Affairs. The most recent review of the policy occurred in June 2018.

In addition, TTUHSC faculty review and revise school- and program-based admissions policies on a regular basis. For example, *SON OP 60.085, Traditional BSN Admissions Policy,* is reviewed every two years by the Associate Academic Dean of Education Support Services and Student Affairs in collaboration with the Traditional BSN Council. Recommendations are forwarded to Dean for final approval. The attached meeting minutes provide evidence of proposed revisions to required laboratory requirements for prerequisite coursework, as well as enrollment of non-degree students in the traditional undergraduate nursing program. The policy was last revised in April 2018.

RECRUITMENT MATERIALS

TTUHSC develops recruitment materials and presentations that accurately represent the institution's practices and policies. These recruitment materials, publications, and presentations communicate relevant information to prospective students and promote the many academic programs offered through each school. As

referenced in the preceding narrative, including *Table 10.5-A*, primary recruitment tools include the TTUHSC website, school websites, and individual school catalogs. These resources are available online for public view.

Some schools also distribute printed brochures at recruitment events and highlight their programs visually and/or orally in presentations. For example, the School of Health Professions publishes an annual viewbook, which seeks to provide general information about the school, campuses, and educational programs to prospective students. In July 2018, moreover, TTUHSC recruiters from the School of Pharmacy spoke to new Texas Tech University students at Red Raider Orientation. Attached is their presentation. Finally, some programs produce flyers or brochures for distribution at recruitment events. Refer to Graduate School of Biomedical Sciences brochure as an example. TTUHSC employees who attend recruitment events receive appropriate training at the school level on an ongoing basis as part of their regular responsibilities. Much of this training occurs in regular staff meetings in the respective admissions departments.

To ensure that recruitment materials accurately represent the practices, policies, and accreditation status of TTUHSC, all such publications are developed in accordance with the TTUHSC Office of Communications & Marketing (C&M). The department employs individuals with expertise in communications and media relations, marketing and advertising, interactive media, and photography/videography. All publications are expected to comply with *HSC OP 67.02 (Communications, Advertising, and News Media)*, which is reviewed every two years. The policy was last revised in October 2017.

In consideration of the widespread popularity of social media, *HSC OP 67.03 (Use of Social Media*) is also an important institutional policy related to student recruitment. Per policy, all institutional social media accounts must be registered and approved by C&M personnel. Effective September 1, 2016, official social media accounts must include an account administrator from C&M, who offers assistance in content scheduling, social media best practices, and account transitions. The policy was last revised in May 2018. Screenshots of sample TTUHSC Facebook pages are provided for reference.

Overall, TTUHSC adheres to recruitment practices in alignment with the SACSCOC Advertising and Student Recruitment Policy Statement. This includes practices that avoid the following:

- Assuring employment unless employment arrangements have been made and can be verified;
- Misrepresenting job placement and employment opportunities for graduates;
- Misrepresenting program costs;
- Disparaging comparisons of secondary or postsecondary institutions;
- Misrepresenting abilities required to complete the intended program; and
- Offering money or inducements other than educational services of the institution in exchange for student enrollment, except for expressly permitted financial aid awards.

SUMMARY

Based on the information presented in this narrative, TTUHSC is compliant with the current standard. The institution publishes admissions policies that are consistent with the institution's mission, and recruitment materials accurately represent the practices, policies, and accreditation status of the institution. TTUHSC does not rely on independent contractors or agents for recruiting purposes or admissions activities.

10.6

Distance and Correspondence Education

An institution that offers distance or correspondence education: (a) ensures that the student who registers in a distance or correspondence education course or program is the same student who participates in and completes the course or program and receives the credit; (b) has a written procedure for protecting the privacy of students enrolled in distance and correspondence education courses or programs; (c) ensures that students are notified in writing at the time of registration or enrollment, of any projected additional student charges associated with verification of student identity.

Judgment

☑ Compliance ❑ Partial Compliance ❑ Non-Compliance ❑ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) is in compliance with *Standard 10.6*, *Distance and Correspondence Education*. To protect the integrity of educational credentials awarded to students enrolled in distance education courses or programs, TTUHSC takes measures to ensure that a student who is awarded credit in such courses is the same student who completes the course and receives credit. To this end, TTUHSC verifies the identity of a student enrolled in distance education courses or programs, ensures that the method used to verify identity protects the privacy of the student, and notifies the student in advance of enrollment regarding any projected additional charges associated with the verification process. TTUHSC's IT department and student affairs' offices located within the individual schools are responsible for ensuring the provisions of this standard are met.

OVERVIEW OF DISTANCE EDUCATION AT TTUHSC

TTUHSC offers coursework toward its academic programs through traditional classroom instruction, clinical/practicum instruction, and distance education. TTUHSC does not offer courses or certificate/degree programs via correspondence education. *Table 10.6-A* lists all of the programs in which 50 percent or more of the credit hours are delivered via distance education.

Table 10.6-A Distance Education Programs by School

Certificate/Degree Program
Graduate School of Biomedical Sciences
Graduate Certificate in Public Health
Master of Public Health
School of Health Professions
Post-Baccalaureate Certificate in Clinical Laboratory Science
Bachelor of Science in Clinical Laboratory Science (Second Degree)
Bachelor of Science in Healthcare Management
Master of Rehabilitation Counseling[a]
Master of Science in Clinical Rehabilitation Counseling
Master of Science in Addiction Counseling

Master of Science in Clinical Mental Health Counseling
Master of Science in Healthcare Administration
Doctor of Physical Therapy (Transitional)
Doctor of Science in Physical Therapy
School of Nursing
Bachelor of Science in Nursing (Accelerated program)
Bachelor of Science in Nursing (RN to BSN)
Post-Baccalaureate Graduate Certificates - All Concentrations
Master of Science in Nursing - All Concentrations
Post-Master's Certificates - All Concentrations
Doctor of Nursing Practice

[a.] *Teach-out in progress*

A. VERIFICATION OF STUDENT IDENTITY

TTUHSC has procedures in place to ensure that a student who registers for and enrolls in a distance education course is the same student who completes the course and receives credit. The primary method used by the institution includes a secure log-in and passcode for each TTUHSC student, including students enrolled in distance education courses and programs. *HSC Operating Policy and Procedure (OP) 56.01, Acceptable Use of Information Technology Resources* provides guidelines governing the use of Information Technology (IT) resources by students, faculty, staff, and other authorized TTUHSC users. However, IT has established more specific policies governing the use of such resources. Refer to *HSC IT OP 56.06, Account Management and User Responsibilities* and *HSC IT OP 56.08, Password/Authentication*.

As described in these policies, all TTUHSC computing systems require a log-in authentication process, whereby each user is identified and authenticated by a unique user ID and password. The primary authentication is an account management system known as eRaider. For an individual to be granted a user ID, there must first be an associated request and approval. Access to the TTUHSC network and applications (e.g., Banner, Sakai, email) is based on the individual roles assigned to a particular user. Each user must sign a TTUHSC Information Resources Security Acknowledgement and Nondisclosure Agreement before access is given. Passwords for eRaider accounts adhere to industry best practices and must be reset every 90 days. Also, any TTUHSC computing system that prompts the user for a log-in ID and password requires an unauthorized access warning message be displayed. The message informs the potential user that use of the system is restricted to authorized users only and shall be used in accordance with IT policies. The message appears any time a user logs into a TTUHSC workstation.

All TTUHSC students, including those enrolled in distance education courses, are informed of IT policies during new student orientation. An example is the TTUHSC School of Nursing (SON) virtual orientation. The required online tutorial guides new students through the process of activating their eRaider accounts, communicates important IT information, and requires completion of a Use of Information Technology Resources acknowledgment form. Upon completion of the virtual orientation, each student must certify that he/she has reviewed and completed the orientation without assistance from someone else. The certification page clearly states that "TTUHSC prohibits dishonesty in connection with any University activity, including cheating, plagiarism, and knowingly furnishing false information to the University. Doing so violates the academic integrity of the University and can result in expulsion from the program."

Although the primary method to verify student identity is through a secure log-in and passcode for each TTUHSC student (eRaider), the schools utilize additional methods as well. For example, *SON OP 60.078, Identity Verification/Authentication Policy*, requires students to provide a government-issued ID to check in for an applicant interview and/or new student face-to-face orientation for initial verification of identity, depending on the program. These government-issued IDs are then scanned and kept in each student's file. Furthermore, Undergraduate and Accelerated Degree distance education SON students are required to come to the main campus or a program site for testing and show photo identification before logging in with their eRaider and password. These exams are also proctored by faculty or retention counselors. SON undergraduate programs follow *SON OP 30.183 - Testing Policies and Procedures*. The policy gives direction in regards to scheduling, security matters, and proctoring guidelines.

Furthermore, the Clinical Laboratory Sciences-Molecular Pathology (CLS-MP) programs within the School of Health Professions (SHP) requires students to sign an Honor Code upon entry to the program. An example of redacted Honor Code agreement can be seen here. This document outlines specific expectations by which students are expected to abide to ensure the integrity of the academic environment. The Honor Code includes a pledge by students in distance education courses not to divulge their username and passwords to anyone, to complete course assignments/exams using only their usernames and passwords, and other related expectations. Failure to comply with these statements results in a violation of the Honor Code and is subject to disciplinary sanctions. In addition, the Clinical Laboratory Sciences-Second Degree program requires distance education students to participate in proctored examinations. As indicated in the Midterm and Final Examination Policy published in the program handbook, students must acquire an approved proctor who agrees to the guidelines of test administration, including verification of student identity through two forms of identification. The proctor may not be a relative, close friend, or any person who may have a conflict of interest, as determined by the Program Director.

B.PROTECTION OF STUDENT PRIVACY

FERPA. To protect the privacy of all TTUHSC students, including those enrolled in distance education courses/programs, TTUHSC faculty and staff members abide by *HSC OP 77.13, Student Education Records*. This policy implements the provisions of the Family Educational Rights and Privacy Act (FERPA) and other federal and state laws governing access to and confidentiality of student records. *HSC OP 77.13, Student Education Records* defines key terms and outlines student rights and responsibilities related to the release of a student's directory information. Except as noted in the policy, TTUHSC will disclose information from a student's education records only with the written consent of the student. To ensure continued alignment with federal regulations and educational best practices, *HSC OP 77.13, Student Education Records* is reviewed biennially.

Students enrolled in traditional and distance education courses/programs are notified of their FERPA rights through the annual TTUHSC Student Handbook and Office of the Registrar website. As online resources, they are always available to traditional and distance education students. For more information, please see *Standard 12.5 (Student Records).*

Banner Access. TTUHSC uses a web-based student information system (Banner) to maintain student records. Faculty/staff seeking access to use Banner must complete a multi-step process. First, the employee submits a request for access, then the appropriate Student Security Administrator for each school and division evaluates the request, determines whether to approve or deny access and forwards all approvals to the TTUHSC Registrar to grant the appropriate access level.

As stated in *HSC OP 77.13, Student Education Records*, employees who are granted new access to Banner are required to complete online FERPA training within 30 days of obtaining access. If this training is not completed, access is deactivated and will not be reinstated until the required FERPA training has been

completed. All training is administered and documented by the TTUHSC Registrar's Office. Refer to the sample training report, which indicates those who completed FERPA training in February of 2017. If an employee is terminated, his/her department head/supervisor notifies the Student Security Administrator, who then informs the TTUHSC Registrar to modify Banner access. If an individual transfers to another department or campus, he/she must request appropriate Banner access under the new position.

User IDs and Passwords. Following *TTUHSC OP 56.01, Acceptable Use of Information Technology Resources* and *TTUHSC IT OP 56.08, Passwords and Authentication,* TTUHSC IT requires users to follow "strong" password criteria and will never ask for a user to reveal their password. If a user forgets their password, the IT Helpdesk may assist the user by first verifying identity then by sharing a password recovery method. Users are instructed to never write down their passwords or type their passwords if they are aware someone is watching them. Users are to lock their workstations after each use. Workstations will also automatically lock after 15 minutes of inactivity. As previously stated, passwords must be changed every 90 days and must not be reused for one year. All stored passwords are encrypted.

C. NOTIFICATION OF ADDITIONAL CHARGES

One program within SHP, Clinical Laboratory Sciences (Second Degree), requires some students to find a testing site. This is made clear to students via the program handbook and on the SHP website. The handbook states that students are, "...responsible for any payment of fees to the proctor and/or site depending on their requirement each time an exam needs to be proctored". Students receive the handbook during orientation and it is located on the SHP website.

TTUHSC, in general, has no fee directly related to the verification of student identity in distance education courses. Schools, however, charge general distance education fees. These fees may be used for expenses like employee salaries, telecommunications allowances for faculty, and other operational costs related to the program. For example, in 2017-2018, the School of Nursing had a distance education fee of $675 per semester for master's level students enrolled in ≥9 credit hours. Such fees are communicated to current and prospective students via the TTUHSC Student Business Services website. Some schools, like the School of Health Professions, also publish a separate document for distance learning tuition and fees online in addition to including them in their student catalog.

SUMMARY

TTUHSC utilizes a number of processes and systems to verify the identity and ensure the privacy of students who are enrolled in distance education courses or programs following *HSC Operating Policy and Procedure (OP) 56.01, Acceptable Use of Information Technology Resources*. Together, these processes and systems ensure that TTUHSC maintains compliance with *Standard 10.6, Distance and Correspondence Education.*

10.7

Policies for Awarding Credit

The institution publishes and implements policies for determining the amount and level of credit awarded for its courses, regardless of format or mode of delivery. These policies require oversight by persons academically qualified to make the necessary judgments. In educational programs not based on credit hours (e.g., direct assessment programs), the institution has a sound means for determining credit equivalencies.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Academic credit provides a basis for measuring the amount of time students are engaged in the learning process. For a health-related institution like Texas Tech University Health Sciences Center (TTUHSC), learning occurs in diverse environments, including traditional classrooms, distance education, laboratories, clinicals, and practica. Because of the importance of academic credit, TTUHSC publishes and implements sound policies and procedures for defining a credit hour and determining the amount and level of credit awarded for courses, regardless of format or mode of delivery. These procedures conform to Commission policy and commonly accepted practices in higher education.

DEFINITION AND CALCULATION OF CREDIT HOURS

TTUHSC faculty in each school determine the amount of credit awarded for undergraduate and graduate courses based on the unit of the semester credit hour in accordance with federal and state regulations. Refer to Title 34 Code of Federal Regulations §600.2 and Title 19 Texas Administrative Code, §4.6. The latter applies to all public institutions of higher education in the state of Texas.

As outlined in *HSC OP 60.05 (Definition and Calculation of Credit Hours)*, TTUHSC defines a credit hour as the amount of work represented in intended learning outcomes and verified by evidence of student achievement that reasonably approximates not less than (a) one hour of classroom or direct faculty instruction and a minimum of two hours of out-of-class student work for each week for approximately fifteen weeks of one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or (b) at least an equivalent amount of work as required in (a) for other activities established by the institution, including laboratory work, internships, clinical work, practica, studio work, independent study, and other academic work leading to the award of credit hours.

The preceding definition aligns with the Texas Higher Education Coordinating Board (THECB) definition of the standard credit hour, but the latter bases a semester credit hour on contact hours. A semester is defined as 15 weeks of instruction and a week for final examinations. Assuming a traditional lecture format, a typical course involves 45 to 48 contact hours, which is equivalent to three semester credit hours. In addition, every college course is assumed to involve a significant amount of non-contact hour time for out-of-class student learning and reflection. Courses taught in shortened timeframes are expected to have the same number of contact hours as courses taught in a normal semester. Courses taught via distance education may meet an alternate standard but only if the course has been reviewed and approved through a formal faculty review process to ensure the course has equivalent learning outcomes to a comparable course delivered in a more traditional format.

HSC OP 60.05 is published on on the TTUHSC Operating Policies & Procedures website for convenient access by faculty, staff, and administrators. The policy is reviewed every two years by the Executive Vice President for Academic Affairs. The last revision occurred in May 2017.

ALTERNATE CALCULATION OF CREDIT HOURS

The preceding definition and description of the calculation of credit hours apply to four of five TTUHSC schools: (1) Graduate School of Biomedical Sciences, (2) School of Health Professions, (3) School of Nursing, and (4) School of Pharmacy. The School of Medicine (SOM) determines the amount of academic credit awarded for courses in accordance with the accreditation standards of the Liaison Committee on Medical Education (LCME), which is the accrediting body for medical education programs in the United States and Canada. LCME defines program length and academic credit in terms of weeks of instruction, rather than semester hours, requiring a minimum of 130 weeks of instruction for educational programs leading to the Doctor of Medicine. See LCME Standard 6.8.

Nonetheless, SOM established a methodology for converting weeks of instruction to credit hours in order to promote consistency across TTUHSC. Refer to *SOM OP 30.01 (Grading Policy)* for a more detailed description. For the pre-clinical curriculum, one contact hour is equivalent to one scheduled hour of faculty instruction in the classroom, laboratory, small group, or clinical setting and a minimum of two hours of out-of-class student preparation. Twenty contact hours equals one credit hour. This formula is comparable to the THECB formula, in which a typical one-credit hour course requires 15-18 contact hours during a 15-week semester.

For the clinical curriculum, credit hours for required clerkships and electives are based on the number of weeks of scheduled instruction or clinical experience. One week is equivalent to one credit hour. During their clerkships, students are engaged in didactic and clinical activities for an average of 40 or more hours per week. For example, during a ten-week rotation in surgery, a student is engaged in academic activities a minimum of 400 hours, which equals 10 academic credit hours. This formula is far more stringent than the THECB formula in that a fourth-year medical student earns one credit hour for approximately 40 contact hours.

FACULTY ROLE IN DETERMINING ACADEMIC CREDIT

Per HSC OP 60.05, each TTUHSC school is responsible for establishing a formal faculty review process to ensure that the amount and credit awarded for the school's undergraduate and graduate courses is compatible with Commission policy and commonly accepted practices in higher education, as described above. These processes are applicable for courses and programs delivered traditionally and via distance education. Where appropriate, these review processes are also based on the standards of discipline-specific professional organizations. Refer to *Standard 9.2 (Program Length)* for additional information.

For example, the School of Nursing abides by the Texas Board of Nursing rules and regulations regarding their academic programs. More specifically, §215.9(c) states that nursing instruction shall include a variety of organized interactive learning activities, including formal lectures, audiovisual presentations, laboratories, simulations, and supervised hands-on clinical learning experiences. Furthermore, there shall be a rationale for the ratio of contact hours assigned to classroom and clinical learning experiences. Depending on the educational program, the Board of Nursing suggests a ratio of one (1) didactic contact hour to three (3) contact hours of related clinical learning experiences (1:3).

Thus, as indicated in *SON OP 30.135 (Ratio of Classroom to Clinical Course Hours Policy)* clinical hours are measured on a one-to-three basis for undergraduate programs. Per *SON OP 40.450 (Distribution of Course Credit Hours in Courses with a Clinical Component)*, clinical hours are measured on at least a one-to-three basis for graduate programs. Both of these policies are reviewed every two years by the associate deans and

department chairs in collaboration with the appropriate councils. Refer, for example, to the policy review schedule by the Master of Science in Nursing Council in December 2016.

In the School of Pharmacy, moreover, *SOP OP 80.P.01 (Changes to the Professional Curriculum)* indicates that all changes to the Doctor of Pharmacy curriculum must be approved no later than the December faculty meeting prior to implementation of the proposed changes in the following academic year. Such changes include the structure of courses and number of semester credit hours. More specifically, SOP OP 80.P.02 (Length of Instruction) addresses expectations for student contact time per semester credit hour based on instructional delivery method. As outlined in the SOP Faculty Bylaws, the Curricular Affairs Committee (CAC) is responsible for evaluating the professional pharmacy education curriculum on an ongoing basis and developing curricular revisions to assure optimal student learning and outcomes. See, for example, the meeting minutes for the school's general faculty meeting in December 2017, including CAC's progress report.

As described in *Standard 6.2.c (Program Coordination)*, TTUHSC assigns appropriate responsibility for program coordination to ensure the quality, integrity, and review of its educational programs. This includes determining the amount and level of credit awarded for its courses. The qualifications of individuals involved in these processes were provided in another standard but are also linked below for reference. Although the organizational structure and curricular oversight processes differ for each TTUHSC school, this decentralized approach has proven to be successful in ensuring the quality of diverse program offerings across the institution.

Rosters of Program and Curriculum Oversight
Graduate School of Biomedical Sciences
School of Health Professions
School of Medicine
School of Nursing
School of Pharmacy

PUBLICATION OF COURSE CREDIT HOURS
Information about course credit hours is posted in the schools' electronic catalogs on an annual basis. The 2017-2018 catalogs are provided here for reference: (1) Graduate School of Biomedical Sciences, (2) School of Health Professions, (3) School of Medicine, (4) School of Nursing, and (5) School of Pharmacy. Each TTUHSC school uses a course numbering system comparable to systems used by peer institutions. In general, the first digit of each course number indicates the level of the course; the second digit indicates the number of semester credit hours associated with the course; and the remaining digits represent the distinguishing numbers for the course. Consider the following example from the Master of Science in Addiction Counseling.

> ***HPAC 5301 Introduction to Counseling and Ethical Development (3:3:0,O)*** *This course introduces students to the profession of counseling, including the history of the counseling profession, professional accreditation and licensure requirements, the role of professional organizations in counseling, consultation with counselors and related professionals, counselor supervision, and self-care strategies. Course materials and learning activities foster the development of critical thinking skills in the areas of professional ethics and ethical decision making, multicultural and social justice awareness and competencies, and professional advocacy. This course also focuses on the laws and regulations governing the practice of counseling and the American Counseling Association (ACA) professional code of ethics. ISBN: 978-0130985361*

The course prefix, *HPAC*, indicates that the course is offered through the School of Health Professions (HP) and Addiction Counseling (AC) program. The course number, *5301*, indicates that it is a graduate-level course at

the 5000 level and is a 3-credit hour course. Oftentimes, after the course name, a school will also indicate important course information in parentheses. For example, *"(3:3:0, O)"* communicates to a student that the course is 3 credit hours, 3 lecture hours per week, and 0 clinical hours per week. The "O" indicates the course is offered online. Other common abbreviations include "F" for a traditional, face-to-face course and "H" for a hybrid course with a combination of face-to-face and online requirements.

SUMMARY

TTUHSC publishes and implements sound policies and procedures for defining a credit hour and determining the amount and level of credit awarded for courses, regardless of format or mode of delivery. These procedures conform to Commission policy and commonly accepted practices in higher education. Qualified faculty across all TTUHSC schools have a critical role in ensuring that the amount and credit awarded for courses align not only with program accrediting standards, but also with federal, state, and institutional requirements. For these reasons, TTUHSC is compliant with the current standard.

10.8

Evaluating and Awarding Academic Credit

The institution publishes policies for evaluating, awarding, and accepting credit not originating from the institution. The institution ensures (a) the academic quality of any credit or coursework recorded on its transcript, (b) an approval process with oversight by persons academically qualified to make the necessary judgments, and (c) the credit awarded is comparable to a designated credit experience and is consistent with the institution's mission.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) publishes acceptance of credit policies approved by qualified individuals and ensures that all coursework and learning outcomes are at the collegiate level consistent with its mission. TTUHSC's mission is "to enrich the lives of others by educating students to become collaborative health care professionals, providing excellent patient care, and advancing knowledge through innovative research." The transfer and transcription of academic credit at TTUHSC is coordinated by the admissions offices of the TTUHSC schools in cooperation with the TTUHSC Office of the Registrar. All TTUHSC policies regarding the acceptance of academic credit have been developed by qualified faculty in accordance with rules established by the Texas Legislature (*Texas Education Code, §51.968*), and the Texas Higher Education Coordinating Board (THECB) (*Title 19 Texas Administrative Code, §4.2*) and guidelines of relevant accrediting organizations (HSC Accrediting Organizations for Degree Programs). See also *Standard 10.7 (Policies for Awarding Credit).*

GUIDELINES GOVERNING THE ACCEPTANCE OF ACADEMIC CREDIT

Texas State Policies

The *Texas Education Code, §51.968* requires that each institution adopt a policy regarding the award of academic credit for entering students who have completed a post-secondary level program while in high school, including Advanced Placement (AP) course, College Level Examination Program (CLEP), and the International Baccalaureate Diploma (IBD). In addition, the *Texas Administrative Code, Title 19, Chapter 4, Subchapter B, Rules §4.21-36*, outline the requirements to be followed on the transfer of lower-division credit through the core curricula, field of study curricula, and a procedure for the resolution of transfer disputes. Specifically, §4.24 requires all lower-division courses in the Texas Common Course Numbering System (TCCNS) be made transferable to another public institution in Texas and §4.25 outlines the general requirements and limitations of transferring lower-division coursework such as semester credit hour guidelines and transfer student support services. Though TTUHSC does not offer lower-division courses, it still must certify that each student completes general education requirements. For more information, see *Standard 9.3 (General Education Requirements)*.

The transfer of graduate coursework is not regulated by the Texas Legislature or THECB, but is regulated by TTUHSC institutional and school policies.

TTUSHC Institutional Policies

HSC Operating Policy and Procedure (OP) 77.17, Core & Transfer Compliance Policy governs the transfer and transcription of academic credit, defining basic criteria for ensuring that any coursework or credit recorded on the institution's transcript is consistent with the institution's mission and is comparable in quality to

coursework offered through the institution's own degree programs. Institutional guidelines reflect good practices in higher education and are based in part on Texas state requirements and the SACSCOC policy statement on The Transfer of Academic Credit. To ensure TTUHSC maintains responsibility for the academic quality of its degree programs, the institutional transfer guidelines are reviewed by the TTUHSC registrar by May 1st each year, in consultation with representatives from each school as needed, and revised as necessary. The guidelines are available online in the TTUHSC e-Catalog, the Office of the Registrar's website, and the HSC Operating Policies and Procedures website.

HSC OP 77.17 requires that the evaluation of core and transfer credits be completed by the individual program. The program may decide how many total credit hours it is willing to accept for transfer as long as it adheres to state and institutional policies. During the admission process, students must submit official transcripts from all previous institutions to TTUHSC. Once the program completes the transfer evaluation, they submit a transfer request form to the Office of the Registrar. Refer to the redacted transfer request form as an example.

Each TTUHSC transcript states the name of the institution/s from which credits are transferred, along with the courses taken and their respective grades. For example, please see the attached School of Health Professions (SHP) BS Speech, Language, and Hearing Sciences and School of Nursing (SON) MSN Family Nurse Practitioner redacted transcripts of transfer students. Transfer credit is not calculated into the overall GPA at TTUHSC. For more information on the institutional percentage requirements for credits transferred to TTUHSC, please see *Standard 9.4 (Institutional Credits for an Undergraduate Degree)* and *Standard 9.5 (Institutional Credits for a Graduate Degree).*

TTUHSC School Specific Policies

The institutional guidelines are supplemented by school- and program-based policies that ensure the processes for evaluating, awarding, and accepting academic credit are in-line with discipline-specific accreditation standards. These policies provide specific information regarding the number of credit hours that can be transferred for a given program, the number of residential credit hours required in each program, and the individuals responsible for evaluating transfer credits for each school and program. School- and program-based policies regarding the transfer and transcription of academic credit are published on school websites and in school catalogs, handbooks, and policy manuals (links provided in *Table 10.8-A.* below).

TTUHSC faculty periodically review and revise school- and program-based policies to ensure the institution maintains responsibility for the academic quality of any course work or credit recorded on the institution's transcript.

Table 10.8-A. School-Based Policies and Committees Governing the Transfer and Transcription of Academic Credit

Relevant Policies	Policy Review Committees
Graduate School of Biomedical Sciences (GSBS)	
Transfer Credit Guidelines	GSBS Core Curriculum Coordination Committee
School of Health Professions (SHP)	
General Policies and Procedures/Academic Credit Details (information on transfer credits, credit for core requirements taken at another institution, and credit by	SHP Executive Committee SHP Academic Affairs

examination for prerequisite courses)	Committee
School of Medicine (SOM)	
Transfer Students, Advanced Standing (advanced standing program, role of admissions committee and administration in transfer admissions) The Admissions Process (information on undergraduate course requirements and prerequisite course listing)	SOM Educational Policy Committee SOM Admissions Committee SOM Student Affairs Committee
Grading Policy regarding assignment of credit	SOM Educational Policy Committee SOM Student Promotions and Professional Conduct Committee
School of Nursing (SON)	
Undergraduate Transfer of Credit Policy	Traditional Undergraduate Council Non-Traditional Undergraduate Councils: • Accelerated BSN Council • RN-BSN Undergraduate Council
Graduate Transfer of Credit Policy	Master of Science in Nursing (MSN) Council Doctor of Nursing Practice (DNP) Council
School of Pharmacy (SOP)	
The Admissions Process—Admissions Criteria (information on transfer credits for pre-pharmacy course work, advanced placement, and evaluation of foreign transcripts)	Student Admission Committee

MEANS OF DETERMINING COMPARABILITY OF COURSEWORK BY QUALIFIED INDIVIDUALS

As demonstrated in *Table 10.8.A*. above, TTUHSC faculty have primary oversight in developing policies on evaluating, awarding, and accepting academic credit. Moreover, experts in the subject, typically the Department Chairs and the Program Directors, evaluate and approve the traditional transfer of academic credit at TTUHSC. For undergraduate general education coursework, qualified admissions personnel may

evaluate and approve the transfer of credit in consultation with the institutional Core/Transfer Evaluator in the Office of the Registrar.

Refer to the SON and SHP procedure examples for evaluating academic credit below:

- SON follows the operating policies of *SON 40.479, Graduate Transfer of Credit* and *SON 60.040, Undergraduate Transfer of Credit* as indicated in Table 10.8.A. *SON 60.040* requires that undergraduate coursework requested for transfer be evaluated by the SON Office of Student Affairs with final approval of Associate Dean for Student Affairs and/or the Department Chair. See, for example, a core curriculum coursework transcript evaluation correspondence for an RN to BSN applicant. *SON 40.479* requires that evaluation and approval of graduate coursework for transfer be made by the Associate Dean of Student Affairs or Department Chair along with the Program Director.
- In accordance with *HSC OP 77.17*, SHP outlines transfer of credit guidelines in their handbook. See, for reference, transfer of credit evaluation process documentation from the SHP Admission's Office.

Determining Comparability of Coursework
In accordance with *HSC OP 77.17*, student transfer work must be comparable in terms of course content and student learning outcomes with TTUHSC courses. As previously stated, TTUHSC schools require applicants to submit official transcripts documenting previous coursework and degree programs to be evaluated by the subject matter experts in the schools. The evaluation process will determine whether the coursework to be transferred is in keeping with defined outcomes for the coursework and degree programs at the TTUHSC. Common means of determining course equivalency include the following:

Texas Common Course Numbering System. TTUHSC participates in the Texas Common Course Numbering System (TCCNS), which is a voluntary, cooperative effort among Texas community colleges and universities to facilitate the transfer of freshman- and sophomore-level general academic coursework. The TCCNS provides a shared, uniform set of course designations for students and their advisors to use in determining both course equivalency and degree applicability of transfer credit on a statewide basis. When students transfer between two participating TCCNS institutions, a course taken at the sending institution transfers as the course carrying the same TCCNS designation at the receiving institution.

Transfer Equivalency Search Website. This website is available through the Transfer Evaluation Office (TEO) at Texas Tech University (TTU), which is a four-year general academic institution in the Texas Tech University System that has an extensive history of performing course equivalency evaluations. This website enables TTUHSC staff members to search any courses that have been reviewed by TTU staff for core equivalency at colleges and universities across the United States and internationally.

Consider, for example, a TTUHSC applicant who submits a transcript from Casper College in Wyoming. The applicant successfully completed *CO/M 1030: Interpersonal Communication* at this institution. To determine whether this course meets a general education requirement, a TTUHSC admissions officer may search the website referenced above and determine that this course has indeed been evaluated for core equivalency and meets the requirements for the *Social and Behavioral Sciences* category. Refer to the Transfer Equivalency Search example.

If a TTUHSC applicant ever submits a transcript with a course that has not been evaluated for core equivalency, then TTUHSC personnel may request a special review by qualified TTU staff members. However, the need for such reviews is not a common occurrence.

Review of Course Descriptions, Course Syllabi, and Catalogs. Decisions about transfer credit for upper-division coursework completed at another public institution in Texas and for all academic coursework completed at private or out-of-state institutions are made following a thorough review of the transcript for evidence of satisfactory coursework completion and a review of course catalog descriptions and course syllabi as necessary to determine course equivalency by an expert in the subject.

ACADEMIC CREDIT BY EXPERIENCES, EXAMINATIONS, AND AGREEMENTS

Experiential Learning

By nature of being a health sciences center, experiential learning through clinical rotations and clerkships are required by the majority of the student population at TTUHSC. For example, in the School of Pharmacy (SOP), students may elect to travel to Keio University in Japan for a clinical rotation experience. In this experience, students receive credit on their transcript for TTUHSC PHAR 4633, Special Topics I. See, for example, a redacted transcript of a student who participated in this program. The SOP program director at TTUHSC develops the student learning outcomes for the rotation experience and monitors the student's participation.

Similarly, the School of Medicine (SOM) allows for Year 4 students to experience their clinical rotations at an approved location. After the rotation experience is complete, the student turns in a Rotation Evaluation Form to the TTUHSC SOM Office of Student Affairs.

Students in the Graduate School of Biomedical Sciences (GSBS), for example, may spend a semester learning research techniques in an approved laboratory. Students must get prior approval in writing from the school. Credit for this experience is awarded as a GSBS Special Topics course.

Credit by Examination

HSC OP 77.07, Credit by Examination states that HSC schools have the authority to accept or reject credit by examination. All TTUHSC schools accept credit by examination in some form, except SOP. Refer to the following SON and SOM policy examples:

- SON allows for credit to be earned by examination for prerequisites courses for students enrolled in the Traditional and Accelerated BSN degree programs, up to 15 hours. SON does not accept credit by examination for nursing courses.
- SOM students who have fulfilled the equivalent of required medical courses at another school or as a graduate student at TTUHSC may be required to take placement tests to receive credit in accordance with SOM OP 30.01, Grading Policy.

Articulation Agreements

TTUHSC has many articulation agreements with colleges in the surrounding areas as well as across the state of Texas. GSBS is the only TTUHSC school that does not have articulation agreements.

For instance, SON and SHP offer undergraduate degrees in Nursing and Healthcare Management, respectively, providing opportunities to collaborate with junior colleges. In these cases, students complete two years at a junior college with pre-admission or preferred admission status to TTUSHC SHP or SON to complete their undergraduate degree. SHP, for example, has articulation agreements for admission into the Bachelor of Science Healthcare Management program with McLennan Community College, South Plains College, Amarillo College, and Clarendon College. The SON Bachelor of Nursing program has articulation agreements with Austin Community College, Midland College, Odessa College, and South Plains College to name a few.

Additionally, SOP has articulation agreements with Abilene Christian University, McMurry University, and Hardin-Simmons University. All of these institutions are located in Abilene where TTUHSC SOP students can

complete the 4-year TTUHSC pharmacy curriculum. The agreements allow for students to complete three years of undergraduate coursework at the partnering institution then transition into the TTUHSC School of Pharmacy.

Lastly, SOM has only one advanced standing articulation agreement in which it accepts two DDS/DMD graduates from the Texas A&M Baylor College of Dentistry into Year 2 of the curriculum to complete the MD degree prior to fulfillment of residency requirements for the Oral Maxillofacial Surgery program.

SUMMARY

TTUHSC publishes policies consistent with the institution's mission to assure the appropriate evaluation, award, and acceptance of transfer credit, experiential learning, credit by examination, and advanced placement. These policies are periodically reviewed by each school's qualified faculty in coordination with the Office of the Registrar. This cooperative structure provides sufficient checks and balances to confirm the academic quality of coursework recorded on the institution’s transcript.

10.9

Cooperative Academic Arrangements

The institution ensures the quality and integrity of the work recorded when an institution transcripts courses or credits as its own when offered through a cooperative academic arrangement. The institution maintains formal agreements between the parties involved, and the institution regularly evaluates such agreements.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) ensures the quality of all academic programs offered through cooperative arrangements and regularly evaluates such programs and agreements with regard to the institution's mission. TTUHSC has four dual degree programs, all of which are offered in cooperation with Texas Tech University (TTU). TTUHSC does not offer any other type of cooperative arrangement where coursework from another institution is transcripted as its own credit.

COOPERATIVE ACADEMIC ARRANGEMENTS

To ensure the quality and integrity of academic coursework offered through dual degree programs, all such programs follow institutional academic program approval and review processes. For more detailed information on these processes, please see *Standard 10.4 (Academic Governance)*. In addition, all cooperative program agreements are reviewed each odd-numbered year to ensure continued alignment with accreditation requirements and the TTUHSC mission. The Office of Institutional Effectiveness and Accreditation (OIEA) sends an MOU Review Email and TTUHSC MOU Review Template to each school offering a dual degree program(s), reminding them of the requirement to review the degree. After the review is completed, the schools complete the template and send it back to OIEA. Documentation of these reviews is provided below.

In addition, TTUHSC and TTU developed a standard MOU in 2017 regarding dual degree programs between the two universities. All new dual degree programs between the institutions will follow the MOU template as another method of ensuring the quality and integrity of the program.

The Graduate School of Biomedical Sciences (GSBS) and the School of Pharmacy (SOP) are the only TTUHSC schools offering dual degree programs, in which academic credit earned at one institution is accepted at the other institution and recorded on each institution's transcripts. In this case, each of the programs accepts credit from the other institution as credit toward its own degree program. For dual degree programs where TTUHSC accepts coursework from the other program in the agreement, academic credit is recorded on the transcript similar to transfer credit.

TTUHSC's dual degree programs include:

- Biotechnology M.S./MBA (Agreement, Review Documentation)
- Biomedical Sciences Ph.D./MBA (Agreement, Review Documentation)
- Biotechnology M.S./JD (Agreement) *Please note that this program was approved by SACSCOC in Spring 2017 and will complete its first review process in March 2019.*
- Pharmacy PharmD/MBA (Agreement, Review Documentation)

The M.S./MBA, Ph.D./MBA, and M.S./JD programs are located within GSBS. The M.S./MBA and Ph.D./MBA programs were developed concurrently. They were approved and implemented in the fall of 2015. TTU Rawls College of Business accepts 12 semester credit hours of core courses from Biomedical Sciences as electives in the MBA program for both the M.S. in Biotechnology and the Ph.D. in Biomedical Sciences. These dual degrees are intended to provide graduates working in STEM fields a business background that prepares them for both science and management.

The Biotechnology M.S./JD is offered with the TTU School of Law. Under this agreement, the GSBS accepts 12 semester credit hours from the School of Law curriculum as electives, and the School of Law accepts 12 semester credit hours of core curriculum from the Biotechnology program, similar to the MBA dual degree programs.

The PharmD/MBA was implemented in 2009, and the MOU has been reviewed multiple times since its implementation. As a result of its last review in 2017, the SOP appointed a Program Director responsible for monitoring the program to ensure compliance with accreditation agencies and requirements of the School.

See, for example, how credit is awarded on a TTUHSC dual degree program transcript.

SUMMARY

In conclusion, TTUHSC is in compliance with the current standard. TTUHSC requires signed agreements that delineate expectations and responsibilities for all dual degree programs. In addition, all dual degree programs at TTUHSC are reviewed and evaluated against the purpose and mission of the institution, ensuring the quality and integrity of the coursework.

11.1

Library and Learning/Information Resources

The institution provides adequate and appropriate library and learning/information resources, services, and support for its mission.

Judgment

☑ Compliance ❑ Partial Compliance ❑ Non-Compliance ❑ Not Applicable

Narrative

The Texas Tech University Health Sciences Center Libraries of the Health Sciences (TTUHSC Libraries) provide adequate and appropriate library resources and services to support its mission. TTUHSC Libraries include the Preston Smith Library in Lubbock and two branch libraries: the Harrington Library of the Health Sciences in Amarillo and the Library of the Health Sciences in Odessa. The collections, resources, and services of the TTUHSC Libraries expanded through partnerships with local, regional, and national libraries and by increased availability of holdings and library services through electronic means provide an appropriate level of support for all TTUHSC educational, research, clinical care, and public service programs regardless of location or mode of delivery. Furthermore, the TTUHSC Libraries provide learning/information resources and services appropriate to support the TTUHSC's mission, which is to "enrich the lives of others by educating students to become collaborative healthcare professionals, providing excellent patient care and advancing knowledge through innovative research." The institutional mission is clearly reflected in the TTUHSC Libraries mission of enhancing learning, research, and patient care in the digital age by providing knowledge-based resources, innovative support, and outstanding service to meet the needs of the community of West Texas. To achieve its mission, the TTUHSC library system provides on-campus and secure remote access to electronic information resources, allowing individuals using personal computers/tablets in classrooms, offices, laboratories, clinics, hospitals, libraries, and homes to access and obtain biomedical information when and where they need it.

OVERVIEW OF TTUHSC LIBRARIES

The largest collection of the TTUHSC Libraries is housed in Lubbock, and the system also maintains collections in Amarillo and Odessa. A table of TTUHSC "Certified and Degree Programs by Campus Programs" and a "Libraries of Texas Tech University Health Sciences Center Inventory" is available in the 23rd edition of the 2017 TTUHSC Fact Book. Each library collection is tailored to meet the programmatic needs of its campus. To effectively serve all schools, campuses, and students of TTUHSC, the libraries function as an integrated library system with three physical sites. The central administration of the TTUHSC Libraries is located in the Preston Smith Library of the Health Sciences in Lubbock. Public services and library collections are distributed physically among library facilities in Lubbock, Amarillo, and Odessa. Library services and resources are distributed electronically to all TTUHSC sites and users, including distance education students, through a secured remote access system.

Preston Smith Library of the Health Sciences in Lubbock

The Preston Smith Library serves TTUHSC students, faculty, and staff in the Schools of Medicine, Nursing, Pharmacy, Health Professions, and Biomedical Sciences. The library also provides support for medical and pharmacy residency programs. As the major resource for biomedical information in West Texas and as a component library of the TTUHSC Libraries of the Health Sciences, this flagship of the system also provides outreach services to health professionals, hospitals, clinics, and the general public throughout the South Plains area. The library has local volume holdings of more than 195,000 volumes, a 15-station computer lab, a total

of 394 seats, and 31 group study rooms for use by TTUHSC students. This library also features a fine rare books collection and several outstanding permanent exhibits of antique medical instruments and equipment. Twelve professional librarians, two professional staff members, fifteen classified staff members, and a contingent of student workers staff the Preston Smith Library.

Harrington Library of the Health Sciences in Amarillo

The northern anchor to the TTUHSC three-library system is the Harrington Library of the Health Sciences, which serves the TTUHSC Schools of Medicine, Pharmacy, and Health Professions. The library also provides support for medical and pharmacy residency programs. As the major resource of biomedical information in Northwest Texas, the library also offers biomedical information support to health professionals, hospitals, clinics, and the general public throughout the Panhandle area. Three professional librarians, three classified staff, and a contingent of student workers staff the Harrington Library. The Amarillo library's local holdings include close to 60,000 volumes. The facility has one computer classroom with 8 stations, a total of 112 seats, and 4 study rooms.

Library of the Health Sciences in Odessa

The collections and services of the library at Odessa are tailored to meet the needs of the Schools of Nursing, Health Professions, and, Medicine. The library also provides support for medical residency programs. As the major resource of biomedical information in the Permian Basin (Midland/Odessa), the library also offers biomedical information support to health professionals, hospitals, clinics, and the general public throughout the area. Two professional librarians, two classified staff, and several student workers staff the Odessa library. The Odessa library's local holdings include more than 30,000 volumes. The facility has 94 study seats, 3 study rooms, and 1 computer classroom with 18 workstations.

TTUHSC LIBRARIES' PROFESSIONAL COLLABORATIONS AND AFFILIATIONS

The TTUHSC Libraries maintain several cooperative affiliations/memberships with other libraries and agencies to expand access to necessary resources in support of the TTUHSC mission and programs, as described below.

South Central Academic Medical Libraries Consortium

Founded in 1982, the South Central Academic Medical Libraries Consortium (SCAMeL) is a group of academic medical libraries from the five-state region of Texas, Arkansas, Louisiana, Oklahoma, and New Mexico. TTUHSC is a charter member of this consortium. The directors of each of the member libraries serve as permanent board members. This group engages in brokering for group pricing on various commercially available databases and electronic journal and book packages. Examples of electronic products for which groups of members have shared the expense include the American Psychiatric Association's APPI collection, BMJ Journals, EXAM-Master, and the Natural Medicines Database.

National Library of Medicine's National Network of Libraries of Medicine

The mission of the National Network of Libraries of Medicine (NN/LM) is to advance the progress of medicine and improve the public's health by providing all U.S. health professionals with equal access to biomedical information and improving the public's access to information to enable them to make informed decisions about their health. The Program is coordinated by the National Library of Medicine and carried out through a nationwide network of health science libraries and information centers. Additionally, the program provides support to member libraries and information centers in the NN/LM to facilitate the provision of health information and services to health professionals and the general public. The TTUHSC Libraries of the Health Sciences are members of and serve as Resource Libraries in the NN/LM South Central Region. Resource libraries are selected on the basis of the quality and uniqueness of their collections, services, special expertise, and the support of national and regional programs serving the health information needs in their state or region. The University of North Texas Health Sciences Center serves as the Regional Medical Library (RML) in

the five-state region of Arkansas, Louisiana, New Mexico, Oklahoma and Texas. The RML provides educational sessions and funding opportunities to member libraries throughout the region. Funding opportunities are made available annually. For the 2016-17 outreach year, the TTUHSC Libraries received funding in the form of two grants, a Rural Health Outreach award entitled "Rural West Texas Health Outreach" in the amount of $1,945; and an Exhibit award in the amount of $627. These awards provided financial support for the TTUHSC Libraries to implement Prepared4Health initiative to promote NLM health information products to consumers, healthcare organizations and community-based organizations in West Texas. TTUHSC users also benefit from the Libraries' NN/LM membership through the DOCLINE automated interlibrary loan system. DOCLINE provides efficient document delivery service among the NN/LM network.

Association of Research Libraries

The Association of Research Libraries (ARL) is a not-for-profit membership organization comprising the libraries of North American research institutions and operates as a forum for the exchange of ideas and as an agent for collective action. The nonprofit organization actively engages in the development of new communication models for scholarly activities. Collectively, the TTU and TTUHSC Libraries have received the distinctive recognition of ARL member status, an honor held since 1997.

Association of Academic Health Sciences Libraries

The TTUHSC libraries have a full-voting membership in the Association of Academic Health Sciences Libraries (AAHSL), which supports academic health sciences libraries and directors in advancing the patient care, research, education, and community service missions of academic health centers through visionary executive leadership and expertise in health information, scholarly communication, and knowledge management. AAHSL promotes the success of its members through relevant programming and services, benchmarking; advocacy, partnerships with like-minded organizations, and the development of a community of colleagues. Annual projects include the AAHSL statistics.

Medical Library Association

The TTUHSC libraries have an institutional membership in the Medical Library Association (MLA) and participate in its programs and activities.

TexShare Electronic Databases

TexShare Databases are e-resources licensed for the exclusive use of Texas libraries and their patrons and include both general and health-related information.

TTUHSC LIBRARIES RESOURCES AND SERVICES

Collections and Resources

The libraries of the TTUHSC system are fully computerized and share a common online catalog as well as a variety of electronic databases. TTUHSC library users currently have access to 290,007 bound volumes, 22,235 electronic journals, 88,678 electronic books, and 579 electronic databases. They also have access to 3,264 open access e-books and 3,772 open access e-journals. Through a proxy server, users may access this material from off-site locations as well. Research interests of the TTUHSC community are supported by the library through numerous research journals, unlimited access to full-text linkouts, as well as bibliographic management tools. See *Table 11.1-A* below comparing TTUHSC collections with peer institutions.

Table 11.1-A: Peer Institution Comparison - Physical Volumes, 2016-17

Institution	Physical Volumes	Databases	Student Enrollment
Texas Tech University Health Sciences Center	**290,007**	**579**	**4337**
University of North Texas Health Sciences Center	**18,213**	**125**	**2362**
University of Texas Health Sciences Center—San Antonio	**245,499**	**121**	**3130**
University of Texas Medical Branch—Galveston	**199,794**	**399**	**3169**

Source: Annual Statistics of Medical School Libraries (AAHSL) and The Texas Higher Education Coordinating Board (THECB)

The TTUHSC Libraries support student and faculty access to necessary resources and services through a combination of onsite and electronic access. The transition from primarily paper resources and face-to-face guidance to electronic resources and online assistance ensures access to the library and its wealth of academic support services to all faculty, students, and staff regardless of their geographic location. The gateway to all library and learning resources and services is the TTUHSC Libraries' homepage. Here the user can gain access to all paper and electronic resources, services, library policies, contact information, and *Ask a Librarian*. Resources are listed in a variety of ways to make finding them as easy and transparent as possible. The Popular Resources list on the page links to most commonly used resources, such as PubMed, ClinicalKey, Embase, Micromedex, CINAHL Complete, Nursing Reference Center, and SCOPUS to name just a few of the library's 579 databases, which are all accessible remotely by TTUHSC eRaider username/password. For requests for help or queries about library resources, the library's contact information and hours are provided. For more information on Library and learning/information access, please see *Standard 11.3 (Library and Learning/Information Access).*

Library Staff. The libraries employ 47.91 full-time-equivalent employees, including 17 professional librarians and faculty members, each of whom has a master's degree in Library Science from an institution accredited by the American Library Association. Professional librarians also hold academic appointments in the School of Medicine-Lubbock and teach a variety of information management and computer courses to students of all degree programs within the TTUHSC. In the 2016-17 TTUHSC Student Satisfaction Survey, the majority of the students surveyed indicated that the librarians were helpful in locating resources. For more information on library staff, please see *Standard 11.2 (Library and Learning/Information Staff).*

Services

Reference librarians are available for expert research consultations by appointment, walk-in, online, or by phone. Library instruction is offered for all schools. Web-based research guides provide subject-specific lists of resources from the library's holdings. Interlibrary loan (ILL) allows faculty, staff, and students to obtain books and copies of articles from any library in the country. The library's Facebook and Twitter accounts offer basic information and announcements about resources and services.

Ask a Librarian allows the user to instant message, text, phone, or email for help and is accessible on the library's homepage. Visitors are always welcome to ask for assistance at the library's Circulation Desk, which is staffed during the library's normal open hours. The three TTUHSC Libraries are open seven days per week. The Lubbock library is open 108.5 hours per week, the Amarillo library is open 87.5 hours per week, and the

Odessa library is open 68 hours per week. During fiscal year 2016-17, the three libraries had a total attendance of 122,490 users. See *Table 11.1-B* below for peer comparison data on the use of library resources.

Table 11.1-B: Peer Institution Comparison - Use of Library Resources: ILL Borrowing & Lending, Document Delivery, Information Services, Online Guides, and Gate Count, 2016-17

Institution	ILL Item Borrowed	ILL Lending Requests Filled	Document Delivery Request Filled	Information Services	Online Guides	Gate Count
Texas Tech University Health Sciences Center	**971**	**6,297**	**1,289**	**15,977**	**5,673**	**122,490**
University of North Texas Heath Sciences Center	**2,057**	**1,971**	**243**	**930**	**30,059**	**342,606**
University of Texas Heath Sciences Center—San Antonio	**1,699**	**2,293**	**315**	**1,357**	**9,632**	**324,886**
University of Texas Medical Branch—Galveston	**5,136**	**4,407**	**1,831**	**18,956**	**98,530**	**238,379**

Source: Annual Statistics of Medical School Libraries (AAHSL)

The three TTUHSC libraries (Lubbock, Amarillo, and Odessa) maintain 13 publicly accessible computers with full access to the library's resources and the Internet. Both wireless and wired network access is available to patrons. The library maintains printers for users who wish to make copies of any available resources. The library has scanners available in its Learning Resource Center and at the Circulation Desk and allows the user to save their scans to a USB thumb drive. Collectively, the TTUHSC Libraries have seating for 600 users and provide 38 small-group study rooms with whiteboards or glass boards, 13 public workstations, and 3 computer classrooms. The total number of computers in the three computer classrooms is 41. All libraries provide easy access to group study rooms, individual carrels, and a quiet atmosphere conducive to study. The libraries in Lubbock and Odessa house 3D printers that are used to support the educational and research needs of the faculty and students. Please see *Table 11.1-C* for information on library space capacity.

Table 11.1-C. Library Space Capacity

	Lubbock	Amarillo	Odessa
Square Feet	**50,000**	**11,499**	**10,767**
Small group study rooms	**31**	**4**	**3**
Number of seats	**394**	**112**	**94**

ENSURING APPROPRIATE AND ADEQUATE RESOURCES AND SERVICES

Several mechanisms are in place to ensure that the TTUHSC Libraries continue to provide learning/information resources and services that are related to the institutional mission and appropriate to the institution's programmatic needs, including the following:

- Determinations regarding the libraries' facilities, services, and resources are made in accordance with the TTUHSC Libraries' mission and expected outcomes, which are aligned with the institutional mission and strategic plan. The Office of the Executive Director of the TTUHSC Libraries has defined outcomes and developed assessment plans for overall administration of the library. These are documented in WEAVE, the institution's online data assessment system.
- The library system has created an Acquisition and Collection Development Policy that provides clear guidelines for selecting both print and non-print materials for the collections. The policy identifies the scope and coverage of the collections, including core, related, and peripheral subjects of the biomedical literature that are to be included in the collections and the corresponding levels of coverage to be maintained. The policy also includes selection guidelines and retention policies.
- Each of the TTUHSC Libraries has its own library committee representing the library users at that location. Current library committee members are selected in accordance with the Bylaws for TTUHSC Library Committee. The committees serve in an advisory role and help the Executive Director of the Library and library professional staff make decisions regarding library services, growth, and development (Library Committees Charge). For example, in response to concerns raised by student members of the Lubbock library committee, the library purchase new chargers for laptops, mobile phones, and tablets, as documented in the attached meeting minutes.
- When making decisions about the libraries' resources and services, library staff also consult TTUHSC faculty, library usage data, user satisfaction data, and publishers' promotional materials.

OTHER LEARNING/INFORMATION RESOURCES

In addition to the learning and information resources provided by the TTUHSC Libraries, the institution provides several other learning resources to students and faculty, including the following:

Continuing Education/Service Programs

TTUHSC and its five schools carry out a variety of continuing education, outreach, and service programs in support of the institutional mission, including continuing education programs developed by TTUHSC faculty as well as outreach and service programs conducted by faculty, staff, and students in collaboration with community groups.

Academic Support Services

TTUHSC provides a variety of academic support programs and services to facilitate the academic excellence of students and faculty. These services are coordinated through several offices at the institutional level, through the TTUHSC institutes and centers, and through school-based academic support offices, as described in *Standard 12.1 (Student Support Services).*

Educational Technology

TTUHSC provides a variety of educational technology tools and services to promote student learning and support traditional and distance education programs, including SAKAI and Canvas, online educational platforms that allow instructors to create virtual classroom environments; TechLink, a video conferencing infrastructure that facilitates communication among campuses; clinical simulation centers, equipped with simulation technology to provide students with risk-free hands-on clinical education; and various other educational technologies that facilitate interactive learning experiences. TTUHSC provides convenient, reliable, and secure access to the institution's data network and associated academic and administrative information in a unified online campus environment. In addition, TTUHSC offers a variety of training opportunities for students, faculty, and staff to facilitate effective and appropriate use of educational technology tools.

SAKAI. SAKAI is a flexible and feature-rich online educational environment that facilitates interactive learning

in both traditional and online courses. SAKAI allows instructors to create a virtual classroom environment that is accessible to students around the clock. Instructors use SAKAI to post course materials, such as syllabi, lecture notes, handouts, and links to streaming videos of course lectures; to facilitate student collaboration and discussion using SAKAI's online group and discussion-board features; and to deliver secure online examinations. Four TTUHSC schools use SAKAI to enhance traditionally delivered courses with online learning tools. The Schools of Health Professions and Pharmacy also use SAKAI to deliver online education courses.

Canvas. Beginning Summer 2018, the School of Nursing began piloting an online learning management system called Canvas to deliver its online courses and programs. Similar to SAKAI, Canvas allows for class material to be delivered virtually. It is a cloud-based system that promotes itself as making teaching and learning easier. Canvas uses basic Learning Management System (LMS) functionality for managing enrollments, sharing documents, submitting assignments, assigning grades as well as delivering exams and providing personalized features for individual students.

Video Network Systems. TechLink is TTUHSC's video conferencing infrastructure. TechLink supports distance learning, telemedicine, and general business applications through video conferencing. With TechLink, TTUHSC students, faculty, and staff can have a multi-campus meeting. TechLink services in distance education classrooms allow faculty members the opportunity to teach students in several locations simultaneously. A study conducted by faculty in the TTUHSC School of Pharmacy assessed the impact on student performance of using interactive videoconferencing technology for distance learning and found that there was no significant difference in academic performance as assessed by final course grades between students who attended class in person or by interactive videoconferencing.

The TechLink network connects 56 distance learning classrooms and 36 conference rooms across campuses/sites in Lubbock, Abilene, Amarillo, Dallas, Midland, and Odessa. The Techlink network underwent a complete upgrade coming on-line in 2010. Using state-of-the-art compressed high definition digital video and audio technology, the network provides live, interactive video teleconferencing capability among all campuses for research, administrative, teaching, and other educational support activities. Carrying 29,461 event hours in FY 2016, the network:

- Maximizes the outreach and impact of limited faculty resources;
- Provides quality undergraduate and graduate courses to students on all campuses;
- Facilitates curriculum consistency and continuity; and
- Reduces faculty and student travel among the campuses.

The network also features a video teleconferencing portal for connecting TTUHSC classrooms and conference rooms on the TechLink network to those of other institutions such as medical centers and universities. This enables TTUHSC faculty, staff and students to collaborate with colleagues at other locations on a wide variety of academic, business and healthcare matters, reducing the need for frequent travel. To preserve the value of video conferencing technology as a teaching, healthcare, and communications medium, TTUHSC has established standards for user training, acceptable use, configuration management, resource scheduling, and security for the TTUHSC video conferencing systems. These standards are detailed in the TTUHSC IT Policies, Section 2, Institutional Videoconferencing Systems.

Simulation Program. Recent national developments related to patient safety, interprofessional education, and collaborative practice, along with changes in accreditation requirements, and recommendations from national organizations, have led to a radical transformation in the education of healthcare professionals. TTUHSC received national accreditation for the Simulation Center in 2018 from the Society of Simulation in Healthcare (SSH). The use of simulation has significantly increased exponentially over the past decade. Research

demonstrates that integrating simulation-based learning through the curricula improves learners' technical and nontechnical skill development, clinical competencies, critical thinking, and teamwork skills. Based on these findings, various TTUHSC schools have integrated simulation-based learning and assessment throughout their curricula. To support this strategic endeavor, TTUHSC now has four interprofessional simulation centers located on the campuses in Abilene, Amarillo, Lubbock, and Odessa, with one under construction in Dallas:

- The TTUHSC Simulation Center, Abilene has 14,394 sq. ft.
- The TTUHSC simulation Center, Amarillo has 20,593 sq. ft.
- The F. Marie Hall SimLife Center, Lubbock has 24,500 sq. ft. with an additional 8,500 sq. ft. to be completed in 2019.
- The Louise and Clay Wood Simulation Center, Odessa has 13,000 sq. ft.
- The TTUHSC Simulation Center, Dallas is estimated to be completed in 2019.

The centers provide an authentic state-of-the-art environment to support evidence-based activities to help students, residents, and healthcare practitioners develop the knowledge, skills, attitudes, and behaviors required to practice collaboratively in today's dynamic healthcare environment. The simulation centers provide learners the opportunity to practice and master psychomotor and affective intra and interprofessional skills in a low-risk environment prior to contact with real patients. Partial-task trainers, peer-to-peer activities, standardized patients, high-fidelity and mid-fidelity simulators, and haptic devices are available in all centers. Additionally, each center has a sophistical digital audio-visual system and is subdivided into several specific but related areas, including the following:

- **Simulated Acute Care Patient Rooms.** These rooms represent the authentic patient care environment of a medical-surgical unit and are equipped with electronic beds, over-bed tables, bedside tables, and with headwalls providing suctioning and oxygen (lab air) capabilities.

- **Simulated Clinic Setting Area**. Designed to mimic a clinic setting, this area is subdivided into examination rooms or cubicles. Each state-of-the-art examination room is fully stocked with the supplies and equipment necessary for performing a physical examination.

- **High Fidelity Simulation Area.** This area is composed of multiple rooms that are home to various high-fidelity simulators (adult, pediatric, infant, and maternal). These full-body simulators have realistic anatomy and clinical functionality. Rooms in the high-fidelity simulation area are designed to allow faculty to observe the learners' actions through a one-way observation window and are equipped with ceiling-mounted digital cameras and microphones to allow for event recording in an adjoining control room. Each room has realistic wall suction units, oxygen (lab air) outlets. In addition, bedside-networked computers are provided for point-of-care charting, and access to web-based resources and automated medication dispensing systems are available as needed to support the realism of the activity. All the centers have an operating room and birthing suite.

- **Standardized Patient Program Area.** This area is designed to allow individuals trained to portray specific-events (Standardized Patients)to be integrated into both learning and assessment activities. The area is composed of individual-patient clinical-type rooms that are equipped with ceiling mounted digital cameras and microphones to allow for event recording and storage as needed for testing purposes.

Simulation technology can also be used outside of the centers upon request. For example, faculty in the School of Medicine's Department of Anesthesiology staged in situ crisis resource management scenarios

for residents' training and in acute care operating and emergency rooms. The faculty in the School of Nursing utilize the flipped classroom approach to conduct simulations using a high fidelity simulator in the classroom setting. In all cases, equipment, props, and moulage are provided by the center to support realism to enhance the students' learning.

Collaborative agreements have been arranged with simulation centers at various locations throughout Texas to support distant students. Through such arrangements, local simulation centers provide the facilities and use of high fidelity simulators, while, TTUHSC faculty facilitate the students' learning and conduct any assessment activities. Additionally, any supplies, partial trainers or support for unique simulation experiences are provided by the TTUHSC Simulation Program. This arrangement allows all TTUHSC students to experience compatible simulation-based activities.

Physical Facilities

As indicated above, public services and library collections are distributed physically among library facilities in Lubbock, Amarillo, and Odessa. Library services and resources are distributed electronically to all TTUHSC campuses/sites and users through a secured remote access system. Associated Learning and Information Resources spaces are reported to the Texas Higher Education Coordinating Board (THECB) on an annual basis for all the TTUHSC campuses. Spaces that are typically associated with learning/information are identified by the THECB as Study Space, Student Lounge, Student Stack, Student Writing Center Areas, Library Processing Space, and Student Study Service. Detailed square footage summaries are included with this report along with floor plans graphically depicting these areas by campus, as shown Exhibits 1 through 6. The summary information includes a description of each of these spaces as defined by THECB. Physical facilities at each site are designed to appropriately serve the needs of the institution's educational programs, support services, and other mission-related activities at that site, as described in *Standard 13.7 (Physical Resources).*

SUMMARY

The TTUHSC libraries have resources adequate to meet the educational, research, service, and clinical care needs of its faculty, staff, and students regardless of their geographic location. TTUHSC provides resources and services for students and faculty face-to-face and online, with information technology used to improve and enhance the delivery of services. Effective processes are used to monitor and assess the sufficiency of library collections, learning resources, and services, and TTUHSC uses the results to enhance quality. The evidence presented in this narrative demonstrates that TTUHSC collections, resources, and services are adequate and sufficient to support all institutional educational, research, service, and clinical care programs and the TTUHSC mission.

11.2

Library and Learning/Information Staff

The institution ensures an adequate number of professional and other staff with appropriate education or experiences in library and/or other learning/information resources to accomplish the mission of the institution.

Judgment

☑ Compliance ❑ Partial Compliance ❑ Non-Compliance ❑ Not Applicable

Narrative

The mission of the Texas Tech University Health Sciences Center (TTUHSC) is to, "enrich the lives of others by educating students to become collaborative healthcare professionals, providing excellent patient care, and advancing knowledge through innovative research." The Texas Tech University Health Sciences Center Libraries of the Health Sciences (TTUHSC Libraries) are one integrated library system with three physical sites to serve the faculty, staff, and students of TTUHSC regardless of their location. There are three service areas in the library: Public Services (including Reference, Circulation, Interlibrary Loan, and the Learning Resource Center), Acquisitions and Collection Development (including the processing of resource licenses and cataloging), and Extramural and Outreach Services (including training on the use of online resources and library services contracts with outside organizations). With this structure, the aim of the TTUHSC Libraries is to fully support the educational, research, clinical, and service needs of TTUHSC.

The central administration of the TTUHSC Libraries is located in the Preston Smith Library of the Health Sciences in Lubbock. Public Services and library collections are physically distributed among library facilities in Lubbock (Preston Smith Library of the Health Sciences), Amarillo (Harrington Library of the Health Sciences), and Odessa (Library of the Health Sciences). Library services and resources are electronically distributed to all TTUHSC sites and users (including distanced education students) through a secured remote access system.

LIBRARY STAFF

TTUHSC libraries are staffed by 17 librarians, 2 other professionals, 20 staff members, and a number of part-time student assistants whose collective work hours are equivalent to 8.91 full-time workers. See, for reference, the TTUHSC Libraries organizational chart. These 47.91 full-time-equivalent employees are distributed across the three locations, 34.33 in Lubbock, 7.95 in Amarillo, and 5.63 in Odessa. In addition, the full-time equivalent library staff to student ratio is 1:91 and the library staff to faculty ratio is 1:15. Please see Table *11.2-A* below on peer comparison data regarding library personnel.

Table 11.2-A. Comparision of TTUHSC Library Personnel with Peer Institutions, 2016-2017

Institution	Professional Librarian FTE	Other Professional FTE	Para-Professional & Clerical FTE	Student & Hourly FTE	Student Enrollment	Total Staff
Texas Tech University Health Sciences Center	**17**	**2**	**20**	**8.91**	**4,337**	**47.91**
University of North Texas Health Sciences Center	**18**	**1**	**9**	**1**	**2,362**	**32**

University of Texas Health Sciences Center - San Antonio	**12**	**2**	**9**	**2.39**	**3,130**	**25.39**
University of Texas Medical Branch - Galveston	**9**	**1**	**24**	**0**	**3,169**	**34**

Source: Annual Statistics of Medical School Libraries and The Texas Higher Education Coordinating Board (THECB)

Each of the professional librarians has the terminal degree of practice, a Master of Library Science (MLS) or equivalent from an institution accredited by the American Library Association. See, for reference, the library staff roster. In addition, see the attached position descriptions for the Executive Director, Managing Director, Associate Managing Director, Unit Associate Director, and the Unit Manager of the TTUHSC Libraries. Several librarians have earned additional masters degrees in such fields as education or public health. The professional librarians also hold academic appointments in the School of Medicine and teach a variety of information management and computer courses to students of all degree programs within the TTUHSC. The Executive Director of the TTUHSC Libraries, Dr. Richard Nollan, has been a health sciences librarian for 30 years. Before coming to TTUHSC in December 2016, he was at the University of Tennessee Health Sciences Library where he worked as a clinical librarian, research and learning services department head, and as Interim Associate Director. His research interests have centered around information seeking behavior, evidence-based health care, systematic reviews, and the history of U.S. medicine. Official transcripts of each professional library staff member are on file in the office of the Executive Director of Libraries in Lubbock and are available upon request.

All librarians are encouraged to participate in professional organizations such as the Medical Library Association (MLA) and the South Central Chapter (SCC) of MLA or other meetings as appropriate to their fields. As the primary national professional association of medical librarians, MLA and its regional affiliate, the SCC, provide a number of continuing education opportunities at their annual meetings. See, for reference, a sample of MLA training certificates earned by the TTUHSC library professional staff. TTUHSC's library administration pays the conference registration fee and for one continuing education offering per year for each librarian. For example, the library administration usually pays for each librarian to attend one national or regional conference per year, but will consider other conference or continuing education programs on a case by case basis. Librarians are also encouraged to participate in webinars offered by professional organizations, and the library will pay if there is a fee. At a minimum, the librarians are given release time to attend such meetings. The library administration also funds other continuing education activities, including face-to-face and online courses. Paraprofessional and clerical staff are also encouraged to participate in work-related continuing education opportunities consistent with their duties. Library administration supports the continuing education of staff by providing release time and, when appropriate, full funding support. For instance, in fiscal year 2017, the TTUHSC Libraries spent $28,944 on professional development activities for professional librarians and staff. Records of continuing education activity are maintained in the administrative office of the Preston Smith Library in Lubbock.

PATRON SATISFACTION

Faculty, students, and staff members have been asked to rate their satisfaction with the effectiveness of library personnel either through institutional or library-based satisfaction surveys. Results from the 2016-17 TTUHSC Student Satisfaction Survey indicate that the majority of students were satisfied to very satisfied with the helpfulness of the library staff. Library-based surveys, such as the Odessa campus survey, found that the staff were listed as one of the things that the patrons liked best about the library.

SUMMARY
The TTUHSC Libraries of the Health Sciences are comprised of three integrated libraries with the main library located in Lubbock and two branch libraries in Amarillo and Odessa. The number of librarians and staff across the three locations are adequate to meet instructional and service needs. All librarians have the terminal degree for the profession, and several have second degrees, and all are experienced in their areas. Librarians are strongly encouraged to take advantage of traditional and online continuing education of all kinds, and they are provided financial support to attend professional meetings that are appropriate for their areas.

11.3

Library and Learning/Information Access

The institution provides (a) student and faculty access and user privileges to its library services and (b) access to regular and timely instruction in the use of the library and other learning/information resources.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) ensures that students, faculty, and staff have access to its library services and regular and timely instruction in the use of the library and other learning/information resources. *Standard 11.1 (Library and Learning/Information Resources)* describes these services and resources in great detail. *Standard 11.2 (Library and Learning/Information Staff)* addresses the adequacy and qualifications of individuals who provide such services at TTUHSC. Finally, *Standard 8.2.c (Student Outcomes: Academic and Student Services)* explains the ongoing and systematic evaluation processes in these related areas. Thus, the subsequent narrative will focus primarily on the access to and instruction in the use of such services.

ACCESS TO LIBRARY SERVICES

The TTUHSC Libraries of the Health Sciences (TTUHSC Libraries) has three physical locations and an extensive virtual presence to meet the needs of faculty, staff, and students across all campuses and educational programs, including those offered via traditional, face-to-face instruction and distance education. User privileges are the same for current students, faculty, and staff. Typical hours of operation for each library are posted on the library website, including weekly and monthly calendars noting any schedule changes.

Preston Smith Library

The Preston Smith Library serves TTUHSC students, faculty, and staff in all schools: (1) Graduate School of Biomedical Sciences, (2) School of Health Professions, (3) School of Medicine, (4) School of Nursing, and (5) School of Pharmacy. The library also provides support for medical and pharmacy residency programs and outreach services to health professionals, hospitals, clinics, and the general public throughout the South Plains region in Texas. The library has local holdings of more than 175,000 volumes, a multi-station computer lab, a plethora of study rooms for use by individual students and small groups, a fine rare books collection, and several permanent exhibits of antique medical instruments and equipment. Typical hours of operation are provided below.

Hours of Operation
Monday through Thursday: 7:30 am - Midnight
Friday: 7:30 am - 10:00 pm
Saturday: 9:00 am - 10:00 pm
Sunday: 9:00 am - Midnight

Harrington Library
The Harrington Library serves students, faculty, and staff affiliated with Amarillo-based programs in the Graduate School of Biomedical Sciences, School of Health Professions, School of Medicine, and School of Pharmacy. The library also provides support for medical and pharmacy residency programs and outreach services for health professionals, hospitals, clinics, and the general public throughout the Texas Panhandle area. The library's local holdings include more than 52,000 volumes, a classroom with multiple computer workstations, and several study rooms. Typical hours of operation are listed below.

Hours of Operation
Monday through Thursday: 7:30 am - 11:00 pm
Friday: 7:30 am - 5:00 pm
Saturday: 9:00 am - 5:00 pm
Sunday: 2:00 pm - 10:00 pm

Library of the Health Sciences in Odessa
The Library of the Health Sciences in Odessa serves students, faculty, and staff affiliated with programs in the School of Health Professions, School of Medicine, and School of Nursing. The library also provides support for medical residency programs and outreach services for health professionals, hospitals, clinics, and the general public throughout the Permian Basin region in Texas. The Permian Basin encompasses Midland and Odessa. The library's local holdings include more than 30,000 volumes, a classroom with multiple computer workstations, and several study rooms. Typical hours of operation are provided below.

Hours of Operation
Monday through Friday: 8:00 am - 8:00 pm
Saturday: 10:00 am - 2:00 pm
Sunday: 1:00 pm - 5:00 pm

Remote Access
In addition to three physical libraries, TTUHSC has an extensive virtual presence to meet the needs of TTUHSC students, faculty, and staff on all campuses, including those affiliated with educational programs offered via distance education. All stakeholders are assigned an eRaider account by personnel in the Information Technology department. Each account includes a username and password that permits them to access most institutional resources, including online library resources. A library account is only issued on an as-needed basis to track borrowed items and financial transactions for library services that are not provided free of charge, including some interlibrary loans, document delivery services, or 3D printing.

Library users have access to more than 22,000 electronic journals, 88,000 electronic books, and 550 electronic databases. They also have access to more than 3,000 open access e-books and 3,700 open access e-journals. For convenience, the most popular resources are listed on the library's home page. Furthermore, the library website has pages tailored to each school. Each page includes links to the most frequently used databases, eBooks, journals, and other resources commonly used in the discipline. Refer to the related screenshots from these pages. Students, faculty, and staff can access electronic resources anytime. Any known system issues are noted on the library's home page.

LIBRARY INSTRUCTION

To learn how to use library resources most effectively, TTUHSC students, faculty, and staff have access to regular and timely instruction in the use of such resources.

General Reference Services
The TTUHSC reference librarians offer a wide array of services to meet the information needs of students, faculty, and staff. Professional reference librarians provide library orientations, tailored group instruction, personalized one-on-one instruction, information literacy modules, and for-credit elective courses. In general, sessions focus on assisting users in accessing online resources, and topics range from basic library skills to specific database searching. See, for example, the orientation presentation for a group of first-year medical students and a class presentation agenda for speech pathology students.

Ask a Librarian
Through Ask a Librarian, TTUHSC stakeholders can also submit a question online. Each question is submitted instantly to multiple reference librarians. The first available librarian will respond to the question, and TTUHSC students, faculty, and staff have the option to either email, text, or chat with the librarian for assistance in finding articles or books, searching databases, and citing sources. Once the appropriate software has been downloaded by the user, the librarians even have the ability to view an individual's desktop while guiding him/her through a search.

Online Guides
The TTUHSC Libraries publish many online guides, or LibGuides, designed to answer questions on a variety of common topics. These guides enable students, faculty, and staff to access helpful materials when a librarian is unavailable to assist online or in person. Guides are organized on the website by popularity, alphabetically, and by subject. Sample topics include: (1) Writing in the Health Sciences, (2) EndNote, and (3) Locating Peer-Reviewed Journal Articles in CINAHL.

Information Literacy Modules
Self-paced information literacy modules are available on the library's website. Faculty members may assign one or more modules to students as a course requirement or optional course supplement. Only students who have been granted permission can access these multimedia modules. Sample topics include locating library materials, developing effective search strategies, and utilizing specialized databases. The handouts for these modules are provided for reference.

Credit Courses
Finally, TTUHSC librarians provide instruction in several credit courses in the School of Medicine and Graduate School of Biomedical Sciences. For example, MIDS 8401 is a two-credit elective designed to provide fourth-year medical students with basic competencies in the management of biomedical information. Each student is taught the basics of searching biomedical literature via PubMed. Other databases are introduced, as needed. At the end of the course, students demonstrate their knowledge and skills by using the appropriate tools to conduct a realistic search.

Usage and Participation Data
Some library usage data are provided in *Standard 11.1 (Library and Learning/Information Resources)*. Data about the library's instructional sessions offer another key indicator of the availability of library instruction across TTUHSC. Broadly defined, instructional sessions include formal training sessions, library tours,

orientation sessions, and other instructional services provided at the Amarillo, Lubbock, and Odessa campuses. Refer to Table *11.3-A* for the number of sessions offered through Public Services, number of session participants, and total contact hours for 2016-2017.

Table 11.3-A. Instructional Sessions by Campus

	Amarillo	Lubbock	Odessa	Total
Instructional sessions	61	324	83	**468**
Participants in instructional sessions	569	1,740	1,158	**3,467**
Total contact hours in instructional sessions	86	627	106	**819**

Librarians are also available to travel to or provide instructional webinars at other TTUHSC campuses or sites upon request (i.e., Abilene, Dallas, Midland). As described in the preceding narrative, however, many electronic resources are available to library users. In 2016-17, the TTUHSC Libraries assisted users with numerous reference transactions via telephone (=315), email (=474), and text/chat (=588). Data for the most recent academic year were not yet available at the time of submission but are available upon request.

INFORMATION TECHNOLOGY INSTRUCTION

TTUHSC has a large Information Technology (IT) division which operates at an institutional level. Individual schools have smaller educational technology departments to address the technology needs of students in specific disciplines. Combined, IT support staff offer a variety of training opportunities for students, faculty, and staff to facilitate the effective use of educational technology tools. Instruction is provided via multiple methods, including face-to-face or virtual orientations, email and phone support, in-person assistance, computer-based training, interactive tutorials, quick start guides, and online help files. Many of these resources can be located on the IT Service Catalog website. A sample of these instructional resources will be described in the subsequent paragraphs.

Orientation Sessions

All schools provide orientation sessions for incoming students, regardless of campus or instructional method. Staff from the IT Solution Center work with the school's IT staff and faculty to provide students with an introduction to institution-wide and school-based IT services and resources. Each session includes a general overview of IT and the online learning environment at TTUHSC. Topics include, but are not limited to, accessing the TTUHSC network, WebRaider portal, eRaider accounts, learning management system, email, software offerings, and IT support services. Attached is a sample presentation with accompanying handout.

IT Solution Center

Through the IT Solution Center (ITSC), technicians are available on all TTUHSC campuses to answer technical and computer-related questions and concerns by students, faculty, and staff. ITSC walk-in support is available on each campus Monday through Friday from 8 a.m. to 5 p.m. The ITSC telephone contact center is available until 6 p.m. Monday though Friday to provide remote IT assistance for students, faculty, and staff on all campuses and those enrolled in distance education courses and programs. Each location adjusts hours of operation, as needed each semester, to meet student needs during critical times. *Table 11.3-B* indicates the number of work orders completed thus far from September 2017 through July 2018 for each campus.

Table 11.3-B. IT Work Orders by Campus

	Faculty	Staff	Students	Total
Abilene	57	108	29	**194**
Amarillo	145	1,010	160	**1,315**
Dallas	39	79	6	**124**
Lubbock	2,192	16,335	3,178	**21,705**
Midland/Odessa	90	643	30	**763**
Total	**2,523**	**18,175**	**3,403**	**24,101**

The ITSC also provides a web-based, self-service portal for all students, faculty, and staff through SolveIT, which is a searchable knowledge base that includes over 60,000 articles to assist TTUHSC stakeholders in utilizing IT services and troubleshooting IT issues. If the user's question is not answered or no information is available, the user has the option of opening a support ticket with the Service Desk directly from the user interface. Refer to the screenshots of a sample search related to changing a preferred name in the TTUHSC system.

Learning Management System

Oftentimes, faculty, staff, and students need instruction in using the institution's learning management system. Therefore, the IT division provides online training related to Sakai, sometimes referred to at TTUHSC as the Hub. Through these materials, students can learn how to access an assignment, participate in forums, or install a lockdown browser. The School of Health Professions, moreover, offers various professional development opportunities to its faculty. These sessions are conducted in Lubbock, live streamed to the other campuses, and then posted online for viewing at a later date. Sakai-related presentations are highlighted on the attached seminar list. The School of Nursing is also currently piloting an alternate learning management system. Therefore, the school's IT team also provides appropriate instructional materials for Canvas as well. See, for example, the Canvas Instructor Guide and Canvas Student Training website. Student training materials include a combination of quick guides with related videos on a variety of topics, such as the notifications, quizzes, and grades tools.

IT Security Awareness Training

Faculty, staff, and students are required to complete certain online training modules due to the importance of a particular topic. For example, security awareness by TTUHSC stakeholders is crucial to maintaining the security of information resources at the institution. IT personnel must rely heavily on individual users to identify, report, and mitigate potential threats. Thus, security awareness training is required for anyone with access to the TTUHSC network. The required training is listed on appropriate portal, such as the employee's WebRaider portal. Sample training modules include Introduction to Phishing and Avoiding Dangerous Attachments. Because the modules are available online, they may be accessed by faculty, staff, and students across all TTUHSC campuses.

OTHER LEARNING RESOURCES INSTRUCTION

Clinical Simulation Centers

At health sciences centers, students acquire the competencies needed to provide safe, culturally sensitive, and quality patient care through the use of advanced simulators, standardized patients, haptic devices, and authentic medical equipment and supplies. Thus, TTUHSC students have access to simulation centers or skills

laboratories on all campuses. Training in the use of specific health-care technologies is integrated into student learning activities for discipline-specific coursework.

Providing appropriate instruction to faculty in utilizing simulation technology is also critical. On the TTUHSC Simulation Program's website, for example, faculty can access information about advanced patient simulators, anatomical models, and other multimedia educational tools. For example, SimBaby is an advanced infant patient simulator with realistic anatomy and clinical functionality. The website provides information about how SimBaby may be used to teach a variety of concepts and/or skills, such as fiberoptic intubation, unilateral chest movement, or cardiac rhythms. Faculty can also access the directions for use provided by the manufacturer.

TTUHSC also recently purchased an institutional license for the National League for Nursing's Simulation Innovation Resource Center e-Learning Courses. Although these courses are available through a national nursing organization, they are appropriate for all healthcare professions. There are fifteen online courses on a variety of topics, ranging from maximizing realism to curriculum integration. All TTUHSC faculty have access to these courses regardless of campus affiliation.

In addition to online instructional materials, TTUHSC faculty also have access to in-person training opportunities. For example, the TTUHSC Simulation Program provides an annual in-service for faculty and simulation facilitators to assist them in developing competence in the use of simulation as an educational strategy. During the most recent workshop on the Lubbock campus, participants learned about the different simulation modalities, assessment models, debriefing methods, and national simulation standards. Refer to the presentation titled Simulation: A Strategy for Learning and Assessment.

SUMMARY

As described in the preceding narrative, TTUHSC provides appropriate library access and user privileges for students, faculty, and staff. These key stakeholders also have access to regular and timely instruction in the use of the library and other learning or information resources. Some of these instructional opportunities are provided in person at various campuses, but many training resources are available online. This enables students, faculty, and staff to explore topics of interest at convenient times and from a variety of locations. In consideration of these factors, TTUHSC is compliant with the current standard.

12.1

Student Support Services

The institution provides appropriate academic and student support programs, services, and activities consistent with its mission.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

At the Texas Tech University Health Sciences Center (TTUHSC), providing appropriate academic and student support programs, services, and activities is critical to the institution's mission "to enrich the lives of others by educating students to become collaborative health care professionals" and "advancing knowledge through innovative research." This includes undergraduate, graduate, and professional students who are enrolled in traditional academic programs across campuses and those enrolled in distance education programs.

In Fall 2017, TTUHSC reported an official enrollment of 4,788 students in academic programs across five schools: (1) Graduate School of Biomedical Sciences, (2) School of Health Professions, (3) School of Medicine, (4) School of Nursing, and (5) School of Pharmacy. Students may complete coursework via distance education or at one of TTUHSC's five campuses (i.e., Abilene, Amarillo, Dallas, Lubbock, Odessa) or off-campus instructional sites (i.e., Covenant Health System in Lubbock, Midland). Additional information about enrollment trends is available in the current TTUHSC Fact Book. (Note: The annual fact book is published online each December. The 25th edition will be published in December 2018.)

Most institution-wide academic and student support services are coordinated through the Divisions of Academic Affairs, Finance, and Information Technology. Discipline-specific academic support services are provided by each of the TTUHSC schools. See the relevant organizational charts from the most recent TTUHSC Fact Book. Institutional staff and school-specific personnel coordinate their respective activities through frequent communication and regular formal meetings to ensure that the institution provides appropriate programs, services, and activities to meet student needs. Additional information will be provided in the subsequent narrative.

INSTITUTION-WIDE SUPPORT SERVICES

Classroom Support

On the Lubbock campus, Classroom Support personnel schedule classrooms for academic classes and faculty/staff meetings, support the audio/visual needs of each school, reserve study space for students, and schedule videoconferencing events across campuses. Information Technology personnel perform these functions on other TTUHSC campuses.

Financial Aid

The Office of Financial Aid provides information and counseling to students regarding financial aid opportunities. Office personnel work directly with students and student affairs professionals in each school and campus to ensure that students are provided sufficient support through grants, scholarships, and/or loans. As described in *Standard 13.6 (Federal and State Responsibilities)*, the Office of Financial Aid provides an extensive range of financial services to approximately 69 percent of the student population across all schools and campuses, including students enrolled in distance education programs. It is estimated that the office will

disburse over $80 million in 2017-2018. This comprises $4 million in grants, $8 million in scholarships, and $68 million in loans.

Institutional Health
The Office of Institutional Health provides services to students who have direct patient care or clinical placements by providing required immunizations and ensuring access to appropriate exposure management care. See, for example, a presentation provided to students about exposure to tuberculosis. These services are available to TTUHSC students across all campuses. Students enrolled in distance education programs with clinical requirements have the option to travel to one of the regional campuses for services, but most of these students are already employed in a healthcare facility that provides appropriate testing for them.

Institutional Effectiveness and Accreditation
The Office of Institutional Effectiveness and Accreditation supports the achievement of the TTUHSC mission by coordinating institution-wide planning and assessment efforts, including the administration of the Student Satisfaction Survey. This biennial survey seeks feedback from students about the student support services they receive at TTUHSC. It is administered to all students regardless of school, campus, or method of instruction. Refer to the 2016-2017 Institutional Report. The primary purpose of the survey is to ensure that the institution's support programs and services are appropriate to meet student needs. Furthermore, this department coordinates the institution's submission of annual assessment plans at the unit level. Refer to *Standard 8.2.c (Student Outcomes: Academic and Student Services)* for additional information about this process.

Information Technology
Refer to *Standard 11.1 (Library and Learning/Information Resources)* for detailed information about this academic/student support service. As noted in the narrative, these services are also available to TTUHSC faculty.

Interprofessional Education
Preparing students to become collaborative healthcare professionals is a cornerstone of the TTUHSC mission. The Office of Interprofessional Education (IPE) promotes an integrated curriculum and training experiences across each school and campus to help students learn to work together across disciplines to improve the health and well-being of individuals and communities. For example, all incoming TTUHSC students, including those enrolled in distance education programs, are required to complete a non-credit, online IPE course and participate in at least one registered interprofessional education activity prior to graduation from TTUHSC. Attached is a screenshot from one of the course modules.

In addition to promoting student development, the Office of Interprofessional Education also provides training opportunities for faculty and clinical preceptors. Examples include TeamSTEPPS training and the annual Fall Symposium for Interprofessional Education. More than 1,700 TTUHSC faculty, staff, and students attended the 2017 Fall Symposium, and an additional 200 students attended from other colleges and universities across the region. The event is hosted in Lubbock and is broadcast live to all TTUHSC campuses. In addition, distance education students can participate through an easy-to-use, video webinar platform.

Libraries
Refer to *Standard 11.1 (Library and Learning/Information Resources)* for detailed information about this academic/student support service. As noted in the narrative, library services are also available to TTUHSC faculty.

Registrar
The Office of the Registrar protects student records in accordance with federal regulations and supports individual TTUHSC schools by providing enrollment services. Office personnel are based on the Lubbock campus, but most of their interaction with students occurs electronically. Services include, but are not limited to, registration, adding or dropping courses, enrollment verification, grade reports, transcripts, and class schedules.

Research
Specialty offices in the TTUHSC Office of Research support student and faculty research endeavors through professional development and other training opportunities. The Clinical Research Institute (CRI), for example, assists TTUHSC faculty members in acquiring a better understanding of clinical research and related federal regulations. Personnel provide assistance and training on study design, data analysis, Institutional Review Board (IRB) submissions, and dissemination of results. In addition to providing one-on-one assistance, the CRI offers monthly workshops on the Lubbock campus, which are broadcast to other campuses. See, for example, the workshop flyer advertising the June 2018 presentation. The Research Integrity Office, moreover, provides training to groups and individuals on all aspects of research ethics and compliance.

Student Business Services
As a part of the Business Affairs division, Student Business Services offers a centralized source for student account and billing information. The office is responsible for billing and collection of tuition and fees, third party billing, exemptions and waivers, and student refund checks. Based on the Lubbock campus, this department provides services to all TTUHSC students in person, via telephone, by email, or online. Students can also access a student orientation video on the website to better understand how to fulfill their financial obligations to the institution.

Student Services
The Office of Student Services works collaboratively with other institution-wide support offices and student affairs personnel in each TTUHSC school to provide students with a comprehensive range of support services and programs that complement the educational mission of the institution. From enrollment to graduation, student support services are made available to students enrolled in undergraduate, graduate, and professional programs across all TTUHSC schools and campuses.

Students can access information about available services and activities in person at the Office of Student Services in Lubbock, through the Office of Student Services website, and in the TTUHSC Student Handbook, which is posted online. Related information is also provided to students during new student orientation. Office personnel assist with orientations for new students in all TTUHSC schools, coordinate a wide variety of student services, programs, events, activities; advise the Student Government Association; and oversee the registration of all student organizations. Doing so promotes student success and supports the educational mission of the institution. Below is brief description of the key services and activities available to TTUHSC students through the Office of Student Services.

> **Activities/Events.** The Office of Student Services hosts numerous events throughout the year, such as the annual Welcome Back events on each campus and the annual Holiday Extravaganza on the Lubbock campus. See the flyers for the 2017 Welcome Back event in Amarillo and 2017 Holiday Extravaganza. Information about various activities and events is posted on the student portal, Facebook page, and video monitors in specific campus buildings.
>
> Student affairs professionals in each school and in other institution-wide departments also offer various student activities and events throughout the academic year. The Office of Global Health,

for example, sponsors a lecture series twice per month on issues related to global health and building healthy communities across the world. Each lecture, which occurs on the Lubbock campus, is recorded and posted online for view by students on each campus and those enrolled in distance education programs. Refer to the flyer for the February 2018 lecture titled *Research Without Borders: Using International Collaboration to Keep Pace with an Interconnected World*.

Bookstore. TTUHSC has a contract with Barnes & Noble to provide services to all TTUHSC students, faculty, and staff. The company operates a small bookstore on the Lubbock campus but also has an extensive online presence. TTUHSC students and faculty can purchase or rent textbooks, supplies, apparel, and other educational resources via the TTUHSC Bookstore website.

Counseling Center. The Counseling Center at TTUHSC encompasses the Program of Assistance for Students (PAS) and Employee Assistance Program (EAP). Through the Counseling Center, TTUHSC students may seek counseling to address a wide variety of issues. Counselors are trained to provide assistance with family and relationship problems, depression, excessive stress, anxiety, substance abuse, and other issues. As indicated in the program brochure and website, the Counseling Center benefits include individual, couple, and family counseling; health and wellness resources; and a 24-hour crisis hotline.

TTUHSC provides up to six free counseling sessions per household per fiscal year with licensed mental health professionals. Any TTUHSC student or dependent of the student can receive PAS assistance at no cost. Following the initial six sessions, PAS may refer the client to another professional if long-term therapy is warranted. Students must assume responsibility for any associated costs of additional counseling sessions. Use of PAS services is private, and strict confidentiality is maintained to the extent allowed by law.

In addition to the PAS office in Lubbock, the PAS Director works collaboratively with the Office of Student Services to contract with qualified mental health providers in Abilene, Amarillo, Dallas, and Midland/Odessa. Students who are located in these areas are given the names and contact information of appropriate providers. If a distance education student is not near a TTUHSC campus, PAS personnel will do whatever is necessary to provide assistance to the student, including enlisting the services of a mental health professional in or near the student's community. In 2016-2017, students participated in 470 counseling sessions on the Lubbock campus and 284 counseling sessions in other cities.

Disability Support Services. The Office of Student Services coordinates the institution's disability services in an effort to provide access to or participation in services, programs, and activities at TTUHSC for individuals with disabilities who are otherwise qualified. Any student seeking accommodations on the basis of disability must register for accommodations with the ADA Compliance Officer for Students and provide all required documentation before a letter of accommodation may be provided to the student's instructors. This process is applicable to students enrolled in traditional programs across campuses and those enrolled in distance education programs. Refer to the redacted Application for Disability Services form.

Health Services. TTUHSC provides health services to currently enrolled students who have paid the student health fees as part of their tuition and fees. These services are provided through the Texas Tech Physicians Department of Family & Community Medicine clinics in Amarillo, Lubbock, and Odessa. Each clinic is staffed by faculty physicians, resident physicians, and nurses. Clinic locations, eligibility, and covered services are described in the attached student health services

brochure. *Standard 12.5 (Student Records)* explains how student health information and student academic records are maintained in separate information systems to ensure an appropriate level of confidentiality for students who are also patients. Health services for students in Abilene and Dallas are subcontracted with local clinics. Students enrolled in distance education programs may choose to opt into this service if they live near one of the service providers.

The student health fee covers only those services provided by the participating clinics, including some laboratory and radiology services. The student is responsible for all other charges incurred. Therefore, health plan coverage is strongly recommended for all students to cover major medical, emergency care, specialty care, and pharmacy expenses. TTUHSC students on all campuses, including distance learners, are eligible to enroll in the Texas Tech University System's student health insurance plan if they are enrolled in at least one semester credit hour. Aetna is the insurance carrier for 2018-2019. Students may refer to the Student Health website for additional information.

New Student Orientation. In order to lay a foundation for future student success, personnel from the Office of Student Services work collaboratively with student affairs staff in each TTUHSC school to plan and execute new student orientation sessions at the respective campuses. As illustrated in the following presentation, office personnel present information about centralized student support resources and services available to students. Students in distance education programs participate in online orientation. See, for example, the orientation website for the Master of Science in Addiction Counseling program.

Organizations. TTUHSC offers a variety of registered student organizations in which students can become involved. This is an option for students on all campuses, including distance learners. By joining an organization, students have opportunities to attend social events, participate in community service activities, and develop leadership skills. A comprehensive list of registered TTUHSC student organizations, including information about each organization's officers, advisor, and purpose, is provided on the Student Organizations website. Examples include the Gay-Straight Alliance, Latino Medical Student Association, and Student Occupational Therapy Association.

Student Government Association. The Student Government Association, or SGA, is the recognized governing body for students at TTUHSC. SGA members are elected by their peers to represent all TTUHSC schools and campuses. They meet twice per month to discuss issues raised by student representatives, to encourage communication across TTUHSC schools, and to coordinate various student activities. Meetings are held on the Lubbock campus but are broadcast live to other campuses. In addition, SGA leaders serve on various institution- and system-wide committees, and SGA executive officers meet with the TTUHSC President on a quarterly basis to provide feedback about their experiences at TTUHSC. Finally, a non-voting student regent is appointed by the governor for a one-year term to serve on the Texas Tech University System Board of Regents. The appointment rotates among the four institutions in the TTU System. For the 2018-2019 academic year, the student regent is a current TTUHSC medical student and former SGA Vice President. See the attached article.

Student Legal Services. The Office of Student Legal Services, or SLS, on the Texas Tech University campus in Lubbock also serves currently enrolled TTUHSC students who pay the related student services fees, including students enrolled in traditional academic programs across all campuses and those enrolled in distance education programs. Per TTUHSC's memo of understanding, SLS provides confidential legal advice, counseling, and limited representation to its clients. The office

is staffed with licensed attorneys and interns who counsel clients on a wide variety of issues, including landlord/tenant disputes; estate planing; and other matters related to family, consumer, and criminal law.

Veterans Affairs. TTUHSC acknowledges the service and sacrifice of this country's veterans and seeks to support them in meeting their educational goals. The Office of Veterans Affairs, therefore, assists students with their VA educational benefits by certifying student enrollment and ensuring that all necessary documentation is submitted to the Department of Veterans Affairs. This service is available to students enrolled in traditional academic programs across all campuses and those enrolled in distance education programs. In 2018, TTUHSC received the Military Friendly® School designation.

Writing Center

The TTUHSC Online Writing Center offers online tutoring and writing resources for all TTUHSC students, including distance learners and students across all schools and campuses. Students may submit up to two writing assignment drafts per week in order to obtain feedback from a trained tutor about writing style, organization, and integration of sources. Periodic writing workshops are also provided on the Lubbock campus and broadcast live to other campuses. Students, faculty, and staff are encouraged to attend. Refer to the email announcement and registration list for the January 2018 workshop titled APA Basics.

SCHOOL-SPECIFIC SUPPORT SERVICES

In addition to institution-wide academic and student support programs, services, and activities, TTUHSC offers other support services through individual schools. Each school employs its own student affairs personnel to provide additional support and student assistance. Refer to the related websites: (1) Graduate School of Biomedical Sciences, (2) School of Health Professions, (3) School of Medicine, (4) School of Nursing, and (5) School of Pharmacy. The programs, services, and activities differ by school to best meet the needs of its students. For example, the administrative base for the School of Pharmacy is on the Amarillo campus, which is where the majority of the student affairs personnel are based. However, the school also has student affairs personnel in Abilene and Dallas to serve the pharmacy students on those campuses.

Each TTUHSC school also relies on its own faculty and staff to provide academic advising to its students. These individuals are most knowledgeable about their respective disciplines, program offerings, and requirements. In the School of Medicine, the Office of Student Affairs seeks to promote success by helping students maximize their academic potential. One resource available to students is individual academic advising with a licensed professional counselor. This individual can assist in identifying factors negatively impacting academic performance, assessing learning styles, and developing practical learning strategies, such as time management, test-taking skills, and active learning techniques. Refer to the Medical Student Handbook for additional information about the academic assistance available to students.

In the School of Health Professions, moreover, each student is assigned a faculty advisor who guides the student in the development and adherence to an appropriate academic degree plan. The advising function is designed to ensure that students can efficiently reach their academic goals in the program to which they have been admitted. For instance, each student in the Master of Physician Assistant Studies program is assigned a faculty advisor upon enrollment to assist in understanding and abiding by program policy and practice. Students are advised to meet with their academic advisors at the beginning of the program to discuss their goals in order to establish a foundation for a productive advising experience. Advisors are expected to be accessible to students in a timely manner to discuss academic, professional, or behavioral problems or concerns throughout the program. Refer to the Physician Assistant Program Student Handbook for additional details about academic advising.

STUDENT AFFAIRS WORKGROUP

As described in the preceding narrative, many academic and student support programs, services, and activities are coordinated at an institutional level. Some are coordinated by individual schools. To facilitate communication and promote collaboration across key student affairs leaders, TTUHSC established an Executive Student Affairs Workgroup (ESAW) in 2006. This group, which consists of upper-level student affairs administrators from each school, meets quarterly to discuss proposed policy changes, updates to legislative requirements, and changes to services that impact students. ESAW is chaired by the Assistant Vice President for Student Services. Refer to the attached roster and meeting notes as evidence of their recent activity.

SUMMARY

TTUHSC provides appropriate student support programs, services, and activities to promote student success across the institution. Comparable programs and services are available to students across TTUHSC schools and campuses, including distance learners. Whenever face-to-face interaction is not possible, faculty and staff rely on a variety of communication methods, such as videoconferencing, social media, email, and telephone, in the provision of academic and student support. Doing so assists faculty and staff in fulfilling the institution's mission to educate students to become collaborative health care professionals and to advance knowledge through innovative research. Therefore, the institution is in compliance with the current standard.

12.2

Student Support Services Staff

The institution ensures an adequate number of academic and student support services staff with appropriate education or experience in student support service areas to accomplish the mission of the institution.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

At the Texas Tech University Health Sciences Center (TTUHSC), effective student support programs, services, and activities are considered essential to the institution's mission to provide the best possible educational opportunities for its students. Institution-wide student support services are coordinated through the Office of the Executive Vice President for Academic Affairs (EVPAA), who supervises the activities of the Office of Student Services, Registrar, and Financial Aid (SSRFA) in addition to Classroom Support, the Office of Interprofessional Education, TTUHSC Libraries, the Writing Center, and the Office of Institutional Effectiveness and Accreditation. TTUHSC SSRFA serves as the centralized institutional information office for student affairs and oversees student services, the registrar, financial aid, and veteran affairs. Please also refer to the organizational charts for EVPAA and SSFRA.

Discipline-specific academic support services, such as academic advising, tutoring, and mentoring, are provided by each of the TTUHSC schools. Each of the schools has its own student affairs staff, and school-specific personnel coordinate their respective student support activities. To ensure that the institution provides appropriate services to promote student learning and enhance students' personal and professional development, the school-specific offices maintain frequent communication and meet monthly with personnel in TTUHSC SSFRA. Student academic and support services coordinated through the TTUHSC Office of the Executive Vice President for Academic Affairs and individual schools are described in *Standard 12.1 (Student Support Services)*.

QUALIFIED STAFF

Student services personnel at the institutional and school levels have the educational and professional qualifications and experience necessary to provide appropriate and effective student support services, as indicated in the roster of TTUHSC student services personnel. (For information on library support personnel, please see *Standard 11.2 (Library and Learning/information Staff)*. Refer also to the curriculum vitae for the Assistant Vice President of Student Services, Registrar, and Financial Aid and the Associate Managing Director for Student Financial Aid. To ensure ongoing effectiveness of personnel, all student services staff are evaluated annually in accordance with *HSC OP 70.12 Staff Performance Management* or, for those student services personnel who are faculty, in accordance with the relevant school's faculty evaluation procedures (*Standard 6.3, Faculty Evaluation*). Example performance evaluations for the Assistant Vice President for Student Services, Registrar, and Financial Aid and the Associate Managing Director for Student Financial Aid are attached.

In addition, student services staff have access to a variety of training and professional growth opportunities. The TTUHSC Office of Human Resources, for example, administers the Workforce Education and Development, which provides regular in-house and online training on topics such as team building, time management, goal setting, leadership, managing life and stress, and how to effectively use technical resources. Student services personnel also participate in external professional development opportunities,

including conferences and workshops offered by organizations such as the Texas Association of Collegiate Registrars and Admissions Officers, the Texas Association of Advisors for the Health Professions, the Texas Association of College and University Student Personnel Administrators, the National Association of Graduate Admissions Professionals, the National Association of Student Professional Administrators, and others. See, for example, the attached sample training certificates and list of selected trainings completed by SSRFA staff.

EFFECTIVENESS OF STAFF

The biennial TTUHSC Student Satisfaction Survey (SSS) is distributed to all enrolled students, including traditional and distance learners. Students are asked to rate their satisfaction with many areas of the institution, including services offered by SSFRA. Using a 5-point scale, ranging from 5= Extremely satisfied to 1= Extremely dissatisfied, students in 2016-17 gave SSRFA a mean > 4 on all three categories: 1) helpfulness of staff, 2) accuracy of information provided by staff, and 3) efficiency of services. The high level of satisfaction from students helps demonstrate that TTUHSC has an adequate number of academic and student support services staff.

SUMMARY

As outlined above, TTUHSC student affairs professionals have the appropriate experience and education necessary to help students connect with others and access the support services they need to meet their goals. In addition, personnel participate in regular trainings to stay up-to-date on new developments and strategies for effectively supporting students' academic development, leadership, and professional growth.

12.3

Student Rights

The institution publishes clear and appropriate statement(s) of student rights and responsibilities and disseminates the statement(s) to the campus community.

Judgment

☑ Compliance ❑ Partial Compliance ❑ Non-Compliance ❑ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) publishes a comprehensive set of policies that clearly articulate students' rights and responsibilities. Institution-wide guidelines that describe student rights and responsibilities are available in two primary publications—the TTUHSC Student Handbook and the TTUHSC Operating Policies and Procedures (OPs) both of which may be accessed via the TTUHSC e-Catalog. Additional policies regarding student rights and responsibilities are published in school catalogs and handbooks. Policies apply to all students regardless of a program's mode of delivery or location.

TTUHSC STUDENT HANDBOOK

As stated in the general policy defined in Part A.2. of the Student Handbook, the standards published in the handbook are intended to "provide order and an atmosphere conducive to intellectual and personal development." The Student Handbook, the TTUHSC Operating Policies and Procedures, and the individual school catalogs are intended to serve these purposes in the interest of all components of the Texas Tech University Health Sciences Center. Furthermore, enrollment requires students to share this responsibility. All students agree to abide by the standards, rules and/or policies set forth in the Student Handbook, the TTUHSC Operating Policies and Procedures, the individual school catalogs, and any other official University publications. See, for example, a signed agreement from a student in the School of Health Professions.

The TTUHSC Student Handbook is distributed to all students during new-student orientation and is also made available to all TTUHSC constituents on the Office of Student Services website and the TTUHSC e-Catalog. The Student Handbook includes the Code of Professional and Academic Conduct (Student Code)and other policies and procedures governing student rights and responsibilities, as outlined below.

Code of Professional and Academic Conduct

The Student Code describes the institution's expected standards of behavior for students and student organizations. The code defines general misconduct for a variety of issues, including but not limited to the use of alcoholic beverages or drugs; theft, damage, firearms, weapons, and explosives; actions against members of the university community; sexual conduct; hazing or unauthorized use of university property; abuse or misuse of university computer data, programs, time, or computer and network equipment; provision of false information or misuse of records; violation of published institutional policies, rules, or regulations; and violation of federal, state, or local law. The Student Code also includes a definition of academic misconduct. Academic misconduct involves any activity that tends to compromise the academic integrity of the university or subvert the educational process, including but not limited to cheating, plagiarism, falsifying academic records, and misrepresenting facts. In addition, the Student Code provides information about the professional and ethical standards for individual TTUHSC schools.

Students, faculty, and staff are all encouraged to report violations of the Student Code in accordance with the Disciplinary Procedures outlined in the code. Each school appoints a Student Conduct Administrator and

Student Conduct Board in accordance with the definitions published in the Student Handbook. The Student Handbook also includes links to the Incident Reporting Form and Title IX Complaint Form. Please also see, for reference, a redacted Incident Report and Title IX Compliant and Resolution.

Institutional Commitment to Non-discrimination
The Student Handbook identifies several other policies intended to ensure the fair and equitable treatment of all members of the university community. The Student Handbook provides a brief summary of these policies and refers students to the corresponding TTUHSC operating policy and procedure for details. The following list provides a link to the policy description in the Student Handbook followed by a link to the corresponding institutional policy:

- Students with disabilities
  - *HSC OP 10.15, Americans with Disabilities Act*
- Policy on non-discrimination and discrimination/equal opportunity
  - *HSC OP 51.01, Equal Employment Opportunity Policy and Affirmative Action Plan*
  - *HSC OP 51.02, Non-Discrimination and Anti-Harassment Policy and Complaint Procedure for Violations of Employment and Other Laws*
  - *HSC OP 51.03, Sexual Harassment, Sexual Assault, Sexual Misconduct, and Title IX Policy and Complaint Procedure*

Confidentiality of Student Records
The Student Handbook provides general information about student rights as related to student records in accordance with the Family Educational Rights and Privacy Act of 1974 (FERPA) and refers students to *HSC OP 77.13, Student Education Records* for detailed information.

Non-faculty Employee Complaint and Grievance Procedures
The Student Handbook provides information about employment grievances for students who are employed at TTUHSC and refers students to *HSC OP 70.10, Non-faculty Employee Complaint and Grievance Procedures.* This policy addresses procedures for handling student complaints concerning issues pertaining to wages, hours, working conditions, performance evaluations, merit raises, job promotions, job assignments, or similar matters involving management decisions concerning the employee.

Student Rights and Responsibilities related to Academic Issues
The Student Handbook provides miscellaneous policies regarding academic issues, such as admissions, adding and dropping courses, attendance, and grades/grading. Professional and ethical standards for individual schools are outlined in each school's respective handbook/catalog. Detailed academic policies regarding issues such as program-specific admissions requirements, attendance, grading, academic standards, and academic review are defined by individual schools and programs, as described in *Standards 9.7 (Program Requirements), 10.1 (Academic Policies),* and *10.2 (Public information).*

Student Complaints or Grievances
As described in the Part IV Anti-discrimination and Sexual Misconduct Policy and Procedures published in the Student Handbook, TTUHSC affirms the right of its students to a prompt and fair resolution of a complaint or grievance involving allegations of inappropriate behavior by other TTUHSC students or by TTUHSC personnel toward students. Policies and procedures exist for specific areas of student complaints and for general mistreatment, as outlined in the handbook. Every effort should be made to resolve complaints against faculty and other school personnel at the school level. If the complaint is about personnel or services at the institutional level, the student is encouraged to contact the TTUHSC Office of Student Services in accordance

with Part XI Student Complaint or Grievance Policies and Procedures published in the Student Handbook. For more detailed information on Student Grievances, please see *Standard 12.4 (Student Complaints).*

Additionally, TTUHSC is committed to providing and strengthening an educational, working, and living environment where students, faculty, staff, and visitors are free from sex discrimination of any kind. In accordance with Title VII, Title IX, the Violence against Women Act (VAWA), the Campus Sexual Violence Elimination Act (SaVe), and other federal and state law, the University prohibits discrimination based on sex and other types of Sexual Misconduct, as evidenced in *HSC OP 51.02,Non-Discrimination and Anti-Harassment Policy and Complaint Procedure for Violations of Employment and Other Laws* and *HSC OP 51.03, Sexual Harassment, Sexual Assault, Sexual Misconduct, and Title IX Policy and Complaint Procedure.*

Other Relevant TTUHSC Operating Policies and Procedures
As indicated in the narrative above, several specific TTUHSC Operating Policies and Procedures related to student rights and responsibilities are referenced in the Student Handbook. Students are updated regarding changes to the TTUHSC Operating Policies and Procedures via the TTUHSC announcement page. Students are also introduced to relevant TTUHSC Operating Policies and Procedures through various other means, as follows:

Student Services. Several policies and procedures governing student rights and responsibilities are found in HSC OP 77, Student Services, including *HSC OP 77.01, Admission*; *HSC OP 77.03, Official Student Publications*; *HSC OP 77.04, Student Fees*; *HSC OP 77.05, Suspension and Retention*; and *HSC OP 77.13, Student Education Records*. Students are introduced to these policies and procedures during new-student orientation.

Criminal background checks. *HSC OP 10.20, Criminal Background Checks for Students, Trainees and Residents* establishes a standardized approach regarding the conduct of student background checks for the respective schools and training programs of TTUHSC. Information about this policy is integrated into the admissions process for each school. See, for example, the criminal background check notice, posted on the School of Medicine-Lubbock's admissions website.

Responsible conduct of research. Guidelines and procedures for maintaining honesty in research and handling allegations of scientific misconduct are defined in an attachment to *HSC OP 73.07, Honesty in Research and Allegations of Scientific Misconduct.* All students are informed about their basic research-related responsibilities through the Student Code, which includes information about ethical standards of conduct expected of research personnel. Students also learn about their research-related responsibilities by completing the training courses required for the specific type of research in which they are involved. For example, students who participate in research involving human subjects are required to complete a web-based Course in the Protection of Human Research Subjects. Training also is required for students who work with laboratory animals, radioactive materials, or biologically or chemically hazardous materials. (Please see *Standard 13.8, Institutional Environment)* for more information about policies governing health and safety in TTUHSC laboratories. Additional information about the responsible conduct of research is also provided to students by faculty in the individual schools. Students in the Graduate School of Biomedical Sciences, for example, are introduced to ethical standards of conduct in research during orientation and are required to take the Responsible Conduct of Research Course. A variety of measures are used to evaluate a student's ability to recognize ethical issues and behave in accordance with ethical standards, including, for example, their ability to analyze and identify instances of misconduct in case studies (per class discussion) and verification of the following in students' laboratory work: experimental data are not manipulated, laboratory notebooks reflect the results that were obtained, experimental results may be replicated, credit for work done by others is properly allocated, and the rights of fellow lab workers are respected.

Privacy and security of health information. TTUHSC requires each student to recognize the necessity of maintaining the privacy of a patient's individually identifiable health information in accordance with *HSC OP 52.02, Privacy and Security of Health Information.* This policy provides a framework for TTUHSC's compliance with the provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and state laws and regulations for the privacy and security of health information. All TTUHSC students having access to private health information (PHI) are required to complete HIPAA training, both prior to initiating their clinical experience or research project, and each year thereafter while at TTUHSC. This annual HIPAA training is available both online and in-person. All research personnel that participate in research involving human subjects are required to complete the web-based course "Human Subject Protection Training" through the Collaborative IRB Training Initiative (CITI) which is administered by the University of Miami. Verification of HIPAA training is tracked through several methods, including sign-in logs for live classes and online training through ACME, an in-house software program. Certificates are available to participants following successful completion of the training. Attached is a sample of the slide presentation used by the Institutional Privacy Officer for both in-person and online trainings.

Privacy and confidentiality of other types of information. TTUHSC's overarching policy concerning the confidentiality of all information made confidential by law or TTUHSC policies is defined in *HSC OP 52.09, Confidential Information.* As stated in this policy, anyone who has access to private and personally identifiable information concerning TTUHSC employees, faculty, students, patients, affiliates or others who have access to any information made confidential by TTUHSC policies or law (including, but not limited to, FERPA, HIPAA, and the Gramm-Leach-Bliley Act of 1999) will take reasonable and necessary steps to maintain the privacy of such information. Students are informed of their rights and responsibilities related to this policy through various avenues, including, for example, the statements regarding FERPA in the student handbook and the HIPAA notification and training outlined above.

Notifying students of crime statistics. *HSC OP 76.40, Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act* delineates TTUHSC's procedures for ensuring compliance with the Crime Awareness and Campus Security Act of 1990 and its amendments. The policy clearly outlines the processes TTUHSC uses to keep students informed about crime statistics on TTUHSC campuses. See, for example, The Annual Clery Campus Security Report that is posted on the Texas Tech Police Department website. Texas Tech provides security services to the TTUHSC campus. For more information on safety and security, please see *Standard 13.8 (Institutional Environment).*

SUMMARY

TTUHSC provides appropriate student support programs, services, and activities that contribute to student success and enhance their overall development. Regardless of the school, program, campus affiliation, or comparable programs and services are available to students enrolled in traditional academic programs and those enrolled in distance education programs. Most of these programs, services, and activities seek to either enhance a student's experiences outside the classroom or reduce barriers to a student's academic success. Doing so, therefore, assists faculty and staff in fulfilling the institution's mission to educate students to become collaborative healthcare professionals. The effectiveness of TTUHSC's student support programs and services is documented in *Standard 8.2.c., Student Outcomes.*

12.4

Student Complaints

The institution (a) publishes appropriate and clear procedures for addressing written student complaints, (b) demonstrates that it follows the procedures when resolving them, and (c) maintains a record of student complaints that can be accessed upon request by SACSCOC.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) has appropriate procedures for addressing written student complaints and follows those procedures when resolving them. The policies and procedures governing student complaints are well-publicized and provide clear and consistent guidelines for resolution.

INSTITUTIONAL POLICIES

As a university community, TTUHSC has standards by which its members are expected to abide. These standards assist TTUHSC in maintaining an environment conducive to student development. Occasionally, interactions among diverse populations of students, faculty, and staff have the potential to result in alleged, perceived, or actual incidents of inappropriate behavior or mistreatment of individuals. TTUHSC has established several policies and procedures to ensure that any such incidents are addressed in a fair and professional manner.

Related policies and procedures are published in the TTUHSC Operating Policies and Procedures, TTUHSC Student Handbook, and Student Grievances Policies & Procedures website. Because these resources are published online, they are accessible to students enrolled in traditional programs and distance education programs. The web address for the TTUHSC Student Handbook is distributed to students in traditional and distance education programs as a component of their orientation materials. Refer to the New Student Orientation presentation by the Office of Student Services.

Part XI (Student Complaint and Grievance Policies and Procedures) of the TTUHSC Student Handbook, describes several categories of student complaints at TTUHSC, including related policies and procedures. Depending on the nature of the complaint, it may be resolved at the school or institutional level. The following offices are instrumental in handling and maintaining appropriate documentation of student complaints at TTUHSC:

- TTUHSC Office of Student Services
- Office of the Graduate School of Biomedical Sciences
- School of Health Professions Office of Admissions and Student Affairs
- School of Medicine Office of Student Affairs
- School of Nursing Office of Admissions and Student Affairs
- School of Pharmacy Office of Student Affairs and Admissions

In general, the deans of each school have the final authority in resolving disputes related to academic issues and non-academic issues involving the school's faculty, staff, or students. Complaints about non-school staff members or administrators are handled at an institutional level. The major categories of complaints are explained below.

General or Academic Misconduct

Part II (Code of Professional and Academic Conduct) of the TTUHSC Student Handbook outlines standards of student behavior, summarizes types of misconduct, and explains the disciplinary jurisdiction for misconduct. Examples of general misconduct include alcohol misuse, drug possession, theft, hazing, or property damage. Academic misconduct includes, but is not limited to, cheating, plagiarism, falsifying academic records, or misrepresenting facts to a university employee. The Student Code states that each student is responsible for his/her own behavior but is likewise responsible for reporting possible violations by other students. Faculty and staff are asked to take reasonable steps to prevent violations but to report them if and when they occur.

The Student Code, therefore, specifies the procedures for filing a complaint against a student(s) or student organization(s) for alleged violations. The process begins with an initial discussion between the complainant and an appropriate institutional representative. If a basis exists for the complaint, the complainant submits an official written complaint to the designated Student Conduct Administrator in the appropriate school, thus initiating the formal process for addressing student misconduct.

Discrimination and Harassment

As discussed in Part IV (Anti-Discrimination and Sexual Misconduct Policy and Procedures) of the TTUHSC Student Handbook, TTUHSC does not tolerate sexual harassment or discrimination on the basis of sex, race, national origin, religion, age, disability, veteran status, genetic information, or other protected categories, classes, or characteristics. While sexual orientation and gender identity are not protected explicitly under state and federal law, it is also TTUHSC's policy not to discriminate based on these factors.

Several TTUHSC policies are intended to ensure the fair and equitable treatment of all members of the university community. *HSC OP 51.01, Equal Employment Opportunity Policy and Affirmative Action Program,* is a general policy which addresses discriminatory behavior in employment, including student employees. These behaviors are prohibited by institutional policy and federal laws, such as Title VII, Title IX, Pregnancy Discrimination Act, Equal Pay Act, Age Discrimination in Employment Act, Americans with Disabilities Act, Rehabilitation Act of 1973, Civil Rights Act of 1991, Vietnam Era Veterans' Readjustment Assistance Act of 1974, and Title II of the Genetic Information Non-Discrimination Act. *HSC OP 51.02, Non-Discrimination and Anti-Harassment Policy and Complaint Procedure for Violations of Employment and Other Laws,* outlines the procedures for handling complaints related to discrimination and/or harassment in three categories: (1) employee complaint procedures, including student employees; (2) complaints by students or involving students; and (3) complaints involving non-university individuals.

More specifically, *HSC OP 51.03, Sexual Harassment, Sexual Assault, Sexual Misconduct, and Title IX Policy and Complaint Procedure,* addresses discrimination on the basis of sex. TTUHSC has a Title IX Coordinator and Deputy Title IX Coordinator for Employees to oversee the university's compliance with Title IX. The Title IX Coordinator coordinates the investigation of complaints of sexual misconduct by or between students. The Texas Tech University System Office of Equal Opportunity/Title IX Deputy Coordinator for Employees investigates similar complaints by or between employees. Student complaints of sexual misconduct by an employee are investigated jointly by the Title IX Coordinator and the Office of Equal Opportunity. The Title IX website provides additional information, including a link to the online Sexual Harassment/ Sexual Assault/ Sexual Misconduct Reporting Form. An example of a Title IX complaint and resolution is provided at the end of the response.

Student Records

Part V (Student Records) of the TTUHSC Student Handbook describes student rights with regard to educational records. This section details the process by which students can request to amend their records or file a

complaint with the U.S. Department of Education in the event of an alleged violation of the Family Educational Rights and Privacy Act (FERPA). Related information is also referenced in *HSC OP 77.13, Student Education Records.*

Employment at TTUHSC

HSC OP 70.10, Non-Faculty Employee Complaint Procedures, describes the procedures for addressing formal written complaints from non-faculty employees, including students who are employed at TTUHSC. Such complaints may relate to wages, hours, working conditions, performance evaluations, merit raises, job promotions, job assignments, or similar matters involving management decisions concerning the employee.

Grades/Grading

As described in Part X (Miscellaneous Policies - Grades/Grading) of the TTUHSC Student Handbook, grades and grading issues are the responsibility of the school which administers a particular course. An instructor assigned to a course has primary responsibility for determining grades and evaluating the quality of academic performance. If an issue arises, individual schools retain responsibility for processing formal appeals. Information about school-specific policies will be provided in the subsequent section of this response. An example of an appeal for an academic dismissal based on poor academic performance is provided in the last section of the response.

SCHOOL-SPECIFIC POLICIES

In alignment with institutional policies and procedures related to student complaints, each TTUHSC school also has policies and procedures which provide additional information on specific categories of complaints. These policies are published on the website, catalog, and/or handbook for each school. Because these resources are published online, they are accessible to students enrolled in traditional and distance education programs. See below for key policies by school:

Graduate School of Biomedical Sciences
GSBS Grade Appeals and Non-Grade Complaints

School of Health Professions
SHP OP ST.02, Academic Dismissal Policy
SHP OP ST.03, Academic Grade Appeal
SHP Non-Grade Grievance Policy

School of Medicine
SOM OP 30.09, Educational Record and Grade Appeal Policy

School of Nursing
SON Academic Grade Challenges/Appeals

School of Pharmacy
SOP OP 77.P.18, Grade Grievance Resolution

EXAMPLES OF COMPLIANCE

Although TTUHSC receives a small number of formal written student complaints each year, several categories of complaints are documented in a student case management system called Maxient. Maxient is a centralized reporting and recordkeeping system that allows TTUHSC to maintain accurate student conduct records and coordinate the efforts of schools and departments to provide timely follow-up and action. This system is

maintained by the Office of the Assistant Vice President for Student Services. The student conduct system documents the following information:

- Student's name
- Type of complaint
- Date submitted
- Decision date
- Date of appeal, if applicable
- Date of hearing, if applicable
- Final outcome

Non-Academic Grievance

During the most recent academic year, a student submitted a complaint of sexual misconduct by another student using the online reporting tool available on the Title IX website. This report was received by the TTUHSC Title IX Coordinator, which is consistent with the protocol established by the reporting software. Upon receipt of the report, the Title IX Coordinator contacted the reporting party to discuss the nature of the reported concern and to determine whether the reporting party wanted to pursue formal university action. During the initial discussion, the reporting party expressed a desire to resolve the matter informally by addressing the main concern of preventing further contact between the students. Subsequently, the Title IX Coordinator contacted the responding party to notify this individual of the complaint and to discuss the proposed resolution, to which the responding party was agreeable. As stated in the attached letter, the order was not an indication of responsibility for violating university policy by the responding party.

Academic Grievance

After the Spring 2018 semester, the program director for the Bachelor of Science in Clinical Laboratory Sciences (Second Degree) submitted a memo to the Dean requesting the academic dismissal of a student. Grounds for dismissal included: (a) failure to raise cumulative GPA to 2.5 upon completion of the semester of probation, and (b) receiving a grade of D in a course while on probation. Per SHP OP ST.02, the department chair sent a certified letter to the student via the Office of Admissions and Student Affairs explaining the recommendation for academic dismissal and the right to file an appeal. In this case, the student decided to appeal the decision, and the Executive Associate Dean for the School of Health Professions was appointed as the Academic Dismissal Appeal Committee Chair. Two faculty members outside the student's department were also appointed to serve on the student's appeal committee. See the attached notification emails. Upon review of relevant documents, the appeal committee decided to uphold the recommendation for academic dismissal. A final certified letter was sent to the student notifying him/her of the outcome.

SUMMARY

Based on the policies and procedures cited in the preceding narrative, it is evident that TTUHSC has adequate procedures for addressing written student complaints. Because these policies are published online in various resources, they are accessible to students enrolled in traditional programs across all campuses and students enrolled in distance education programs. Furthermore, as demonstrated by the preceding examples, TTUHSC faculty and staff follow the established policies and procedures when resolving such complaints. Although TTUHSC receives a small number of formal written student complaints each year, the complaints are documented by the Assistant Vice President for Student Services and/or designated personnel in each school. Thus, TTUHSC is compliant with the current standard.

12.5

Student Records

The institution protects the security, confidentiality, and integrity of its student records and maintains security measures to protect and back up data.

Judgment

☑ Compliance ❑ Partial Compliance ❑ Non-Compliance ❑ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) defines and implements policies and procedures (OPs) to protect the security, confidentiality, integrity, and availability of student records as defined by the Family Educational Rights and Privacy Act (FERPA) and based on Family Education and Privacy Rights, 20 U.S.C. 1232g (a)(3). These policies apply to all students regardless of a program's mode of delivery or geographical location.

CONFIDENTIALITY OF STUDENT RECORDS

The *HSC OP 77.13, Student Education Records*, implements the provisions of FERPA and other federal and state laws governing access to and confidentiality of student records. Except as noted in *HSC OP 77.13, Student Education Records*, TTUHSC will disclose information from a Student's Education Records only with the written consent of the student (Disclosure of Education Records; Student Consent to Release Education Records). *HSC OP 77.13, Student Education Records* also defines key terms and outlines student rights and responsibilities related to the release of a student's directory information. To ensure continued alignment with federal regulations and educational best practices, *HSC OP 77.13, Student Education Records* is reviewed biennially, as indicated in the policy.

ACCESS TO AND INTEGRITY OF STUDENT RECORDS

TTUHSC limits access to student records to protect student confidentiality and to ensure the integrity of the records. Students have the right to inspect and review their own educational records, except as noted in *HSC OP 77.13.4, Review and Inspection of Education Records by Student*. A student may request access by completing a Student Request to Access His/Her Education Records and returning the form to the appropriate Records Custodian. *HSC OP 77.13, Student Education Records* provides information regarding the principal locations for student education records and the corresponding Records Custodians. A student who believes that his or her Education Records are inaccurate or misleading, or that the records violate his or her privacy rights, is encouraged to first request an informal discussion regarding the questionable item with the Records Custodian. If the result of the informal discussion with the Records Custodian is not satisfactory to the student, and the student still wishes to have the record corrected, the student may submit a Student Request to Amend Records in accordance with *HSC OP 77.13.5, Written Request to Amend Records*. TTUHSC has no recent instances of a student requesting to amend records, thus a redacted example is not available at this time.

TTUHSC employees are granted access to student records on a need-to-know basis in accordance with the disclosure and access policies identified in *HSC OP 77.13.3, Disclosure of Education Records*. Electronic student records are maintained in the Texas Tech Student Information System (Banner), an integrated online student information system that includes admissions, student records, and financial aid information. Records in Banner are protected by a comprehensive, password-driven security system, and each individual requesting access to Banner must first complete FERPA training and the Confidentiality Statement for Student Records.

Compliance is monitored by the Office of the Registrar and reported to the appropriate administration. An example report is included here. Requests to access the system are made via the TEAMS application. This office notifies the TTUHSC Registrar that a request for access to Banner has been made, and the TTUHSC Registrar evaluates the request, determines whether access should be granted, and assigns the appropriate access level, if any. Levels of access, which include view-only, update, and/or correction access, are assigned based on employee roles. For example, the level of access granted to teaching faculty and their designated staff allows them to enter grades directly into the student information system. If a faculty member or designated staff person wishes to change a grade after the final grade has been posted, however, he or she must complete a Change of Grade form and submit the form to the Office of the Registrar. A member of the registrar's staff then enters the grade change into the student information system.

DISSEMINATION AND IMPLEMENTATION OF STUDENT RECORDS POLICIES AND PROCEDURES

Students are notified of their FERPA rights during orientation and annually thereafter through the TTUHSC Student Handbook, the TTUHSC registration process, and the Banner Web for Students, all of which cross-reference *HSC OP 77.13, Student Education Records*. The TTUHSC Student Handbook and *HSC OP 77.13, Student Education Records* are posted on the TTUHSC Student Services website and are available in hard copy format from TTUHSC Student Services upon request. If a student believes that TTUHSC has failed to comply with the requirements of FERPA, the student has the right to file a complaint within 180 days of the alleged violation with the U.S. Department of Education, as described in *HSC OP 77.13.8, Complaints*.

An individual who uses or discloses information from a student's education record or allows access to an education record by another individual in violation of *HSC OP 77.13, Student Education Records* and/or state or federal laws and regulations may be subject to disciplinary action, as outlined in *HSC OP 77.13.11, Disciplinary Action*.

RETENTION AND DISPOSITION OF STUDENT RECORDS

Student records are maintained in accordance with *HSC OP 10.09, Records Retention*, and the corresponding Records Retention Schedule. The retention schedule, which was prepared by TTUHSC and approved by the State and Local Records Management Division of the Texas State Library, adheres to FERPA requirements and guidelines of the Texas Association of Collegiate Registrars and Admissions Officers.

The TTUHSC Office of the Registrar is responsible for maintaining official student academic records. Academic records from 1972 through 1996 are maintained as hard copy originals with imaged backup, and academic records from 1996 through the present are maintained as electronic originals with electronic backup. The hard copy originals are kept behind locked doors in a basement storage room of West Hall, which is located on the Texas Tech University (TTU) campus in Lubbock. All electronic files, including the imaged backup files, are maintained on electronically and physically secured databases and servers.

PROTECTING THE SECURITY OF STUDENT RECORDS

TTUHSC protects the security, confidentiality, and integrity of student records, and appropriate safeguards are in place to maintain a separation between students' Protected Health Information (PHI), as defined by the Health Insurance Portability and Accountability Act of 1996 (HIPAA), and student academic records, as defined by the Family Educational Rights and Privacy Act of 1974 (FERPA).

Student health information and student academic records are maintained in separate information systems. Student health information is maintained in a medical record file, while student academic records are imaged and maintained in Banner. As stated in *HSC OP 52.09, Confidential Information* anyone who has access to private and personally identifiable information concerning TTUHSC employees, faculty, students, patients, or affiliates or to any other information made confidential by TTUHSC policies or law (including, but not limited

to, FERPA, HIPAA, and the Gramm-Leach-Bliley Act of 1999) will take reasonable and necessary steps to maintain the privacy of such information. As previously stated, all TTUHSC employees, including faculty, sign the confidentiality statement in which they agree to hold as strictly confidential all information regarding patient, personnel, and/or student records, communications, and activities and all other information made confidential by TTUHSC policy or law. Furthermore, following *HSC 56.04, Electronic Transmission of Personally Identifiable Information (PII) and Protected Health Information (PHI)*, any department and/or school that uses the internet to transmit PII/PHI of students is responsible for obtaining written approval from the TTUHSC Privacy Officer and TTUHSC Security Officer.

To help ensure student rights to privacy and confidentiality, TTUHSC also maintains compliance with the Liaison Committee on Medical Education's (LCME) standard 12.5, which states that "The health professionals who provide psychiatric/psychological counseling or other sensitive health services to medical students must have no involvement in the academic evaluation or promotion of the students receiving those services (LCME 12.5)." Any TTUHSC faculty member, resident, or fellow who provides psychiatric/psychological counseling or other sensitive health services to a TTUHSC student is required to recuse themselves from any role in the academic evaluation or promotion of the student.

Backup of Students Records. Electronic student records are maintained in two separate systems—Banner, Sakai, and Canvas. The backup procedures used for each system are described below.

Banner is an integrated online information system that includes admissions, student records, and financial aid information. Banner is backed up using three separate processes, as follows:

- The Banner database is replicated real time via Oracle Data Guard to our disaster recovery facility located on the Lubbock campus.
- Full backups of the Banner database are made weekly with incremental backups made daily. The backups are written to our disaster recovery facility. The backups at that point are backed up to disk and retained for 32 days.
- Exports of all data are taken nightly and also written to our disaster recovery facility where they are backed up to disk also and retained for 32 days.

See also, for reference, the Texas Tech University System (TTU System) Banner Enterprise Security Manual and the TTU System Disaster Recovery Plan table of contents (full version available in hard copy upon request).

Sakai and Canvas are online learning management systems (LMS) that include course-related student data. Sakai and Canvas data are backed up daily with each instance retained for 30 days. The LMS disaster recovery plan (DRP) can be seen here.

SUMMARY

TTUHSC employs an in-depth approach to Information Security that commensurates with industry best practice as well as applicable state and federal regulation. In doing so, TTUHSC works to ensure the confidentiality, integrity, and availability of its student information.

12.6

Student Debt

The institution provides information and guidance to help student borrowers understand how to manage their debt and repay their loans.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The TTUHSC Office of Financial Aid provides an extensive range of financial services. Approximately 69 percent of the student population across all schools and campuses, including students enrolled in distance education programs, receive some form of financial aid. It is estimated that this office will disburse over $80 million in 2017-2018. This comprises $4 million in grants, $8 million in scholarships, and $68 million in loans. Consequently, the institution also provides information and guidance to help student borrowers understand how to manage debt and repay their loans.

Because many TTUHSC students obtain loans, TTUHSC seeks to help students make responsible decisions about borrowing and repayment of their loans and to provide the necessary tools to help them make informed financial decisions. When they log into their personalized portals online, students can view information about their loans, including specific loan amounts and links to helpful resources. Refer to the screenshot of Student Portal Loan Details. Several resources are also located on the TTUHSC Debt Management website, including information about possible funding sources like grants, scholarships, federal loan programs, and private alternative loans. In addition, links to other useful financial management resources are provided on the website, such as budget worksheets and Financial Awareness Counseling through Federal Student Aid, an office of the U.S. Department of Education. Students are always encouraged to contact staff in the TTUHSC Office of Financial Aid for individual assistance as well.

Per federal regulations, students who have received a subsidized, unsubsidized, or PLUS loan(s) under the Federal Direct Loan Program or Federal Family Education Loan (FFEL) Program must complete exit counseling each time they graduate, drop below half-time enrollment, or leave school. This counseling process must be completed online in a single 20-30 minute session. Refer to a screenshot of the Federal Student Aid Exit Counseling website. To assist students with this requirement, the TTUHSC Office of Financial Aid offers additional resources on the TTUHSC Exit Counseling Information website. On this website, students may access information about managing educational debt for specific student groups, such as the AAMC Education Debt Manager for Graduating Medical School Students. They may also access general sources of information that are applicable to multiple student sub-groups, such as the Sallie Mae Student Loan Repayment Strategies presentation.

SUMMARY

As described in the preceding narrative, TTUHSC provides information and guidance to help student borrowers understand how to manage debt and repay their loans. These efforts likely contribute to the institution's low student loan default rates. According to the most current default rates published by the U.S. Department of Education (USDOE), TTUHSC's three-year student loan default rate is 1.0% for FY 2014. This rate is comparable to other health-related institutions in Texas and much lower than the national three-year student loan default rate of 11.5% for FY 2014. For these reasons, TTUHSC is compliant with the current standard.

13.1

Financial Resources

The institution has sound financial resources and a demonstrated, stable financial base to support the mission of the institution and the scope of its programs and services.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

As a comprehensive health sciences center, the Texas Tech University Health Sciences Center's (TTUHSC) mission is to "enrich the lives of others by educating students to become collaborative healthcare professionals, providing excellent patient care, and advancing knowledge through innovative research." The following narrative will demonstrate the adequacy of the institution's financial resources in fulfilling this mission. After describing briefly some unique factors impacting TTUHSC's financial resources in recent years, financial strength and stability will be discussed in relation to these factors: (a) Composite Financial Index score, and (b) diversity of revenue sources and related growth.

UNIQUE FACTORS IMPACTING FINANCIAL RESOURCES

Over the past three fiscal years, TTUHSC has experienced growth in revenue streams from institutional and state sources, as well as growth in enrollment. During the same three-year period, TTUHSC has also been impacted by several unusual events that have significantly impacted its financial operations and related reporting. The tables and ratios included in this response have been adjusted, as appropriate, for the financial impact of the situations explained below. Readers may also refer to *Standard 13.2 (Financial Documents)* to review official financial documents.

El Paso Branch Campus Established as a Separate State Agency

In previous SACSCOC reports, TTUHSC listed El Paso as a branch campus with academic programs in medicine, nursing, and biomedical sciences. On May 18, 2013, the Texas Tech University Health Sciences Center at El Paso (TTUHSC-EP) was approved as a separate institution in the State of Texas under Texas Senate Bill 120. However, TTUHSC-EP was not actually established as a separate state agency by the State of Texas within its budgeting or accounting systems until the 2016-2017 biennium. Thus, amounts appropriated to TTUHSC in the General Appropriations Act for appropriating money to state agencies for the 2014-2015 biennium were for the support of both TTUHSC and TTUHSC-EP. As a result of the combined state funding, TTUHSC's appropriation revenue for FY 2014 and FY 2015 was overstated by amounts attributable to TTUHSC-EP's operations. Thus, funding utilized in support of TTUHSC-EP was reflected as a transfer out from TTUHSC. TTUHSC-EP was granted independent SACSCOC accreditation in June 2018.

Financial Operations Transferred to Texas Tech University System Administration

At the end of FY 2015, financial balances and operations in two areas were transferred from TTUHSC to the Texas Tech University System Administration (TTUSA). First, TTUHSC's share of revenue bonds payable and other related debt was transferred to TTUSA in order to facilitate the central administration of Texas Tech University System's Revenue Financing System (RFS) bonded indebtedness at the system level. RFS bonds are

issued at the consolidated level for all Texas Tech University System components. Although TTUHSC's debt service operations are now a shared service across the TTUSA for all institutions, TTUHSC is required to provide funding for the debt.

Second, the financial balances and operations of the medical malpractice self-insurance plan were transferred to TTUSA. This plan provides self-insurance for medical malpractice for both TTUHSC and TTUHSC-EP. Prior to the establishment of TTUHSC-EP as a separate agency, the financial activities of the plan were included within the financial balances for TTUHSC. However, with the establishment of TTUHSC-EP as a separate agency, a transfer of the plan's net assets was necessary to account separately for the combined activities on behalf of both agencies.

FINANCIAL RATIOS

The following financial ratios and the Composite Financial Index provide additional support for the institution's effective management of expenditures and debt, which is indicative of TTUHSC's overall financial stability.

Composite Financial Index (CFI)

To assess TTUHSC's financial health and financial risk, it is critical that the following four key questions concerning those issues are answered by calculating a financial measure that addresses the overall question of whether or not an institution's financial strengths and that stability are healthy:

1. Are resources sufficient and flexible enough to support the mission? – **Primary Reserve Ratio**
2. Are debt resources managed strategically to advance the mission? – **Viability Ratio**
3. Does asset performance and management support the strategic direction? – **Return on Net Assets Ratio**
4. Do operating results indicate the institution is living within available resources? – **Net Operating Revenues Ratio**

After reviewing the relative strengths and weaknesses of each of the four core ratios listed above, which will be discussed in greater detail under *Standard 13.3 (Financial Responsibility)*, TTUHSC combined these factors into a single score that results in the Composite Financial Index, found below in *Table 13.1-1*. The CFI was calculated using the guidance and principles as defined in the Strategic Financial Analysis for Higher Education, *7th edition*. The CFI is a single financial metric that illustrates the overall financial health of an institution and offers a more holistic approach to understanding the total financial strengths and stability of an institution.

Table 13.1-1 Composite Financial Index Score

Composite Financial Index	FY 2015	FY 2016	FY 2017
Primary Reserve Ratio	2.85	2.69	1.79
Net Operating Revenues Ratio	0.40	0.06	0.05
Return on Net Assets Ratio	0.39	0.42	0.42
Viability Ratio	0.00	0.00	3.24
CFI Score	**3.64**	**3.17**	**5.50**

TTUHSC's threshold values of 3 or greater are within the targeted range that represents a relatively strong financial position. In certain cases in calculating the CFI, the Viability Ratio will not apply because some

institutions carry minimal to no long-term obligations. This was the case for TTUHSC in FY 2015 and FY 2016. Minimal long-term debt was carried; therefore, the Viability Ratio was not applied and the weight of zero among the other three core ratios was proportionately allocated. However, TTUHSC recorded an increase of $75.6M in debt as part of its capital building projects across all campuses from FY 2016 to FY 2017. As a result, the Viability Ratio weight factor was included to accurately reflect the change in TTUHSC debt position relative to its overall financial health.

Readers may also refer to *Standard 13.3 (Financial Responsibility)* to review in greater detail the financial tables that illustrate each of the CFI data points and address the Operational Financial Management of TTUHSC, which focus on answering the following two questions:

1. Is the institution operating within its means; and
2. Are its financial activities stable?

STATEMENT OF UNRESTRICTED NET ASSETS

Each fiscal year, the TTUHSC Annual Financial Report (AFR) includes a *Statement of Net Position* that specifically identifies unrestricted net assets, exclusive of plant and plant-related debt. *Table 13.1-2* summarizes this section of the AFR for FY 2015 through FY 2017. The AFR for FY 2018 was not yet available at the time of report submission in September 2018 but will be available by March 2019.

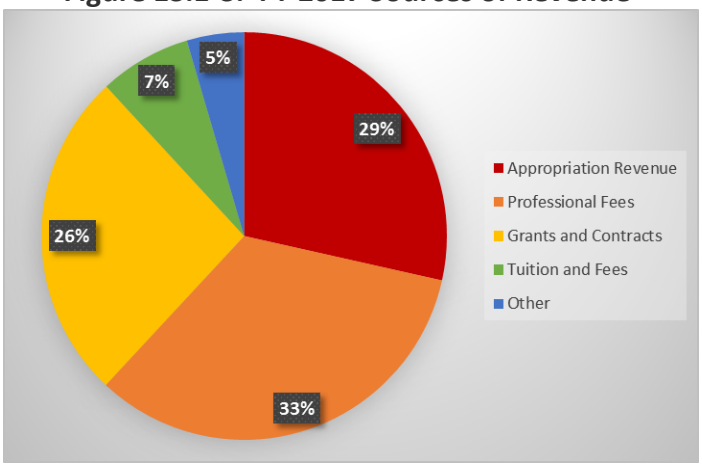
Table 13.1-2. Unrestricted Net Assets

Net Position	2015	2016	2017
Invested in Capital Assets, Net of Related Debt	$221,050,953.78	$216,695,500.65	$224,362,338.39
Restricted for:			
Capital Projects	7,258,850.99	7,267,330.92	4,819,129.38
Funds Held as Permanent Investments Nonexpendable	61,006,826.80	61,276,729.63	61,782,346.44
Other	86,509,832.51	91,184,908.75	108,017,183.52
Unrestricted	**308,359,892.80**	**314,931,648.19**	**315,523,793.47**
Total Net Position	**$684,186,356.88**	**$691,356,118.14**	**$714,504,791.20**

SOURCES OF REVENUE

A significant factor in maintaining the institution's financial stability is TTUHSC's diversified pool of financial resources. The educational, research, and patient care components of the TTUHSC mission provide the institution with multiple sources of revenue, including state appropriations, tuition and fees, grants and contracts, professional fees from practice plans, and other sources. Refer to *Figure 13.1-3*. The lack of dependence on any one source of funding allows the institution to maintain flexibility and financial stability in times of economic change.

Figure 13.1-3. FY 2017 Sources of Revenue



As indicated in the figure above, some revenue streams, such as tuition and fee revenues, represent only a small percentage of the institution's total revenues and do not significantly impact the institution's annual operating budget. On the other hand, income from state appropriations, TTUHSC's professional fees from its practice plans, and grants and contracts together comprise 88% of the institution's annual operating revenues.

TTUHSC has seen growth in its major revenue streams over the past three years. Refer to *Table 13.1-4*. The total of major revenue sources increased by 8.35% from FY 2015 to FY 2017.

Table 13.1-4. TTUHSC's Major Revenue Sources

Major Revenue Sources	2015	2016	2017
Legislative Appropriation Revenue	$ 165,059,836.43	$ 174,506,609.61	$ 180,656,588.67
Professional Fees (Net of Discounts and Allowances)	205,167,004.50	216,674,828.40	212,073,037.93
Grants and Contracts	145,512,143.54	157,113,510.02	165,790,949.97
Tuition and Fees (Net of Discounts and Allowances)	42,567,500.57	45,071,704.76	46,425,576.52
Total of Major Revenue Sources	**$ 558,306,485.04**	**$ 593,366,652.79**	**$ 604,946,153.09**

State Appropriations – Formula Funding

TTUHSC receives revenue through the legislative appropriation process from the State of Texas using three primary formulas: (1) Instruction and Operations, which is used to support the institution's academic instructional and administrative operational activities; (2) Infrastructure Support, which is used for utilities and facilities operational needs; and (3) Research Enhancement, which is used to support the institution's research activities. These formula allocations are provided through the General Appropriations Act every two years. In addition to these formulas, TTUHSC also receives funds dedicated through the Texas Constitution, Higher Education Assistance Fund (HEAF). The HEAF funds are provided to help TTUHSC acquire land; construct, repair, and provide deferred maintenance for our buildings; and purchase capital equipment and library materials. The revenue sources from the state are listed in *Table 13.1-5*.

Table 13.1-5. State Support from Legislative Appropriations

Legislative Appropriation Revenue Summary	2015	2016	2017
Appropriation Revenue for Operations	$ 210,148,525.41	$ 158,925,012.61	$ 158,541,598.67
Appropriation Revenue to TTUHSCEP	(61,502,201.12)	-	-
Appropriations Revenue for Capital (HEAF)	16,973,569.00	15,581,597.00	23,372,396.00
Appropriation Revenue Lapsed	(560,056.86)	-	(1,257,406.00)
Total Legislative Appropriation Revenue	**$ 165,059,836.43**	**$ 174,506,609.61**	**$ 180,656,588.67**

Operating Legislative Appropriation Revenue Summary	2015	2016	2017
Total Legislative Appropriation Revenue	**$ 165,059,836.43**	**$ 174,506,609.61**	**$ 180,656,588.67**
Appropriations Revenue - Capital (HEAF) for Capitalized Assets (not Expensed)	**(10,664,270.61)**	**(7,914,034.99)**	**(15,475,062.63)**
Appropriations Revenue - Tuition Revenue Bonds for Principle Payment	**(3,800,541.16)**	**(3,778,394.81)**	**(3,483,104.86)**
Total Legislative Appropriation Revenue	**$ 150,595,024.66**	**$ 162,814,179.81**	**$ 161,698,421.18**

TTUHSC files a biennial Legislative Appropriations Request (LAR) with the Legislative Budget Board and the Office of the Governor, Budget Division, to seek funding from the state and provide appropriate documentation to support these requests. The most recent LAR was submitted in August 2018 for fiscal years 2020 and 2021. In addition to submission of the LAR, TTUHSC regularly analyzes all current and pending legislation to identify state actions that could impact the institution. This proactive approach allows the institution to develop contingency plans when faced with potential budget cuts. In recent years, the institution's state-appropriation revenues have remained relatively stable, increasing from $165 million in FY 2015 to $180 million in FY 2017. This constitutes a 9.4% increase.

Professional Fees

TTUHSC's other major revenue sources are generated from activities within the institution. Professional fee revenue, for example, is generated by TTUHSC's patient care activities. Revenues from professional fees include income from the professional practice plans and the Correctional Managed Health Care contract. In recent years, TTUHSC has experienced a 3.4% increase in professional-fee revenues, from $205 million in FY 2015 to $212 million in FY 2017. Each practice plan is managed by the respective school within TTUHSC. For example, the largest professional practice plan is the Medical Practice Income Plan (MPIP), which is managed through MPIP Business Offices on each campus. Each MPIP Business Office, under the direction of the Dean's office and respective regional deans' offices, manages the billings and collections of charges generated from clinical practices on the given campus.

A large segment of our professional fees, approximately 50%, is the Correctional Managed Health Care program, which is a legislatively established partnership between the Texas Department of Criminal Justice, TTUHSC, and the University of Texas Medical Branch at Galveston. It is one of the largest and most complex contracts for TTUHSC. This program is closely monitored to ensure that the State's resources are expended and appropriately disbursed to ensure that the fund balance does not end the fiscal year with neither a surplus nor deficit.

Grants and Contracts

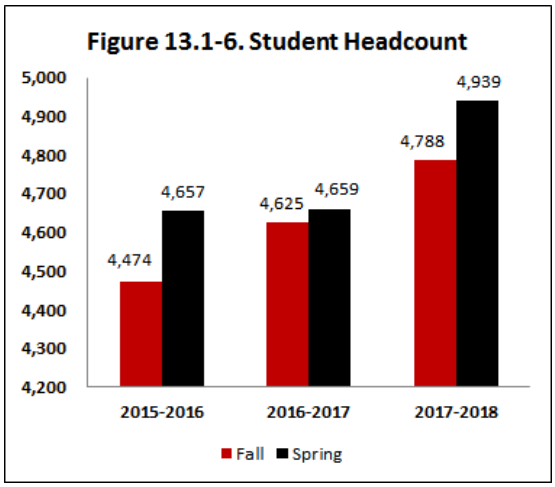
Grants and contracts revenue is generated by both research programs and patient care activities, such as medical services contracts. A major portion of revenues included in this category comes from the Master Coordinating and Master Service Agreements with affiliated hospitals. The Dean and regional deans of the School of Medicine annually renegotiate these agreements between the school and the affiliated hospitals to

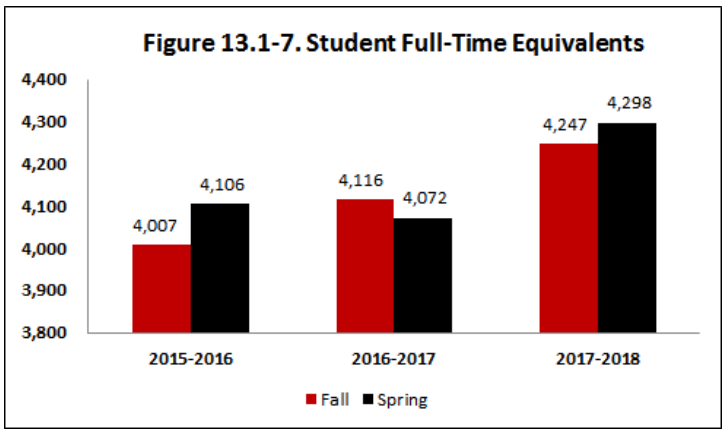
provide professional services for the hospitals. These grants and contracts generated revenues for TTUHSC in excess of $145 million in FY 2015 and nearly $166 million in FY 2017, which constitutes a 14.5% increase.

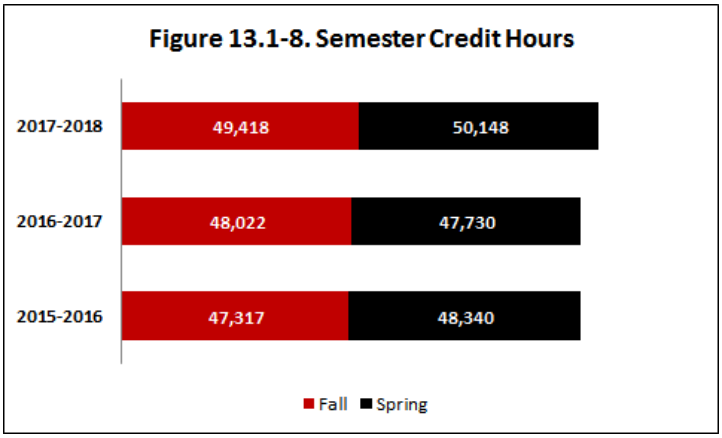
Tuition and Fees

Tuition and fee revenue is generated by TTUHSC's educational programs. As mentioned previously, tuition and fees constitute a much smaller percentage of TTUHSC's annual operating revenues, but enrollment trends are important nonetheless. Stability and growth in enrollment is an important indicator of the institution's operational and financial health. State appropriations are based in part on student enrollment. The legislature determines funding for health-related institutions based on formula and non-formula items. Refer to the Legislative Primer for Funding Health Related Institutions. The formula for Instructional and Operations Support funding is directly based on student enrollment numbers. The formula for Infrastructure Support funding is driven by the predicted square feet in the institution's Space Projection Model, which is driven by student enrollment numbers. Thus, positive enrollment trends favorably impact TTUHSC's funding from state appropriations.

Over the past three years, the institution's student enrollment has remained stable with modest growth. Total enrollment has increased by 7% from 4,474 in Fall 2015 to 4,788 in Fall 2017. *Figure 13.1-6* and *Figure 13.1-7* show the fall/spring student headcount and number of student full-time equivalents for three academic years. *Figure 13.1-8* indicates the semester credit hours generated for the same time frame.







SUMMARY

TTUHSC has sound financial resources and a stable financial base, as demonstrated by the institution's CFI ratio, diverse revenue sources, and related growth. This financial stability provides a strong foundation for supporting the institution's mission and scope of its programs and services. Therefore, TTUHSC is compliant with the current standard.

13.2

Financial Documents

The member institution provides the following financial statements: (a) an institutional audit (or Standard Review Report issued in accordance with Statements on Standards for Accounting and Review Services issued by the AICPA for those institutions audited as part of a system-wide or statewide audit) for the most recent fiscal year prepared by an independent certified public accountant and/or an appropriate governmental auditing agency employing the appropriate audit (or Standard Review Report) guide; (b) a statement of financial position of unrestricted net assets, exclusive of plant assets and plant-related debt, which represents the change in unrestricted net assets attributable to operations for the most recent year; and (c) an annual budget that is preceded by sound planning, is subject to sound fiscal procedures, and is approved by the governing board.

Judgment

☐ Compliance ☑ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) is in partial compliance with *Standard 13.2 (Financial Documents)*. At the time of this submission, financial statements for the fiscal year ending August 31, 2018, are not available. TTUHSC has requested an engagement with an independent audit firm to conduct a review of the institution's Annual Financial Report (AFR) for FY 2018 in accordance with the Statements on Standards for Accounting and Review Services issued by the American Institute of Certified Public Accountants. However, due to the timing of the AFR closure for FY 2018 (i.e., August 31, 2018) and submission of the current SACSCOC report (i.e., September 10, 2018), the *Standard Review Report* is not yet available. The FY 2018 Annual Financial Report, along with the standard Review Report, will be available in Spring 2019 once the review is completed. In the subsequent narrative, therefore, TTUHSC provides the requested financial statements for fiscal year 2017 (September 1, 2016-August 31, 2017), unless indicated otherwise. These include the (a) Standard Review Report, (b) Statement of Unrestricted Net Assets, and (c) Annual Budget.

STANDARD REVIEW REPORT

TTUHSC prepares an *Annual Financial Report* (AFR) each fiscal year in accordance with the Reporting Requirements for Annual Financial Reports of State Agencies and Universities, as published by the Texas Comptroller of Public Accounts. TTUHSC fiscal records are maintained using a modified accrual basis of accounting during the normal course of operations. However, balances and activities included in the AFR are converted to a full accrual basis of accounting in compliance with the Governmental Accounting Standards Board (GASB). Refer to GASB Statement No. 34 and GASB Statement No. 35. AFR's for the past three fiscal years are provided for reference:

- FY 2015 Annual Financial Report
- FY 2016 Annual Financial Report
- FY 2017 Annual Financial Report

STATEMENT OF UNRESTRICTED NET ASSETS

Each fiscal year, the TTUHSC AFR includes a *Statement of Net Position* that specifically identifies unrestricted net assets, exclusive of plant and plant-related debt. *Table 13.2-1* summarizes this section of the AFR for FY 2015 through FY 2017. The AFR for FY 2018 was not yet available at the time of report submission in September 2018 but will be available by March 2019.

Table 13.2-1 Unrestricted Net Assets

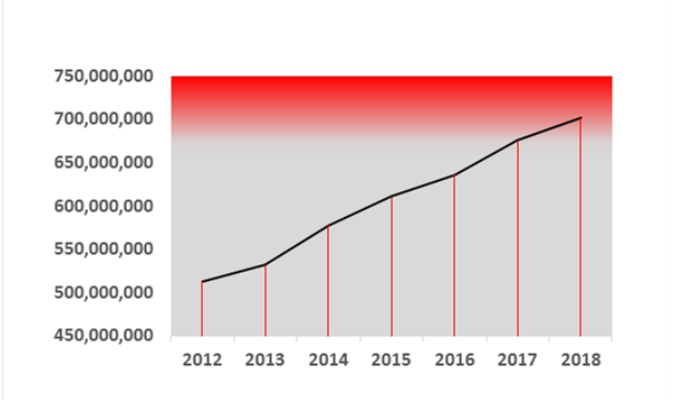
Net Position	2015	2016	2017
Invested in Capital Assets, Net of Related Debt	$221,050,953.78	$216,695,500.65	$224,362,338.39
Restricted for:			
Capital Projects	7,258,850.99	7,267,330.92	4,819,129.38
Funds Held as Permanent Investments Nonexpendable	61,006,826.80	61,276,729.63	61,782,346.44
Other	86,509,832.51	91,184,908.75	108,017,183.52
Unrestricted	**308,359,892.80**	**314,931,648.19**	**315,523,793.47**
Total Net Position	**$684,186,356.88**	**$691,356,118.14**	**$714,504,791.20**

ANNUAL BUDGET

Section 07.04, Regents' Rules outlines the budget rules and procedures for the component institutions of the Texas Tech University System. As stated in this rule, the Board of Regents is required by law to approve an annual operating budget in advance of each fiscal year. In accordance with this requirement, the Board approved TTUHSC's FY 2018 budget at its August 2017 meeting. Refer to the attached meeting minutes. The TTUHSC budget is prepared within the limits of revenue available from legislative appropriations from the State of Texas (as described in further detail below), medical practice plan funds, and estimated local and other funds. Furthermore, the budget is constructed along organizational lines using appropriate fund groupings required by state law or recommended by the State Auditor's Office or the State Comptroller's Office.

The annual operating budget for FY 2018 is more than $700 million. As *Figure 13.2-1* illustrates, the budget has increased by 37% over the past six years. Refer to the 2018 Operating Budget Detail and/or 2018 Operating Budget Summary for additional information.

Figure 13.2-2. Operating Budget History



Legislative Appropriations Request (LAR)
As part of the Texas Tech University System and as an agency of the State of Texas, TTUHSC follows common budget guidelines and cycles established by the State of Texas. Preparation of the biennial Legislative Appropriations Request (LAR) is the beginning of the budget cycle for TTUHSC. The LAR is submitted to the Legislative Budget Board and the Governor's Office of Budget and Planning in August of each even-numbered year to be used by the Texas Legislature to allocate statewide resources. Refer to the most recent LAR for FY 2020 and 2021. The LAR includes a base funding request for continuation of current funding and exceptional item requests for funding over and above current levels, including requests for tuition revenue bonds. Each exceptional item request is aligned with institutional goals and strategies and is approved by the President and Chancellor.

The process of developing the LAR includes:

- The Budget Office completes the financial and personnel portion of the LAR, including supporting schedules and requests for exceptional items, and then submits the LAR to the Legislative Budget Board and the Governor's Office of Budget and Planning.
- School representatives submit target performance measures to the Office of Institutional Research, which reviews the targets for feasibility and inclusion in the LAR. Actual performance for these target measures is reported annually to the Legislative Budget Board. An explanation of variance from the stated performance measure of more than five percent, either positive or negative, is required in the annual reports.

The final LAR is submitted in August. The Texas Legislature convenes the following January and finalizes the allocation of statewide resources for the next biennium in late May.

Operating Budget
As discussed in *Standard 13.1 (Financial Resources)*, once the formula allocations and other state appropriations are determined by the State through the General Appropriations Act, TTUHSC evaluates these funding levels and allocates the resources to the various deans and vice presidents. The institution returns 70% of increases in formula funding to each school. The remaining 30% is allocated by the President to appropriate strategic initiatives and in consideration of the following factors: (a) facilities costs, including energy rate increases and costs for new facilities; and (b) increased information technology costs based on student growth and new facilities. Budget reductions are implemented if sufficient funding is not available to support fixed costs. For example, in FY 2018, TTUHSC's state appropriations for staff group insurance was reduced, which created a $2 million deficit. As a result, TTUHSC made strategic reductions to fund this shortfall.

Each budget cycle begins with the development of general parameters by the TTUHSC Vice President/Chief Financial Officer, President, and Chancellor. Based on these parameters, the Budget Office develops specific budget guidelines for all departments to follow when preparing the annual budget. Then budget targets are distributed to the Dean or Vice President of each institutional division, who may develop additional internal guidelines for their respective areas. These individuals distribute targets to departments within their reporting structures according to the priorities of their school or division. Departments utilize an online Budget Prep System to update, balance, and approve the budget information. An internal review process within each

school or division requires each department to present its budget for approval by the Dean or Vice President, as appropriate.

Budget hearings are held in the months of March and April with each dean and vice president. The budget hearings are attended by the President, CFO, and dean or vice president. The budget hearing format provides financial transparency to institutional leadership and allows each dean and vice president to:

- Provide information on how they can utilize current funding levels to continue to reach their strategic plan goals.
- Have an opportunity to present the prioritized list of additional funding requests with detailed information on how those funds will further enhance the division efforts to realize the TTUHSC strategic plan goals.

Once the budgets are approved at the school or division levels, the Budget Office verifies compliance with the budget guidelines and adherence to the distributed targets. This is accomplished using standardized edits from the institutional reporting tool. The Budget Office also balances the entire budget and prepares a summary of the operating budget. This summary is presented to the President by the Vice President and Chief Financial Officer before presentation to the Chancellor for approval. The Operating Budget Summary is mailed to each regent one week before the meeting at which the Board of Regents will act on the proposed budget. The Vice President/Chief Financial Officer also briefs the board's finance committee prior to the meeting. Once approved by the Board of Regents, the new budget is loaded into the institution's accounting, human resources, and payroll systems for the new fiscal year. An Operating Budget Detail is printed and distributed to the appropriate individuals.

The deans and vice presidents are responsible for allocating this funding along with funding from practice plans, gifts, grants, and contracts to meet the strategic goals of their areas. Special item funding must be used for the purposes outlined in the Legislative Appropriations Request. Throughout the fiscal year, revisions to the approved budget may be made in accordance with *HSC OP 50.38, Budget Adjustments to the Annual Operating Budget*. The level of approval is contingent upon the scope of the revision.

SUMMARY

Due to the timing of this report, TTUHSC is unable to provide the requested financial statements for the most recent fiscal year, which ended August 31, 2018. These statements include the (a) Standard Review Report and (b) statement of unrestricted net assets. The requested information will be available in Spring 2019. However, as explained in the preceding narrative, TTUHSC adheres to an annual budget development process that is based on sound fiscal planning and procedures. The FY 2018 budget was approved by the governing board in August 2017. For these reasons, TTUHSC is in partial compliance with the standard at this time.

13.3

Financial Responsibility

The institution manages its financial resources in a responsible manner.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) manages its financial resources in a responsible manner and lives within its financial means to support the mission of the institution and scope of its programs and services. To support this assertion, the following narrative will describe the institution's financial controls, ratios, and significant growth indicators.

MANAGEMENT OF EXPENDITURES AND DEBT

Financial controls established by the state, the Texas Tech University (TTU) System, and the institution ensure effective management of TTUHSC's expenditures and debt, which contributes to the institution's financial stability. As described in the Rules and Regulations of the Board of Regents of the TTU System, the Board and the principal officers of the System have the responsibilities of a fiduciary in the administration of all funds subject to the control and management of the TTU System (*Chapter 07, Regents' Rules*).

Budget Rules and Procedures

According to *Section 07.04, Regents' Rules*, the Board is required by law to approve an annual budget covering the operation of the upcoming fiscal year. This budget is prepared within the limits of revenue available from legislative appropriations and estimated funds from local and other sources. The budget is constructed along organizational lines using appropriate fund groupings required by state law or recommended by the State Auditor's Office or State Comptroller's Office.

The Board fulfills its oversight responsibilities by reviewing and approving general budgeting policies and establishing general budget priorities. The Board delegates detailed budgetary development and control to the Chancellor, Presidents, and the chief fiscal officers of the component institutions (*Section 07.04.2, Regents' Rules*). The Finance and Administration Committee, a standing committee of the Board, oversees the budgeting process and reviews all requests for budgets covering expenditures of educational and general funds, designated funds, and auxiliary programs (*Section 01.02.8.d.(3), Regents' Rules*).

TTUHSC's Vice President and Chief Financial Officer (CFO) is the institution's chief fiscal officer and has the responsibility of ensuring that all policies, regulations, and the highest standards of asset management are followed. This individual is responsible to the President, Chancellor, and Board of Regents for ensuring that expenditures do not exceed available funds and maintaining other budgetary controls in accordance with *Section 07.04.3, Regents' Rules*. TTUHSC administrators are not authorized to commit funds without a budget approved by the Vice President and CFO or her designee.

The TTUHSC Budget Office, moreover, is charged with planning, overseeing, and reporting the institution's budget, and the office uses a proactive approach to ensure proper management of current resources and adequate funding for future operations. For more information about the institution's budget planning process, refer to *Standard 13.2 (Financial Documents)*. Additional information about the institution's control of financial resources, including copies of current and past operating budgets and evidence of the qualifications of the CFO and other key financial staff members, is provided in *Standard 13.4 (Control of Finances)*.

Debt Management

The Board of Regents is responsible for authorizing the issuance of all TTU System indebtedness in accordance with the Board's debt management policy. Refer to *Section 07.05, Regents' Rules*. All debt programs are made in accordance with applicable state and federal statutes and regulations. To the extent permitted by law, the Board may grant to the Chancellor the authority to issue short-term indebtedness. The short-term debt program is utilized for capital projects during construction and for equipment acquisition. All conversions to long-term or bond indebtedness are approved by the Board. The TTU System Office of Investments is charged with managing the TTU System's debt.

FINANCIAL RATIOS

As discussed in *Standard 13.1 (Financial Resources),* the Composite Financial Index score offers a single financial metric that illustrates the overall financial health of an institution. In the following sections, we will demonstrate in greater detail the four critical ratios that make up the CFI and examine the following questions:

1. Do operating results indicate the institution is living within available resources? – **Net Operating Revenues Ratio**
2. Are resources sufficient and flexible enough to support the mission? – **Primary Reserve Ratio**
3. Does asset performance and management support the strategic direction? – **Return on Net Assets Ratio**
4. Are debt resources managed strategically to advance the mission? – **Viability Ratio**

In addition, the following narratives will provide detailed financial tables that focus on answering the following two key questions that validate the prudent Operational Financial Management of TTUHSC:

1. Is the institution operating within its means? – **(Net Operating Revenues Ratio)**; and,
2. Are its financial activities stable?

Net Operating Revenues Ratio

This ratio indicates whether TTUHSC is operating within its available resources. The measurement calculates the percentage of operating revenue available after operating expenses have been satisfied. A positive ratio indicates that TTUHSC experienced an operating surplus for the year. Although *Table 13.3-1* depicts a slight downward trend, TTUHSC maintains positive financial results with respect to this measurement.

Table 13.3-1. Net Operating Revenues Ratio

Net Operating Revenues Ratio	2015	2016	2017
NUMERATOR			
Operating Income (Loss)	$ (154,895,465.34)	$ (190,033,598.64)	$ (189,172,577.09)
Operating Income (Loss) Foundation	(8,218.85)	(693.04)	(231,086.38)
Appropriation Revenue (Excluding HEAF, see Summary Table)	150,595,024.66	162,814,179.81	161,698,421.18
Nonoperating Other Revenue Net of Expenses	16,530,492.16	24,019,642.92	16,649,214.92
Nonoperating Other Revenue Net of Expenses Foundation	8,481,504.86	6,407,120.61	15,059,829.61
Excess Operating Revenues over Operating Expenses	**$ 20,703,337.49**	**$ 3,206,651.66**	**$ 4,003,802.24**
DENOMINATOR			
Operating Revenues	$ 420,854,834.23	$ 446,394,291.77	$ 453,252,844.11
Appropriation Revenue (Excluding HEAF, see Summary Table)	150,595,024.66	162,814,179.81	161,698,421.18
Nonoperating Other Revenue	18,244,763.06	25,935,978.11	18,870,271.06
Nonoperating Other Revenue Foundation	8,481,504.86	6,407,120.61	15,059,829.61
Total Operating Revenue	**$ 598,176,126.81**	**$ 641,551,570.30**	**$ 648,881,365.96**
Ratio Result	**3.46%**	**0.50%**	**0.62%**

A contingent liability of $12 million was recorded in FY 2016 related to the Texas Health and Human Services Commission (HHSC) physician supplemental payments and uncompensated care payments made to TTUHSC. The U.S. Department of Health and Human Services Office (HHSC) and the Office of the Inspector General (OIG) audited the physician supplemental payments to determine if HHSC calculations were in accordance with federal regulations and the state plan. HHSC requested repayment from TTUHSC based on audit findings from similar state agencies. Repayment was also requested from TTUHSC related to the HHSC annual reconciliation of the Section 1115 Transformation Waiver Uncompensated Care payments to allowable uncompensated costs reported by TTUHSC physicians. During FY 2017, moreover, strategic investments of operational resources were made to start-up a new surgery residency program in the Permian Basin, in addition to resources allocated to fund the implementation of a new electronic medical records (EMR) system.

Primary Reserve Ratio

This liquidity ratio is used to determine if resources are sufficient and flexible enough to support TTUHSC's mission. It measures the financial strength and flexibility of the institution by comparing expendable net assets to total expenses. Expendable net assets represent those assets that TTUHSC can access quickly for use in meeting its operating and capital requirements. This snapshot indicates how long TTUHSC could function using its existing expendable reserves. A Primary Reserve Ratio of 4.8 months (0.40) or better indicates flexibility in transforming the operations of the institution should a prevailing need arise. See *Table 13.3-2*. TTUHSC maintains positive financial results with respect to this measurement, with reserves averaging above 8 months.

Table 13.3-2. Primary Reserve Ratio

Primary Reserve Ratio	2015	2016	2017
NUMERATOR			
Unrestricted Net Position	$ 308,359,892.80	$ 314,931,648.19	$ 315,523,793.47
Unrestricted Net Position Foundation	5,770,867.91	7,064,704.25	15,514,126.67
Restricted Other Net Position	86,509,832.51	91,184,908.75	108,017,183.52
Expendable Net Assets	**$ 400,640,593.22**	**$ 413,181,261.19**	**$ 439,055,103.66**
DENOMINATOR			
Operating Expenses	$ 575,750,399.57	$ 636,427,890.41	$ 642,425,421.20
Operating Expenses Foundation	8,218.85	693.04	231,086.38
Nonoperating Interest Expense	1,714,270.90	1,916,335.19	2,221,056.14
Total Expenses	**$ 577,472,889.32**	**$ 638,344,918.64**	**$ 644,877,563.72**
Ratio Result	**0.69**	**0.65**	**0.68**

Return on Net Assets Ratio

This ratio determines whether TTUHSC is better off financially than in a prior year by measuring total economic return. In evaluating this measurement, it is important to note that changes in the market performance of investments can significantly impact the Change in Net Position (numerator) from year to year. In fact, TTUHSC experienced major losses on the fair market value of its investments during FY 2016. However, TTUHSC maintained a positive rate of return even while considering these losses. Refer to *Table 13.3-3*.

Table 13.3-3. Return on Net Assets Ratio

Return on Net Assets Ratio	2015	2016	2017
NUMERATOR			
Total Change in Net Position	$ 17,332,654.38	$ 7,169,761.26	$ 23,148,673.06
Total Change in Net Position Foundation	4,353,714.78	1,258,256.91	11,847,838.35
Reverse Transfer Out of Net Assets to TTUHSC-EP	-	-	-
Reverse Transfer Out of Net Assets to TTUHSC-EP Foundation	-	-	-
Reverse Net Expenses(Earnings) related to Self Insurance Fund	(2,765,574.86)	-	-
Adjusted Change in Net Position	**$ 18,920,794.30**	**$ 8,428,018.17**	**$ 34,996,511.41**
DENOMINATOR			
Beginning Net Assets	$ 666,853,702.50	$ 684,186,356.88	$ 691,356,118.14
Beginning Net Assets Foundation	55,574,162.84	59,927,877.62	61,186,134.53
Transfer Beginning Net Assets to TTUHSC-EP	-	-	-
Transfer Beginning Net Assets to TTUHSC-EP Foundation	-	-	-
Transfer Bonds Payable and Debt to System office	46,909,476.44	-	-
Transfer Self Insurance Fund to System office	(36,296,943.87)	-	-
Adjusted Beginnning Net Assets	**$ 733,040,397.91**	**$ 744,114,234.50**	**$ 752,542,252.67**
Ratio Result	**2.58%**	**1.13%**	**4.65%**

Viability Ratio

This debt management ratio is used to determine if debt resources are managed strategically and measures the availability of expendable net assets to cover the institution's capital-related debt. A ratio result of 1 or greater indicates that, as of the balance sheet date, TTUHSC has sufficient expendable assets to satisfy its capital-related debt. See *Table 13.3-4*. TTUHSC's expendable net assets are more than sufficient to satisfy its obligations. The drop in Viability Ratio reported for FY 2017 is the direct result of TTUHSC's increase in long-

term capital debt. Funding for TTUHSC's debt service payments are backed through the state's Tuition Revenue Bond program. These funds are appropriated directly to TTUHSC in the state's General Appropriations Act.

Table 13.3-4. Viability Ratio

Viability Ratio	2015	2016	2017
NUMERATOR			
Unrestricted Net Position	$ 308,359,892.80	$ 314,931,648.19	$ 315,523,793.47
Unrestricted Net Position Foundation	5,770,867.91	7,064,704.25	15,514,126.67
Restricted Other Net Position	86,509,832.51	91,184,908.75	108,017,183.52
Expendable Net Assets	**$ 400,640,593.22**	**$ 413,181,261.19**	**$ 439,055,103.66**
DENOMINATOR			
Total Capital Related Debt	**$ 41,770,139.01**	**$ 37,922,725.32**	**$ 113,678,015.87**
Ratio Result	**9.59**	**10.90**	**3.86**

Operating Expense Coverage Ratio

Although not a core ratio used for calculating the CFI, this liquidity ratio measures the financial strength and flexibility of the institution similar to the aforementioned Primary Reserve Ratio. However, the numerator in this ratio contains only TTUHSC's unrestricted net assets. Thus, this snapshot indicates how many months of operating expenses that TTUHSC has in its unrestricted reserves. As shown in *Table 13.3-5*, TTUHSC also maintains positive financial results with respect to this measurement.

Table 13.3-5. Operating Expense Coverage Ratio

Operating Expense Coverage Ratio	2015	2016	2017
NUMERATOR			
Unrestricted Net Position	$ 308,359,892.80	$ 314,931,648.19	$ 315,523,793.47
Unrestricted Net Position Foundation	5,770,867.91	7,064,704.25	15,514,126.67
Unrestricted Net Position	**$ 314,130,760.71**	**$ 321,996,352.44**	**$ 331,037,920.14**
DENOMINATOR			
Operating Expenses	$ 575,750,399.57	$ 636,427,890.41	$ 642,425,421.20
Operating Expenses Foundation	8,218.85	693.04	231,086.38
Nonoperating Interest Expense	1,714,270.90	1,916,335.19	2,221,056.14
Total Expenses	**$ 577,472,889.32**	**$ 638,344,918.64**	**$ 644,877,563.72**
Ratio Result, in months	**6.48**	**6.00**	**6.12**

CAPITAL INVESTMENT

Successful capital investment strategies provide additional evidence of TTUHSC's financial stability. Responsibility for the investment and management of institutional funds resides at the system level and is overseen and governed by the Board of Regents. The Regents' Rules establish policies governing the investment of TTU system funds, including the Short/Intermediate Term Investment Fund (SITIF) and Long Term Investment Fund (LTIF). Refer to *Section 09.02, Regents' Rules*, and *Section 09.03, Regents' Rules*, respectively. The SITIF is the principal operating fund of the TTU System, and the LTIF is composed of the System's endowment and other long-term institutional funds.

Section 09.01, Regents' Rules, delineates the roles and responsibilities of the Investment Advisory Committee, investment consultant, chief investment officer, treasurer, and investment managers. The Investment Advisory Committee, or IAC, is a special committee charged with meeting quarterly for the purpose of consulting with investment counsel, investment managers, and appropriate officers and staff and advising appropriate parties on asset allocation, investment policy, and investment results. Unless the IAC is given a specific delegation of authority by the Board to take action on behalf of the Board, the IAC shall serve in an advisory capacity only. See *Section 01.02.8.f, Regents' Rules*.

As the operating fund for the TTU System, the SITIF is invested in accordance with the *Investment Policy Statement-SITIF* in order to provide incremental return to assist in meeting the operating needs of the TTU System. The spending rate on LTIF investment earnings is governed by the spending policy detailed in the *Investment Policy Statement-LTIF*. As the LTIF has grown, spending has increased as well. *Table 13.3-6* summarizes assets and returns for both the SITIF and LTIF and annual spending from the LTIF for the past three fiscal years.

Table 13.3-6. TTU System Investment Assets and Returns

Significant Growth Indicators (Unaudited)	FY 2015 ($M)	FY 2016 ($M)	FY 2016 Growth	FY 2017 ($M)	FY 2017 Growth
SITIF Assets ($M)	1,085.50	1,223.60	12.72%	1,303.86	6.56%
SITIF Returns (%)	-1.30%	2.60%	-	3.50%	-
LTIF Assets ($M)	1,045.60	1,028.60	-1.63%	1,138.72	10.71%
LTIF Returns (%)	-0.20%	3.70%	-	10.96%	-
LTIF Spending ($M)	47.4	51.1	7.81%	52.2	2.15%

FINANCIAL GROWTH INDICATORS

TTUHSC's financial resources are managed in a responsible manner, which is further evidenced by the stability and continued growth in total net assets, unrestricted net assets, and total endowments. The institution has not experienced any unusual financial conditions or major changes in operating revenues, expenditures, or unrestricted net assets in recent years. As part of the normal course of operations, TTUHSC's operating revenues and expenses continue to increase, and the annual rate of growth in operating revenues continues to outpace the annual rate of growth in operating expenses. The growth indicators summarized in *Table 13.3-7* reflect TTUHSC's ability to manages its financial resources in a responsible manner and maintain financial stability despite economic downturns or other unforeseen influences.

Table 13.3-7. Significant Financial Growth Indicators

Significant Financial Growth Indicators ($M) - (Unaudited)	Fiscal Year 2015	Fiscal Year 2016	FY 2016 Growth	Fiscal Year 2017	FY 2017 Growth
Operating Revenues	420.9	446.4	6.1%	453.3	1.5%
Operating Expenditures	575.8	636.4	10.5%	642.4	0.9%
Total Assets	771.8	794.6	3.0%	821.1	3.3%
Current Assets	206.0	229.2	11.3%	239.2	4.4%
Current Liabilities	68.7	83.4	21.4%	85.4	2.4%
Net Assets	684.2	691.4	1.1%	714.5	3.3%
Annual Increase in Net Assets	17.3	7.2	-58.4%	23.1	220.8%
Unrestricted Cash	40.4	58.9	45.8%	55.9	-5.1%
Unrestricted Net Assets	308.4	314.9	2.1%	315.5	0.2%
Capital Assets (Net of Depreciation)	221.0	216.7	-1.9%	224.4	3.6%
Investments	340.3	343.1	0.8%	355.2	3.5%
Total Endowments	87.3	83.9	-3.9%	91.6	9.2%

SUMMARY

TTUHSC has a stable financial base and a history of financial responsibility. This is demonstrated by the institution's ability to live within its financial means, which is based on diverse revenue sources and its related growth, effective management of expenditures and debt, and the institution’s ability to be transparent with its financial reporting. This financial stability provides a strong foundation for supporting the institution’s mission and scope of its academic programs and administrative services. Therefore, TTUHSC is compliant with the current standard.

13.4

Control of Finances

The institution exercises appropriate control over all its financial resources.

Judgment

■ Compliance □ Partial Compliance □ Non-Compliance □ Not Applicable

Narrative

As explained in the following narrative, the Texas Tech University Health Sciences Center (TTUHSC) exercises appropriate control over all its financial resources. Financial and operational controls established by the state, the Texas Tech University System (TTUS), and the institution help ensure that the institution is operating in a prudent and responsible manner. In addition, the institution employs qualified staff members who are empowered to provide systems and procedures for adequate checks, balances, and control over assets.

RISK MANAGEMENT

As described in *The Texas Tech University System Regents' Rules*, the board and the principal officers of the TTU System have fiduciary responsibilities in the administration of all funds subject to the control and management of the TTU System (*Section 07.01, Regents' Rules*). The system-wide Office of Audit Services has been established to assist the Board of Regents and other units of the Texas Tech University System in identifying, avoiding, and mitigating risks, including financial and other types of risks (*Section 07.02.1 Regents' Rules*). Other offices that help ensure adequate controls, high standards, and accountability for the institution include the TTU System Office of Risk Management, TTU System Office of the General Counsel, and TTUHSC Office of Institutional Compliance.

Office of Audit Services

The Office of Audit Services (OAS) reports directly to the Board of Regents and functions independently of TTUHSC and the other component institutions in the TTU System. Operating policies governing OAS are defined in *Section 07.02, Regents' Rules*, and in HSC OP 04.01 (Operation of the Office of Audit Services). OAS prepares an Annual Audit Report as required by the Title 10 Texas Government Code, §2102. The Annual Audit Report includes a list of completed audits and other services provided by OAS during the past fiscal year, the proposed audit plan for the upcoming year, organizational charts, a description of the risk assessment process, and documentation of external quality assurance review. OAS standards require the monitoring of whether management's plans of action(s) to address risks identified through the audit process have been effectively implemented. The implementation status of each action plan is reported to the Board of Regents and the TTUHSC Administration at each board meeting. The Annual Audit Report for the year ended August 31, 2017, and the Annual Audit Plan for the year ending August 31, 2018, are attached for reference.

Risk assessment is a major function of OAS and is integral to the annual plan of audits. Directors, deans, vice presidents, and other staff at the component institutions are included in the risk assessment process, which helps ensure effective risk management and appropriate distribution of audit resources. In the risk assessment process, OAS staff use professional judgment to identify and analyze potential risks that threaten the achievement of the institution's mission and objectives. Through the risk assessment process, OAS attempts to identify those risks that may impede the achievement of organizational objectives, areas or functions that pose a high risk to the institution or its assets, operational areas or functions needing review or strengthening of internal controls, and areas or functions needing review to help ensure compliance with policies, law, or applicable regulations. The risk assessment process of OAS is far-reaching across the TTU System, including

TTUHSC, and all other component units or affiliated organizations. Risks identified include business, financial, strategic, operational, clinical, compliance, ethical, and any other identifiable risks that could have an impact on the System.

OAS maintains a list of auditor qualifications for current staff and provides this information to external auditors engaged in audits of TTUHSC. Staff qualifications indicate significant audit experience within the TTU System and with external organizations. The organizational chart for the TTU System Office of Audit Services is attached.

In addition to the internal audits conducted by OAS, TTUHSC is periodically the subject of audits or reviews performed by the State Auditor's Office, the State Comptroller's Office, the Texas Higher Education Coordinating Board, the Legislative Budget Board, other state or federal agencies, or external auditors engaged by those agencies. HSC OP 04.02 (Audits and Reviews by External Auditors) sets forth the procedures for communication among TTUHSC departments and OAS related to audits and reviews by external auditors.

Office of Risk Management

The Office of Risk Management (ORM) partners with the university components to create an environment where faculty, staff and students assume a risk management philosophy. The office works closely with all campuses of each component in the Texas Tech University System to identify and manage our risks. The office fosters a culture of prevention throughout the TTU System, seeking to involve all parts of the organization in moving beyond simply responding to events and taking responsibility for individual opportunities to evoke change.

In addition, the office strives to provide service, support, and safety to every member of the TTU System family and to educate faculty, staff, and students so they can be a part of the risk management process. This engages each department to identify, analyze, and control the risk of human, physical, financial, and/or reputational loss in their specific areas. An example of a Risk Management Questionnaire illustrates how individual departments and/or divisions evaluate potential risks on an annual basis according to the impact, likelihood, preparedness, and velocity.

Finally, the office provides services for workers' compensation, automobile claims, third party claims, contractual review, insurance acquisition, public access defibrillation, drug screening, driver approval, loss prevention, consultative services, and cooperative activities with emergency management and enterprise risk management.

Office of General Counsel

The Office of General Counsel (OGC) is a division of the Texas Tech University System that provides legal services, advice, and representation for the TTU System administration and each of its component institutions. The services provided by the OGC cover a broad spectrum of issues affecting the entire organization and its students and employees. Through a team of attorneys and professionals, the OGC offers the following areas of practice relevant to TTUHSC needs:

- Correctional Managed Health Care
- Employee, Faculty and Medical Resident Grievance Process
- Ethics and Conflict of Interest
- General Litigation
- Graduate Medical Education
- Healthcare Contracting
- Healthcare Regulations and Compliance

- Medical Malpractice Litigation
- Patient Care
- Procurement Contracting
- Public Information Requests and Open Meetings Regulations
- Student Grievance Process
- Regulations and Compliance
- Title IX
- Transactional Contracting
- University Regulations

Office of Institutional Compliance
The TTUHSC Office of Institutional Compliance focuses on regulatory compliance in an effort to eliminate fraud, waste, and abuse in the operations of TTUHSC. The office has primary oversight of the TTUHSC billing compliance program and the privacy provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA). Numerous policies, which are posted on the Compliance Policies website, ensure institutional compliance with all applicable state and federal laws and regulations. Several key policies are provided below.

- HSC OP 52.01, Institutional Compliance Plan
- HSC OP 52.03, Compliance Hotline – Ethics-point
- HSC OP 52.04, Report & TTUHSC Internal Investigation of Alleged Violations, Non-Retaliation
- HSC OP 52.06, Standards of Conduct and Ethics Guide

Compliance Hotline
Personnel in the Office of Audit Services, Office of Risk Management, Office of the General Counsel, and the TTUHSC Office of Institutional Compliance help ensure adequate controls, high standards, and accountability for the institution. In addition, all employees and constituents of the TTU System are encouraged to report concerns regarding unethical conduct and attempt to resolve such concerns through established administrative channels. If an individual is unable to effectively address a concern through established procedures, s/he may call the TTU System's compliance hotline or submit an online report. This hotline allows anonymous reporting and is managed through an independent private contractor.

FINANCIAL MANAGEMENT
To ensure that institutional assets are accurately managed, recorded, and reported, TTUHSC has segregated financial management duties and assigned overlapping responsibilities among several departments. These departments adhere to TTUHSC operating policies and procedures and use online systems of financial management to help ensure that all financial transactions meet relevant state, federal, and private industry guidelines.

TTUHSC's Vice President and Chief Financial Officer (VP/CFO) is the institution's chief fiscal officer and has the responsibility of ensuring that all policies, regulations, and the highest standards of asset management are followed. The VP/CFO, who is located in Lubbock, reports directly to the President of TTUHSC. Refer to the attached resume to review her qualifications. As indicated in the attached organizational chart, the VP/CFO oversees regional campus administration via the Assistant Vice President for Financial Planning and Administration; the Budget Office; and Business Affairs, which includes, but is not limited to, accounting, purchasing, contracting, student business services, and property management. Collectively, these departments ensure adequate checks, balances, and controls over assets, as outlined below.

Business Affairs
The Associate Vice President for Business Affairs reports directly to the VP/CFO and oversees the offices of

Accounting Services, Application Development, Contracting, Finance Systems Management, General Services, Parking Services, Payment Services, Property Management, Purchasing, and Student Business Services. Each of these offices help ensure adequate control over institutional assets.

Accounting Services. Accounting Services provides expertise and services in the areas of general accounting, financial reporting, and grant and contract accounting, as follows:

- The general accounting function includes maintenance of the chart of accounts, oversight and review of accounting transactions and balances, and establishment and review of general accounting policies and procedures.
- The financial reporting function includes the preparation of financial reports for both internal and external users. Internal financial reports include both ad hoc reports on an as-needed basis and routine financial reports such as the quarterly financial report to the Board of Regents. External financial reports include the Annual Financial Report, the LCME Part 1-A Annual Questionnaire on Medical School Financing, the Texas Higher Education Coordinating Board Sources and Uses Report, and many others.
- The grant and contract accounting function includes review of agreement documents to ensure proper establishment of account structures and budgets, review of expenditure activity in conjunction with the preparation of required financial reports, and oversight of fund closure and grant closeout processes.

The following provide examples of formal policies and procedures related to general accounting and/or financial reporting: (1) *HSC OP 50.03, Fund Manager Designation and Responsibilities*; (2) *HSC OP 50.07, Cash Collections*; and (3) *HSC OP 50.38, Budget Adjustments to the Annual Operating Budget*. The following policies and procedures ensure that the sponsored program accounts are managed in accordance with relevant federal, state, and/or private industry guidelines. Examples include: (1) *HSC OP 65.01, Establishing Sponsored Program Funds*; (2) *HSC OP 65.03, Sponsored Program Fund Management*, and (3) *HSC OP 65.09, Subrecipient Monitoring*. Many additional policies and procedures guide the activities in Accounting Services and may be provided upon request.

Application Development. The Application Development team provides computer programming services for the automation of business and financial processes, as well as enhanced financial reporting capabilities. These activities support efficient operations within Business Affairs and for TTUHSC as a whole.

Contracting. The TTUHSC Contracting Office ensures that appropriate contracting approval authority is maintained for all TTUHSC contracts. The office implements procedures for processing contracts and tracks contract data using TTUHSC's online contracting system. See, for example, *HSC OP 54.01, Contracting Authority and Policy*, and *HSC OP 54.02, Contracting Procedures*. The Contracting Office also oversees the training of individuals who perform the contract management function for their departments. In support of such training, Contract Templates and Guidance Documents are available online.

Finance Systems Management. The Finance Systems Management (FSM) team oversees a variety of financial processes. These processes include maintenance of the finance system fund hierarchy and structure, set-up of interdepartmental billing processes, system administration of the Effort Reporting System, providing assurance of the integrity of the accounting system, and establishing financial systems security access. FSM also provides assistance for questions or issues related to

finance processes and systems in a timely and efficient manner, including developing training materials and tutorials for all Business Affairs finance-related applications. FSM also works with TTUS Information Systems programmers and Business Affairs Application Development team to test and implement new finance applications and systems. These activities ensure that those who make financial and other administrative decisions affecting TTUHSC are provided with timely, clear, and accurate information and with necessary financial systems knowledge and skills.

Payment Services. Payment Services provides management and oversight of the payment processes in the areas of accounts payable, direct pay system, travel, and purchasing cards. Examples of related policies and procedures include: (1) *HSC OP 72.09, Expenditure Payments*; (2) *HSC OP 72.03, Direct Pay Expenditures*; (3) *HSC OP 79.02, Travel Approvals and Notifications*; and (4) *HSC OP 72.15, Purchasing Card Program*.

Property Management. The TTUHSC Property Manager accounts for all institutional fixed assets and oversees reporting of those assets to the Comptroller of Public Accounts for the State of Texas. The Property Manager works collaboratively with property custodians in each unit and department to maintain the institution's fixed assets inventory using an online Property Inventory System. This system provides necessary tracking of the physical resources of the institution. See also *HSC OP 63.10, Property Management*.

Purchasing. The Purchasing Department ensures that all TTUHSC purchases for goods and services are in compliance with relevant state and federal statutes, the Regents' Rules, and TTUHSC policies and procedures. Sample policies include: (1) *HSC OP 72.01, Purchasing Supplies, Equipment and Services*; and (2) *HSC OP 72.05, Determination of Employee or Independent Contractor Status*. The Purchasing Department also oversees the training of individuals who perform the purchasing function for their departments. In support of such training, the department has published a Purchasing Manual, which is available online.

As a member of the Purchasing Department, the TTUHSC Historically Underutilized Businesses (HUB) Coordinator oversees institutional efforts to increase the award of contracts for goods, services, and construction contracts to businesses owned by minorities and women in accordance with rules adopted by the Texas Building and Procurement policy. The HUB Coordinator also outlines procedures for using HUBs in the purchase of goods and services. Refer to *HSC OP 72.13, Historically Underutilized Businesses*, which applies to all purchases of goods and services regardless of source of funds used for payment.

Student Business Services. Student Business Services (SBS) is responsible for the billing and collection of student tuition and fees, processing student refunds, and the collection of federal and institutional loan programs. They are also responsible for recording departmental deposits in the financial system. SBS strives to provide quality service to all customers by accurately addressing questions, concerns, and requests as efficiently as possible. They further strive to deliver accurate and timely reporting to students, departments, and external agencies.

Budget Office

The Assistant Vice President for Budget reports directly to the VP/CFO and oversees the TTUHSC Budget Office, which is charged with planning, overseeing, and reporting the institution's budget to ensure proper management of current resources and adequate funding for future operations. The functions of the Budget Office include preparing the biennial Legislative Appropriations Request (LAR); developing and administering the annual operating budget; updating and managing the Texas Tech Budget System for reporting accuracy;

preparing reports as required by various state agencies and TTUHSC administration; analyzing legislation relating to higher education issues; and maintaining all appointment and financial data related to salaried employees. Current and past operating budgets can be accessed both in summary and detail on the TTUHSC Operating Budget website. The FY 2018 Operating Budget Summary is also attached for reference.

MANAGEMENT AND DISTRIBUTION OF ENDOWMENT FUNDS

Fundraising aimed at increasing TTUHSC endowment funds is coordinated internally through the Office of Institutional Advancement under the direction of the TTUHSC President. In addition, the Texas Tech Foundation, Inc., an independent, separately incorporated foundation solicits gifts in support of the TTU System and all of its component institutions. For more information, please see the narrative below that addresses fundraising.

Responsibility for the investment and management of institutional endowment funds resides at the System level and is overseen and governed by the Board of Regents. The Board is responsible for review and approval of asset allocation ranges and targets. The Investment Advisory Committee and the TTU System Office of Investments are charged with the development of policy and selection of investment managers, as detailed in the investment policy cited below. The Investment Advisory Committee is a special committee of the board that is responsible for meeting quarterly with the Chief Investment Officer, investment counsel, investment managers, and appropriate officers and staff for the purpose of reviewing and consulting with these parties and advising the Board of Regents and the board of directors of the Texas Tech Foundation on asset allocation, investment policy, and investment performance. The Office of Treasury is charged with the administration of endowment spending. Both offices report directly to the Chief Financial Officer for the TTU System.

The Regents' Rules establish policies governing the investment of TTU System funds, including the Short/Intermediate Term Investment Fund (Investment Policy Statement – SITIF) and the Long Term Investment Fund (Investment Policy Statement – LTIF). The SITIF is the principal operating fund of the TTU System, and the LTIF is composed of the System's endowment funds, including those of TTUHSC's endowments, and other long-term institutional funds. The LTIF is managed primarily by external investment management organizations in accordance with investment manager guidelines and under the guidance of the Investment Advisory Committee and the Chief Investment Officer in the Office of Investments. Refer to Section 13 of the LTIF Investment Policy Statement. The spending rate on LTIF investment earnings is governed by the spending policy detailed in Section 9 of the LTIF Investment Policy Statement. Annual spending is currently calculated at a target rate of 4.5% of a 12-quarter moving average. This allows for an equitable balance between current spending and future growth. The spending rate is calculated and funds are distributed to the earnings accounts on a quarterly basis.

For more information on the Investment Advisory Committee, the Offices of Treasury and Investments, and a summary of returns, assets, and annual LTIF spending for the past three fiscal years, please see *Standard 13.3 (Financial Responsibility)*.

FUNDRAISING

The President of TTUHSC is charged by the Board of Regents with (1) working actively to ensure that the institution secures sufficient financial resources from public and private sources to achieve its goals and objectives; and (2) engaging in fundraising activities that increase the institution's endowment and address the needs of all the institution's schools and colleges. Refer to Section 02.04.2.l, *Regents' Rules*. For more information about the President's role in fundraising activities at TTUHSC, please see *Standard 5.2.c (Control of Fundraising Activities)*.

The Vice President for External Relations oversees the TTUHSC Department of External Relations and has a dual role as Vice Chancellor for Institutional Advancement, which is governed by Board policies on institutional

advancement (Chapter 06, *Regents' Rules*) and by TTUHSC operating policies and procedures, including *HSC OP 02.08, Operation and Maintenance of Endowment Funds*. The mission of the TTUHSC Office of Institutional Advancement is to understand and communicate the purpose and value of TTUHSC and to identify, cultivate, solicit and steward funding resources in order to provide financial support for (a) the education of healthcare professionals, (b) faculty enhancement, (c) expansion of research opportunities, and (d) capital projects.

In September 2014, for example, this office facilitated the launch of the silent phase of the *Your Life, Our Purpose* fundraising campaign. This is a five-year campaign with the goal of raising $100 million in private funds to support the education, research, and community impact efforts of TTUHSC. This campaign is the first of its kind for the institution and will create endowments for each of the primary components of the TTUHSC mission. The campaign will conclude in the summer of 2019 in conjunction with the institution's 50th anniversary. *Table 13.4-1* provides an overview of fundraising efforts for the past three fiscal years.

Table 13.4-1. TTUHSC Fundraising Efforts

	FY 2015 ($M)	FY 2016 ($M)	FY 2017 ($M)
Gifts	$11.9	$4.6	$7.9
Pledges	$26.1	$3.5	$6.6
Planned	$2.0	$0.1	$7.0
Total	**$40.0**	**$8.2**	**$21.5**

SUMMARY

TTUHSC exercises appropriate control over all its financial resources. Financial and operational controls established by the state, the Texas Tech University System, and the institution help ensure that the institution is operating in a prudent and responsible manner. In addition, the institution employs qualified members who are empowered to provide systems and procedures for adequate checks, balances, and control over assets. Therefore, TTUHSC is in compliance with the current standard.

13.5

Control of Sponsored Research/External Funds

The institution maintains financial control over externally funded or sponsored research and programs.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) maintains financial control over externally funded or sponsored research and programs. The Vice President/Chief Financial Officer and Senior Vice President of Research, who both report directly to the President, share this responsibility in collaboration with employees in related departments. For example, the Senior Vice President for Research oversees the TTUHSC Office of Research, which includes the Office of Sponsored Programs (OSP) and the Research Integrity Office (RIO). The OSP and RIO are responsible for pre-award administration of sponsored research and programs, as described below.

The Office of Sponsored Programs reviews and approves proposals seeking external funding from federal, state, and local agencies and negotiates contractual funding agreements with such entities to ensure compliance with relevant TTUHSC operating policies and procedures. The approval process includes a review of the budget and justification to determine level of effort, cost sharing commitments, appropriate facilities and administrative cost recovery, possible program income, and compliance with funding source requirements. Upon receipt of an award, OSP reviews and approves the budget, authorizes re-budgeting, approves cost sharing commitments and capital expenditures, and manages other issues related to grant administration. Relevant policies include:

- *HSC OP 65.01, Establishing Sponsored Program Funds*
- *HSC OP 65.02, Facilities and Administrative Cost Recovery Plan*
- *HSC OP 65.03, Sponsored Program Fund Management*
- *HSC OP 65.05, Program Income*
- *HSC OP 65.08, Equipment Acquired with Federal Funding*
- *HSC OP 65.11, Cost Sharing on Sponsored Project*
- *HSC OP 73.13, Approval Process for External Funding Requests*

The Director of Clinical Contracting in the Office of Research Integrity reviews and negotiates all industry-sponsored clinical trial agreements and confidentiality agreements to ensure compliance with relevant TTUHSC operating policies and procedures. Budgets for industry-sponsored clinical trial accounts are approved by the the same office. A related policy not already referenced includes *HSC OP 65.10 (Residual Funds Derived from Drug Studies, Clinical Trials, Fixed-Price Contracts, and Investigator-Initiated Research).*
As referenced earlier, *HSC OP 73.13* requires administrative review of faculty research proposals and clinical trial agreements by division heads, department chairs, and the Office of Research on behalf of the Vice President/Chief Financial Officer and the Senior Vice President of Research. Approval signatures on either the Office of Sponsored Programs Route Sheet or the Clinical Contracting Route Sheet for clinical trial agreements certify that the proposed work is consistent with department/school policies and objectives and that it complies with relevant federal, state, and institutional policies.

Reporting to the Vice President/Chief Financial Officer through the Associate Vice President for Business Affairs, the Office of Accounting Services provides post-award sponsored project grant and contract accounting functions in accordance with TTUHSC operating policies and procedures. Related policies not already referenced in this narrative are provided below.

- *HSC OP 50.03, Fund Manager Designation and Responsibilities*
- *HSC OP 50.05, Grant, Award, and Contract Billings*
- *HSC OP 50.18, Cost Transfers*
- *HSC OP 65.04, Allowable Activities and Allowable Costs*
- *HSC OP 65.06, Contracts and Grants Made Directly to Individuals*
- *HSC OP 65.07, Effort Reporting: Certifying Time and Effort on Sponsored Projects*
- *HSC OP 65.09, Subrecipient Monitoring*

The functions of Accounting Services include general oversight of financial transactions for grant and contract funds, review of agreement documents to ensure proper establishment of account structures and budgets, oversight of fund closure/grant closeout processes relating to the financial aspects of the awards, draws for letter-of-credit funds, and review of expenditure activity in conjunction with the preparation of required financial reports and billing as required by sponsors.

External audits of grants and contracts are conducted in accordance with *2 CFR Part 200*. All research and external funds are accounted for in the annual financial report which is included in the State Auditor's Office's statewide single audit report for each year. External audits of contracts issued by the Cancer Prevention and Research Institute of Texas are conducted annually in accordance with requirements set forth by the funding agency. Finally, internal reviews of the post-award process are conducted by the Research Integrity Office to monitor compliance with the cost principles established in *2 CFR 200 Subpart E* and post-award requirements of *2 CFR 200 Subpart D*.

In summary, TTUHSC exercises appropriate control over all its externally funded or sponsored research and programs. Financial and operational controls established by the state, the Texas Tech University System, and institution help ensure that the university is operating in a prudent and responsible manner. Thus, TTUHSC is compliant with the current standard.

13.6

Federal and State Responsibilities

The institution (a) is in compliance with its program responsibilities under Title IV of the most recent Higher Education Act as amended and (b) audits financial aid programs as required by federal and state regulations. In reviewing the institution's compliance with these program responsibilities under Title IV, SACSCOC relies on documentation forwarded to it by the U. S. Department of Education.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) is in compliance with its program responsibilities under Title IV of the most recent Higher Education Act, as amended, and audits financial aid programs as required by federal and state regulations.

OVERVIEW OF FINANCIAL AID

The TTUHSC Office of Financial Aid provides an extensive range of financial services to approximately 69 percent of the student population across all schools and campuses, including students enrolled in distance education programs. It is estimated that the TTUHSC Office of Financial Aid will disburse over $80 million in 2017-2018. This comprises $4 million in grants, $8 million in scholarships, and $68 million in loans. According to the most current default rates published by the U.S. Department of Education (USDOE), TTUHSC's three-year student loan default rate is 1.0% for FY 2014. This rate is comparable to other health-related institutions in Texas and much lower than the national three-year student loan default rate of 11.5% for FY 2014.

TTUHSC participates in audits of its financial aid programs to remain in continued compliance with federal and state regulations. On an annual basis, for example, the Office of Student Financial Aid completes the federally mandated Fiscal Operations Report and Application to Participate (FISAP). The FISAP contains two sections: (1) Application to Participate; and (2) Fiscal Operations Report. To participate in the Federal Perkins Loan and Federal Supplemental Educational Opportunity Grant programs, TTUHSC must file an application each year by the established due date. Federal regulations also state that if an institution spent campus-based program funds in the previous award year or have a Federal Perkins Loan Fund, then it must submit a Fiscal Operations Report. Refer to TTUHSC's current FISAP, which reflects the report for July 1, 2016, through June 30, 2017, and application for July 1, 2018, through June 30, 2019.

The TTUHSC Office of Financial Aid is also subject to financial aid audits conducted by the Texas State Auditor's Office (SAO), U.S. Department of (USDOE), and the Texas Tech University System Office of Audit Services.

TEXAS STATE AUDITOR'S OFFICE

The Texas State Auditor's Office conducts an annual single audit of all federal programs in accordance with Title 2, U.S. Code of Federal Regulations, Part 200, Uniform Guidance, including the U.S. Office of Management and Budget Compliance Supplement. As a public university, TTUHSC's federal student financial aid programs are included in the scope of this annual statewide audit during selected years.

Most recently, TTUHSC's compliance with requirements applicable to the Student Financial Assistance Cluster was audited for the award year July 1, 2015, to June 30, 2016. Results for all Texas agencies and colleges/universities were reported in Report 17-027: State of Texas Federal Portion of the Statewide Single Audit Report for the Fiscal Year Ended August 31, 2016, including TTUHSC-specific results beginning on page

56 of the report. Currently, the State Auditor's Office is reviewing 2017-2018 data to ensure continued compliance based on the previous year's findings.

The audit identified findings in four areas for TTUHSC in the 2015-2016 award year. In the *Eligibility* area, there were errors pertaining to cost of attendance, assignment of Satisfactory Academic Progress, underawarding one eligible student, and awarding one ineligible student. In *Disbursements*, monitoring of some transfer students was performed incorrectly. In *Return of Title IV Funds*, funds were not returned in a timely manner for one student. In *Enrollment Reporting*, some reports were inaccurate or submitted late. The State Auditor's Office also cited the need for TTUHSC to more closely restrict access to its student financial system. There were no questioned costs stemming from any of the findings. All findings were addressed and corrected during the on-site portion of the audit. The Report on State of Texas Compliance provides a frame of reference for TTUHSC's findings in relation to the findings at other Texas institutions of higher education for the same award year.

U.S. DEPARTMENT OF EDUCATION

The State Auditor's Office performs the federal portion of the statewide single audit. The federal portion includes a review of compliance and controls over the State's federal awards and an audit of the Schedule of Expenditures of Federal Awards. The reports from the federal and financial portions are submitted to the federal government to fulfill single audit reporting requirements.

In addition, the U.S. Department of Education's Dallas Case Management Team completed a review in May 2013 of TTUHSC's application to participate in the Title IV programs of the Higher Education Act. The review indicated that TTUHSC meets the requirements of institutional eligibility, administrative capability, and financial responsibility as set forth in CFR Parts 600 and 668. According to the most recent USDOE approval letter, TTUHSC will remain eligible to participate in student federal financial aid programs until March 31, 2019, unless otherwise informed.

The scope of participation is further outlined in the USDOE Program Participation Agreement (PPA) and USDOE Eligibility and Certification Approval Report (ECAR). The PPA specifies the general terms and conditions for institutional eligibility. The ECAR outlines the educational program levels and locations which have been approved for Title IV program funds. Eligibility includes the Federal Pell Grant, Federal Family Education Loan Programs, Federal Direct Loan Programs, Federal Perkins Loan, Federal Supplemental Opportunity Grant, and Federal Work Study. The institution does not participate in the latter.

TEXAS TECH UNIVERSITY SYSTEM OFFICE OF AUDIT SERVICES

In conjunction with the development of its annual audit plan, the Texas Tech University System Office of Audit Services (OAS) conducts an annual risk assessment to consider risks associated with university activities, including student financial aid programs. Refer to the TTU System Risk Management Questionnaire.

SUMMARY

TTUHSC works collaboratively the Texas State Auditor's Office, U.S. Department of Education's Dallas Case Management Team, and the TTU System Office of Audit Services to ensure continued compliance with financial aid requirements. Based on the evidence described above, TTUHSC has determined that the institution is in compliance with its program responsibilities under Title IV of the most recent Higher Education Act, as amended, and audits financial aid programs as required by federal and state regulations.

13.7

Physical Resources

The institution ensures adequate physical facilities and resources, both on and off campus, that appropriately serve the needs of the institution's educational programs, support services, and other mission-related activities.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) ensures adequate physical facilities and resources on its main campus in Lubbock (LBB) in addition to branch campuses in Abilene (ABI), Amarillo (AMA), Dallas (DAL) and Odessa (ODE), and its off-campus instructional sites at Lubbock-Covenant (COV), and in Midland (MDL). Refer to the individual campus maps and the state of Texas campus locations map. TTUHSC also has agreements established with various building owners for the maintenance and operation of leased facilities in Abilene, Amarillo, Dallas, Lubbock, Odessa, and Midland; some leased facilities in Abilene are maintained by TTUHSC. The physical facilities and resources at each campus/instructional site are designed to support the institutional mission of "educating students to become collaborative healthcare professionals, providing excellent patient care, and advancing knowledge through innovative research." *Table 13.7-A* lists each educational program at TTUHSC and the campus/instructional site at which students may earn credits towards the given degree and/or certificate.

Table 13.7-A. Educational Programs by School and Campus/Instructional Site

Program by School	ABI	AMA	DAL	LBB	MDL	ODE	COV	Distance Education	Total Enrollment[a] (Spring '18)
Graduate School of Biomedical Sciences									
Graduate Certificate in Public Health	X			X				X	
Master of Public Health	X			X				X	
Master of Science in Biomedical Sciences				X					
Master of Science in Biotechnology	X			X					
Master of Science in Pharmaceutical Sciences		X							
Doctor of Philosophy in Biomedical Sciences				X					
Doctor of Philosophy in Pharmaceutical Sciences		X							
									208

School of Health Professions									
Post-Baccalaureate Certificate in Clinical Laboratory Science								X	
Bachelor of Science in Clinical Laboratory Science				X					
Bacherlor of Science in Clinical Laboratory Science (Second Degree)								X	
Bachelor of Science in Healthcare Management								X	
Bachelor of Science in Speech, Language, and Hearing Sciences				X					
Bachelor of Science in Speech, Language, and Hearing Sciences (Second Degree)				X					
Master of Athletic Training				X					
Master of Occupational Therapy				X					
Master Of Physician Assistant Studies					X				
Master of Rehabilitation Counseling[b]								X	
Master of Science in Addiction Counseling								X	
Master of Science in Clinical Mental Health Counseling								X	
Master of Science in Clinical Rehabilitation Counseling								X	
Master of Science in Healthcare Administration								X	
Master of Science in Molecular Pathology				X					
Master of Science in Rehabilitation Counseling								X	
Master of Science in Speech-Language Pathology				X					
Doctor of Audiology				X					
Doctor of Philosophy in Communication Sciences and Disorders[b]				X					
Doctor of Philosophy in Rehabilitation Science				X					

Doctor of Philosophy in Rehabilitation Sciences[b]				X					
Doctor of Physical Therapy		X		X		X			
Doctor of Physical Therapy, Transitional								X	
Doctor of Science in Physical Therapy								X	
									1,430
School of Medicine									
Doctor of Medicine		X		X		X	X		
Doctor of Medicine (Family Medicine Accelerated Track)				X					
									733
School of Nursing									
Bachelor of Science in Nursing	X			X		X			
Bachelor of Science in Nursing (Accelerated)								X	
Bachelor of Science in Nursing (RN to BSN)								X	
Post-Baccalaureate Certificates								X	
Master of Science in Nursing								X	
Post-Master's Certificates								X	
Doctor of Nursing Practice								X	
									2,085
School of Pharmacy									
Doctor of Pharmacy	X	X	X	X					
									606
Total Student Enrollment[a] (Spring '18)	**327**	**512**	**140**	**1589**	**111**	**148**	**59**	**2176**	**5,062**

[a]Official headcount enrollment number

[b]Teach-out in progress

FACILITIES

TTUHSC has approximately 2.2 million square feet of physical space at all campuses. Approximately 90 percent of this space is owned by TTUHSC, and the remaining 10 percent is leased from others. Refer to 2018 facilities inventory report on owned and leased buildings. All TTUHSC-owned facilities are insured through FM Global and select TTUHSC-leased facilities are insured as required. Some TTUHSC facilities have been occupied since the 1970s, and others have been constructed within the last few years. Most of the older buildings have had significant renovations or updates since they were originally constructed. TTUHSC spends approximately $6M to $10M of state and local funding, which varies annually, for interior improvements and infrastructure upgrades distributed across all TTUHSC campuses.

Additional information about the physical facilities at each campus/instructional site is provided below. Photographs of key buildings are also provided.

Abilene
Facilities at the Abilene campus consist of a 53,000-square-foot School of Pharmacy Building with classroom space, research labs, and administrative offices; a 40,000-square-foot School of Nursing Building with classroom space, a clinical skills simulation center, and administrative offices; and a 45,000-square-foot Public Health Building with classroom space, additional clinical skills simulation space, and administrative offices. The School of Pharmacy Building and the Public Health Building are owned facilities, and the School of Nursing Building is occupied through a long-term lease agreement with Hendrick Health System.

Amarillo
The Amarillo campus includes eight buildings: the School of Medicine and Health Professions Building, approximately 19,000-square-feet; the School of Pharmacy Building, approximately 107,000- square-feet; the Women's Health and Research Institute, approximately 74,000-square-feet; a facilities operations building, approximately 4,000-square-feet; the Amarillo Research Building, approximately 47,000-square-feet; the School of Pharmacy Academic Center, approximately 26,000-square-feet; a Hazardous Material Storage Building, approximately 250-square-feet; and the new Simulation Center facility that will be utilized by all academic programs, which is 20,593-square-feet.

Dallas
Two facilities are occupied by TTUHSC in the Dallas area: the VA School of Pharmacy, an 8,400-square-foot facility on the North Texas Veterans Affairs campus, and the Southwest School of Pharmacy, a privately owned building across from the University of Texas Southwest Medical Center. TTUHSC currently leases 39,590-square-feet on the fourth, fifth, and seventh floors of this facility, and anticipates purchasing this facility in 2019. Maintenance at the VA School of Pharmacy is provided by North Texas Veteran's Affairs, and maintenance at the Southwest School of Pharmacy is provided by the owner of that building.

Lubbock
The main Lubbock campus is located on 116 acres and includes six buildings—the Texas Tech University Health Sciences Center, approximately 906,000-square-feet; the Preston Smith Library, approximately 117,000-square-feet; the Academic Classroom Building, approximately 64,000-square-feet; the Texas Tech Physicians Medical Pavilion, approximately 150,000-square-feet; the HSC Crematory/Incinerator Building, approximately 1,500-square-feet; and the Center for Cardiovascular Health – Texas Tech Physicians, approximately 16,000-square-feet. In 2017 construction began on three additional facilities as well as an expansion to the existing TTUHSC building at this campus. Collectively, these projects are anticipated to add approximately 200,000-square-feet to the TTUHSC Lubbock campus.

TTUHSC also operates and maintains facilities at two other sites in Lubbock—Texas Tech Medical Center Southwest (TTMCSW) and the Lubbock Larry Combest Community Health & Wellness Center. TTMCSW consists of five buildings, totaling approximately 77,000-square-feet, and the Larry Combest Center consists of one building of approximately 16,000-square-feet. The latter is a Federally Qualified Health Center (FQHC), which is a non-profit primary clinic operated by the TTUHSC School of Nursing in a medically underserved area of Lubbock. In August 2017, TTUHSC purchased an additional 14.5 acres from Texas Tech University for the construction of a VA Medical Center in Lubbock.

Covenant Medical Center. The Covenant Medical Center is part of the regional Covenant Health System and is located near TTUHSC's main campus in Lubbock. TTUHSC School of Medicine students may complete Years 3 and 4 of their studies at the instructional site. TTUHSC leases space in and adjacent to Covenant Medical

Center; maintenance at these locations is provided by Covenant and by other landlords.

Midland

TTUHSC facilities in Midland include the Jenna Welch Women's Center, approximately 36,000-square-feet; the Aaron Medical Science building on the campus of Midland College, approximately 27,000-square-feet; the Secor Clinic Building, approximately 8,000-square-feet; and a leased psychiatry clinic, approximately 5,000-square-feet. TTUHSC maintains the Jenna Welch and Secor facilities; routine maintenance at the Aaron Medical Science facility is provided by Midland College.

Odessa

TTUHSC facilities in Odessa include the Regional Academic Health Center, approximately 68,000-square-feet; the Texas Tech Health Center, approximately 83,000-square-feet; and the Permian Basin (Midland/Odessa) Academic Facility, approximately 51,000-square-feet. The Permian Basin Academic Facility, scheduled to be completed in mid-2018, will house classroom spaces, research labs, administrative offices, and a conference center.

PHYSICAL RESOURCES

TTUHSC maintains adequate physical resources. These include, but are not limited to, items not affixed or attached to the physical facilities. The Associate Vice President for Business Affairs, who reports to the Vice President and Chief Financial Officer of TTUHSC, oversees the Property Management and General Services departments, which share responsibility for managing the institution's personal and real property in accordance with *HSC Operating Policy and Procedure (OP) 63.10, Property Management*. This policy provides guidelines for the acquisition, transfer, recording, and disposal of institutional assets.

Property Management

The TTUHSC Property Manager oversees the Property Inventory department and is responsible for accounting for all institutional property to the Comptroller of Public Accounts for the State of Texas. The Property Manager works collaboratively with property custodians in each unit and department to maintain a database of the institution's fixed assets using an online property inventory system. Using this system, the Property Inventory department maintains an accurate and current listing of all capital and controlled assets at any given time. A variety of data are recorded in the system, including the inventory tag number, a description of the item, model number, manufacturer, serial number, cost, date acquired, department code, location of item, the number of the account from which the item was purchased, and other relevant data in accordance with accounting guidelines. The inventory balance includes equipment, controlled assets, buildings, land, land improvements, facilities and other improvements, construction in progress, art/historical treasures, software, vehicles, and infrastructure. Annual physical inventories are required by the State.

Disposal of Surplus Property

The Director of General Services is responsible for the disposal of surplus property. At each regional campus, the Regional Operations Departments are responsible for accepting and securing surplus property in a warehouse or storage area. The Director of General Services works with the regional personnel to ensure the appropriate transfer or disposal of surplus property, as appropriate.

Vehicle Fleet Management

The Director of General Services also oversees the TTUHSC Office of Vehicle Fleet Management, which administers the institution's vehicle fleet management program. This program defines guidelines and procedures intended to increase vehicle use, improve efficiency, and reduce maintenance and operating costs of the TTUHSC fleet. See *HSC OP 63.03, Vehicle Fleet Management Program.*

Audit and Risk Management
All TTUHSC departments are subject to internal audits by the Office of Audit Services, which is an independent unit in the Texas Tech University System (TTU System) that reports directly to the Board of Regents. The mission of the office is to assist the board and other units of the TTU System and its components in identifying, avoiding, and where necessary, mitigating risks. Each year, the office prepares an audit plan based on the results of a formal risk assessment. More information about the office, annual audits, and risk assessments is provided in *Standard 13.4 (Control of Finances)*.

ADMINISTRATION AND OVERSIGHT OF FACILITIES AND RESOURCES
TTU System Office of Facilities Planning and Construction
The TTU System Office of Facilities Planning and Construction (FP&C), which is directed by the Vice Chancellor for Facilities Planning and Construction, oversees master planning and capital project management for all campuses in the TTU System. The office is responsible for developing and maintaining capital improvement and master plans that are presented to the TTU System Board of Regents for approval. When conducting system-wide planning projects, FP&C personnel work collaboratively with personnel from TTUHSC, Texas Tech University (TTU), Angelo State University, government agencies, community constituents, and appropriate consultants.

FP&C is responsible for managing major construction, repair, and renovation projects with a total projected budget of $2 million or more. For these projects, FP&C selects and engages design professionals to complete construction documents, manages budgets, sponsors outreach to improve participation and opportunities for historically underutilized businesses, inspects construction-related work, and ensures all regulatory requirements are met.

TTUHSC Office of Facilities and Safety Services
The Vice President for Facilities and Safety Services oversees several departments charged with maintaining TTUHSC physical facilities and services. These include Facilities Administration, Facilities Finance, Facilities Operations, Facilities Planning, and Safety Services, as illustrated in the attached organizational chart. Each department is described in more detail below.

Facilities Administration. This area is charged with maintaining, analyzing, and reporting information associated with facilities that are owned, leased, or occupied by TTUHSC. The department maintains current and comprehensive databases that provide details on all TTUHSC space. To comply with state mandates, Facilities Administration submits annual reports about TTUHSC rooms, buildings, and planned or recently completed facility maintenance, renovation, and adaptation projects to the Texas Higher Education Coordinating Board (THECB), and this department also submits the Real Property Inventory to the State of Texas General Land Office (GLO) annually. Facilities Administration works with TTU System FP&C and other departments to complete and submit other facility-related reports for TTUHSC. The department also maintains a centralized archive of all construction documents and other related materials for TTUHSC facilities.

Facilities Finance. With direction from other departmental directors and administrators, Facilities Finance supports the development of departmental budgets, the processing of budget revisions, the tracking of construction project accounts, and the handling of routine invoice processing.

Facilities Operations. Facilities Operations is responsible for normal and routine maintenance of facilities, monitoring facility operations, and scheduling maintenance activities to preserve the useful life of TTUHSC's

capitalized assets. Facilities Operations has maintenance staff at each campus. Services provided by Facilities Operations staff include, but are not limited to, the following:

- Provide around-the-clock monitoring of automated building systems, such as environmental control systems and life safety systems (e.g., fire alarms) for all TTUHSC facilities;
- Manage all facilities-related work orders and work performed by the department's various trades (e.g., electrical, plumbing, key/locksmith, carpentry, painting, and HVAC) that are responsible for facility repairs, routine and preventative maintenance, and small construction;
- When necessary, establish and utilize service contracts with outside vendors to complete specialized work orders and/or to meet departmental and institutional needs;
- Manage routine work orders and requests and provide on-call coverage 24 hours a day to ensure that facilities personnel are available to respond to situations requiring immediate attention;
- Schedule routine, preventive, and predictive maintenance for all major facilities-related equipment, which is based largely on historical data and manufacturers' recommendations; and
- Use condition monitoring and operating measurement assessments(e.g., vibration analysis, ultrasonic analysis, thermal imaging) to avoid unplanned outages of equipment.

The TTUHSC campus in Lubbock is adjacent to the Texas Tech University (TTU) campus, and the TTU Grounds Maintenance Department is able to effectively and efficiently provide grounds services for the TTUHSC campus. Services include landscape and turf management, irrigation, pest control, and road and parking lot maintenance. Grounds Maintenance at the regional campuses is provided either by the Facilities Operations departments at each campus or through landscaping contracts with outside companies. In addition, the TTU Physical Plant operates and maintains the Central Heating and Cooling Plant II (CHACP II) for TTUHSC. CHACP II, located adjacent to the TTUHSC Lubbock campus, provides steam, chilled water, and emergency power to TTUHSC facilities and the associated teaching hospital, which is connected to TTUHSC. The TTU Physical Plant has consistently provided reliable and cost effective utilities services. Heating and cooling systems at other TTUHSC locations are maintained locally by Facilities Operations personnel.

Facilities Operations personnel also support the administration of The Maintenance Authority (TMA), the computerized maintenance management system (CMMS) utilized by TTUHSC. This system is used to track and manage all work orders, including routine, preventative and reactive maintenance activities. TMA facilitates work-order management, preventive maintenance scheduling, inventory control, and labor and resource management. TMA also tracks equipment, such as fire protection systems, for the purpose of documenting compliance with relevant state and federal regulations.

The Environmental Services component of Facilities Operations supports the functions of TTUHSC by providing a clean and safe environment for all patients, students, visitors, faculty, and staff. This department oversees the outsourced housekeeping contracts for facilities at the Abilene, Amarillo, Lubbock, and Permian Basin (Odessa and Midland) campuses/sites. Housekeeping services at other leased facilities are provided by the landlord.

Facilities Planning. This Facilities Planning manages three individual departments: 1. Planning, Design and Construction (PD&C), 2. Engineering Services and 3. Events Planning. PD&C manages minor construction projects, including new construction, repair, and rehabilitation projects with a total projected budget less than $2 million. PD&C is responsible for developing and implementing design guidelines, standards, and criteria; developing programming and preliminary project budgets; selecting and engaging design professionals; developing and completing construction documents; managing and inspecting construction work; and coordinating and supporting capital projects managed by the TTU System FP&C. Furthermore, PD&C coordinates construction services for institutionally managed projects, to include

obtaining competitive proposals, scheduling construction, and managing smaller or time-critical projects.

Engineering Services manages institutional utilities and energy conservation, tracks legislation related to physical facilities, and provides technical guidance on complex facility issues and property support. Engineering Services works with utility providers at each TTUHSC campus and is responsible for providing reliable, cost-efficient utility services to all TTUHSC facilities. The department also promotes the practice of energy conservation, including compliance with legislative mandates as promulgated by designated state agencies. Engineering Services produces quarterly reports on energy consumption for all campuses and submits annual reports to the Governor's Energy Office, including an Energy and Water Management Plan and an Annual Energy Report, which outline institutional energy consumption and describes conservation efforts and projects. Other services include work supporting contracts, providing code review and analysis and assisting with the lease of other buildings and spaces to support departmental needs and campus growth.

Events Planning is responsible for maintaining inventory for event setups and providing direct support for all events held at TTUHSC facilities.

Safety Services. TTUHSC takes steps to ensure that its physical facilities provide a safe, healthy, and secure working environment for all members of the campus community. Related activities are coordinated by the TTUHSC Safety Services department. Safety Services coordinates safety training across TTUHSC; responds to environmental issues; interprets and enforces codes applicable to fire or life safety; ensures research laboratory compliance with institutional policies and federal regulations; plans, executes, and supervises an occupational safety surveillance program; and protects individuals from unnecessary exposure to sources of radiation. To fulfill these responsibilities, Safety Services works with numerous regulatory agencies, such as the State Fire Marshal's Office, Texas Department of State Health Services, and Texas Department for Environmental Quality (TCEQ). Police activities and support are coordinated by the Texas Tech University Police Department in cooperation with TTUHSC leadership and administrative personnel. Refer to *Standard 13.8 (Institutional Environment)* for additional information.

FACILITIES AND RESOURCES MANDATED REPORTING

Texas Higher Education Coordinating Board Reporting

As a state-supported health-related institution (HRI) in Texas, TTUHSC must manage and develop its physical facilities in accordance with the rules and guidelines established by the Texas Higher Education Coordinating Board (THECB). These rules and guidelines are intended to ensure the efficient use of construction funds and the orderly development of physical facilities to accommodate projected academic, student, clinical, and research growth. The THECB provides guidelines for the approximate square footage of instructional space, research space, office space, and support space that a university should occupy based upon student enrollment, the number of full-time employees, research expenditures, and other metrics. These guidelines ensure that TTUHSC facilities are used efficiently and that TTUHSC students are provided with high-quality educational opportunities.

Per *Title 19 Texas Administrative Code, §17.10*, TTUHSC is required to inform and update the THECB prior to initiating property acquisitions and capital improvement projects, including the major construction, repair, or rehabilitation of buildings and facilities, if the cost of those projects exceeds a specific amount. The TTU System FP&C serves as the institution's liaison to the THECB in relation to major construction projects. Annual reports provided to the THECB include the following:

- Campus Condition Index (CCI): The CCI Summary Report, lists all of the state-owned buildings for the institution and identifies facility adaptation, planned maintenance, deferred maintenance, and critical

deferred maintenance items. Qualified TTUHSC personnel identify such items through onsite inspections of the facilities and building systems by qualified TTUHSC personnel.

- Building and Room Inventory Reports: The CBM 011 and CBM 014 reports provide detailed information about all building and rooms in TTUHSC facilities, including square footage, type of space, academic program classification, space function, and whether the building is leased or owned (please note that the CBM 011 and CBM 014 reports are not directly linked in this narrative due to the complicated format of these reports; instead, a description of the reports is linked).

Additional Reporting

Other agencies also require TTUHSC to submit various reports about its facilities. Examples of these reports are:

- As directed by the Office of the Governor, TTUHSC is required to annually submit an Energy and Water Management Plan and an Annual Energy Report, which outline institutional energy consumption and describe conservation efforts and project.
- As directed by the Texas General Land Office (GLO), TTUHSC is required to submit a GLO Real Property Inventory annually that details all owned property.
- The National Science Foundation's Survey of Science and Engineering Research Facilities is a congressionally mandated, biennial survey that collects data on the amount, construction, repair, renovation, and funding of research facilities, as well as the computing and networking capacities at U.S. colleges and universities. Refer to the most recent NSF Research Facilities Survey for more information.

CAMPUS MASTER PLANNING AND FACILITY IMPROVEMENTS

Policies and Procedures

Numerous policies and procedures govern the use of TTUHSC facilities and the minor renovations of such facilities. These policies and related forms are posted online under the Facilities Management subsection of the TTUHSC Operating Policies and Procedures. In addition, policies and procedures governing the construction, renovation, and operation of physical facilities at TTUHSC are defined in the TTU System Section 08, *Regents' Rules*. As described in Section *08.02, Regents' Rules,* campus master plans and accompanying architectural and site design guidelines shall be developed and approved by the Board to guide campus development.

Space Calculations

On an annual basis, the THECB utilizes a five-factor model for TTUHSC and other health-related institutions in Texas to determine the approximate square footage of instructional space, research space, office space, and support space that a university should occupy based upon student enrollment, the number of full time employees, research expenditures, and other metrics. The resulting THECB Space Projection Model summary lists the predicted and actual space for all health-related institutions, including estimated space deficits. The THECB determined that TTUHSC was in a deficit of 223,635 square feet in Fall 2017, which is the most current finalized projection. This projected deficit is relatively low compared to other health-related institutions in Texas as demonstrated in the summary. Furthermore, the ongoing construction and renovation projects described earlier in this response (see Facilities) will reduce this deficit significantly.

Master Planning

Master planning for TTUHSC is integrated into master planning for the Texas Tech University System, which is coordinated by the TTU System FP&C. Refer to the 2014 Master Plan. The TTUHSC Office of Facilities and Safety Services assists FP&C with identifying, coordinating, and prioritizing major facility-related needs for TTUHSC. A five-year list of planned projects is developed annually with broad-based campus participation and

approval by the campus President and TTU System Board of Regents. The plan is submitted to The THECB for final approval and publication. See the current Capital Expenditure Plan (MP1) Summary Report for fiscal years 2015-2019. An overview of these projects is also provided as part of the TTUHSC Capital Projects Plan, which outlines the type of project, estimated square footage, and projected cost for planned projects. The total estimated cost for all planned capital projects is approximately $485 million.

The projects listed on the Capital Projects Plan reflect high priorities across TTUHSC campuses in anticipation of continued enrollment growth, research expansion, and programmatic changes. The top five priorities for TTUHSC for the next five years, 2019-2023, include the following: (1) a real property purchase in Dallas, (2) renovations to support the School of Pharmacy program in Dallas, (3) renewal and repairs to building systems in Dallas, (4) the construction of a clinic building in Amarillo, and (5) the construction of a Facilities and Administration Building in Amarillo. In addition, TTUHSC's new 2020 Strategic Plan makes *Operations*, specifically "a broad facilities plan", a priority.

Campus strategies, processes, and initiatives

Having strategic processes and access to critical facilities information is vital to meeting the expectations of constituents on each campus and maximizing the resources in new construction, renovations, and modernization of the facilities. Infrastructure considerations include traffic, utilities, and information technology systems. This development plan is included in the Capital Projects Plan referenced above. Significant additions and renovations are successfully being implemented at TTUHSC as a result of effective master planning and strategic space planning. For example, TTUHSC is currently expanding the west side of its campus. To see more on the reorganization of space as result of the west end expansion, please see the attached backfill study. Recently completed and ongoing TTUHSC additions and revonations are summarized in Table 13.7-B.

Table 13.7-B. Significant Additions and Renovations

Project Name	Location	Gross Square Feet	Primary Use	Project Cost	Year Completed
Panhandle Plains Clinical Simulation Center	Amarillo	21,000	Academic	$9,750,000	2017
Permian Basin Academic Facility	Odessa	51,000	Academic	$22,300,000	2018 (est)
Lubbock ERT & West Expansion	Lubbock	200,000	Academic	$83,700,000	2019 (est)
Pediatric Specialty Clinic	Amarillo	18,500	Clinical	$12,000,000	2019 (est)
Southwest Campus Simulation Center and Upgrades	Dallas	38,300	Academic	$6,850,000	2019 (est)

TECHNOLOGY

In addition to having adequate physical facilities on each campus, having an appropriate technological infrastructure is also critical to achieving the institution’s mission. The Division of Information Technology is led by the Chief Information Officer and Vice President for Information Technology. This division is organized according to key functions. Refer to the IT organizational chart.

The Technology Services department, for example, provides the institution with services in the areas of server administration, networking, data storage, video-conferencing, and systems management. The Information Services department provides institutional support in web development, instruction, research, legacy systems, integration and data warehousing, as well as personal and institutional computer support. IT Security,

moreover, focuses on maintaining security measures defined by legislation and making security resources and tips easily accessible to users.

To ensure convenient, reliable, and secure access to the institution's data network and associated information, TTUHSC regularly upgrades its network infrastructure and information-management systems to create a unified online campus environment. TTUHSC's network infrastructure consists of a 2 to 10 Gigabit uplink Ethernet Campus LAN environment with core speeds of 10 gigabits (10,000 megabits per second) with a WAN connectivity of one or two Gigabit (1,000 megabits per second) to each regional campus. Data connectivity is provided for students in TTUHSC's labs, classrooms, study areas, student center, and libraries. Faculty, staff, and students have secure wireless access to network resources across all campuses. To ensure that TTUHSC constituents have access to the computer hardware and software they need, the institution has an agreement with Summus/Dell Computers to provide discounted pricing on computer hardware, including laptops, and maintains campus-wide agreements with a number of software vendors to provide commonly used software to all faculty, staff, and students without cost to the individual.

TTUHSC also provides a variety of educational technology tools and services to promote student learning and support traditional and distance education programs, including the following: SAKAI and Canvas, online educational platforms that allow instructors to create virtual classroom environments; TechLink, a video conferencing infrastructure that facilitates communication among campuses; clinical simulation centers, equipped with simulation technology to provide students with risk-free hands-on clinical education; and various other educational technologies that facilitate interactive learning experiences. TTUHSC provides convenient, reliable, and secure access to the institution's data network and associated academic and administrative information in a unified online campus environment. In addition, TTUHSC offers a variety of training opportunities for students, faculty, and staff to facilitate effective and appropriate use of educational technology tools. For more information on technology learning resources and access, please see *Standards 11.1 (Library/Learning Resources)* and *11.3 (Library and Learning/Information Access).*

Finally, IT personnel and facilities personnel support one another in a variety of ways. For example, they work together on projects related to providing engineering and technical assistance; upgrading power quality; cooling equipment in data rooms; maintaining e-power; and installing needed conduits, cabling, and fiber runs. Thus, the Division of Information Technology and the Office of Facilities and Safety Services work collaboratively across all TTUHSC campuses to provide an environment conducive to education, research, and patient care.

ASSESSMENT OF FACILITIES AND TECHNOLOGY

In addition to the department-specific assessment strategies already described, TTUHSC also measures satisfaction with physical facilities and technology-related services through regular institution-wide surveys. For example, the Office of Institutional Effectiveness and Accreditation administers the biennial Student Satisfaction Survey (SSS) to all TTUHSC students across all campuses and modes of delivery. This survey provides opportunities for students to rank their satisfaction with various items related to technology and the physical environment. For most items, students are asked to indicate their satisfaction using a 5-point scale (*1=Very Dissatisfied, 5=Very Satisfied*). For example, in 2017, students expressed a mean satisfaction level > 4 with regard to the cleanliness and safety of campus buildings. Appendix C within the SSS breaks down the same items by TTUHSC campus/instructional site.

SUMMARY

As the preceding narrative indicates, TTUHSC operates, controls, and maintains physical facilities and resources, across several campuses and instructional sites, that appropriately serve the needs of the institution's educational programs, support services, and other mission-related activities. The construction and

maintenance of such facilities is made possible through appropriate planning and assessment processes, an established organizational structure at the TTUHSC and TTU System levels, and accountability to the state of Texas and to the constituents whom the institution serves.

13.8

Institutional Environment

The institution takes reasonable steps to provide a healthy, safe, and secure environment for all members of the campus community.

Judgment

☑ Compliance ❑ Partial Compliance ❑ Non-Compliance ❑ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) takes reasonable steps to provide a safe, healthy, and secure working environment for all members of the campus community. Health and safety activities are coordinated by the TTUHSC Safety Services Department, and security activities are coordinated by the Texas Tech Police Department in cooperation with TTUHSC administrative personnel, as described below. See also, for reference, the TTUHSC Department of Safety Services organizational chart.

HEALTH AND SAFETY

TTUHSC strives to provide a safe, healthy, and secure working environment for all students, faculty, staff, patients, visitors, and volunteers. Health, safety, and security responsibilities are assigned to various departments within the institution, all of which comply with applicable federal, state, and local rules, regulations, policies, procedures, and guidelines. The Department of Safety Services at HSC supports this effort.

Safety policies and procedures are identified in various TTUHSC Operating Policies and Procedures (OP's). *HSC OP 75.01, TTUHSC Safety Programs*, establishes the TTUHSC institutional safety programs. In addition, the TTUHSC Safety Manual, Radiation Safety Manual, Laser Safety Manual, Laboratory Safety Manual, and Regulated Waste Disposal Manual provide guidance and instruction for implementing specific institutional safety programs. Updated versions of the safety manuals are currently under review by the Texas Department of State, Health Services, Radiational Control Program and the Safety Services Radiation Protection Division and are expected to be available on-site.

Other areas of responsibility for the Department of Safety Services include Emergency Preparedness and publication of the Annual Campus Security Policy and Crime Statistics Report (CSR). The Emergency Preparedness division works closely with the Office of the President, as well as other senior administrators on the regional sites, to ensure that all campuses are prepared for emergency events. Publication of the CSR is required by the federal law known as the "Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act" (Clery Act). This report is published annually by 01 October. See, for example, the most current report published in 2017. Clery reportable crime statistics and information related to crime prevention and available victim support resources are provided in this report to meet the requirements of the U.S. Department of Education.

In addition to the Lubbock campus Department of Safety Services, Safety Services offices have been established at the Abilene, Amarillo, Midland, and Odessa regional campuses/sites. Safety Services-Abilene provides safety support for Abilene and Dallas. The regional safety offices are staffed appropriately to effectively support each campus. Regional safety offices are responsible for implementation and maintenance of the various institutional safety programs on the regional sites, under the guidance of the Senior Director, Safety Services.

As outlined in *HSC OP 75.01, TTUHSC Safety Programs* and the *HSC Safety Manual,* Safety Services has the authority to halt or abate unsafe conditions or operations within HSC when, in the professional opinion of the Senior Director or respective Safety Officer(s), the condition or operation constitutes an imminent hazard to life and/or property. Conditions or operations not considered an imminent hazard, but in violation of applicable federal, state, or local rules, regulations, policies, procedures, or institutional policies will be recommended for correction through appropriate administrative channels.

Applicable Safety, Health, and Environmental requirements are managed as part of accreditation/certification maintenance with The Joint Commission, the Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC), and the College of American Pathologists (CAP). Biological, Chemical, Environmental, Fire and Life, Physical, and Radiation safety programs are established and implemented to provide a safe, healthy, and secure work environment. Safety Services is responsible for implementing the overall safety policies at TTUHSC. The department is structured to accomplish its mission and meet its responsibilities through the following divisions:

- Administration;
- Emergency Preparedness;
- Environmental Protection;
- Fire and Life Safety;
- Laboratory Safety;
- Occupational Safety;
- Radiation Protection; and
- Safety Education and Training.

Administrative Division
The Administrative Division provides guidance, direction, and support to the various divisions of the department and regional offices, as well as institutional stakeholders. Administration develops and manages/monitors the departmental budgets, including regional offices, and processes invoices for various services such as biological waste disposal, chemical waste disposal, radiological waste disposal, ethanol purchases and distribution, and others as necessary.

Emergency Preparedness Division
The Emergency Preparedness Division is responsible for the development, implementation, and exercising of emergency preparedness plans for all sites. Services include, but are not limited to the following.

- STAT!Alert Emergency Notification System training for authorized users. This training is provided by the vendor, and is facilitated by Emergency Preparedness. The training provides new users with the access, tools, and skills necessary to effectively send an emergency message in a timely manner. Training also serves as a refresher for seasoned users, as well as providing technical support and updates to the system.
- Conducting exercises and drills specific to the institutional sites to test plans and response to emergent situations. TTUHSC has adopted the National Incident Management System (NIMS) and Incident Command System (ICS), and Emergency Preparedness provides or facilitates NIMS and ICS training.
- Reviewing and updating Emergency Management Plans (EMP) and Emergency Action Guides (EAG) for all Campuses/sites.
    - Emergency Management/Action Plans: Lubbock, Abilene, Amarillo, Dallas, Midland, and Odessa.
    - Emergency Action Guides: Active Shooter, Fire, Tornado

- Maintaining liaison with local Emergency Management agencies (city/county), and the Texas Division of Emergency Management (TDEM).

Emergency Management Guidelines can be found in *HSC OP 76.01, Emergency Management Plan*. The TTUHSC Emergency Management Plan is NIMS compliant and is tested using tabletop and real-time exercises and drills. In addition, the TTUHSC School of Medicine (SOM) maintains a site-specific Clinical Emergency Management plan in coordination with UMC Health Systems (Lubbock). The School of Medicine plan provides support to the hospital in the event of an emergency. The plan can be found in the Ambulatory Clinic Policies and Procedures Manual.

Furthermore, in 2018, TTUHSC began developing Continuity of Operations Plans (COOPs) at the school and department levels for all campuses and sites. It is estimated that almost half of the plans are currently complete. TTUHSC anticipates that all plans will be complete by end of 2018 calendar year.

Environmental Protection Division
The Environmental Protection Division is responsible for the development and implementation of methods necessary to ensure safe and environmentally responsible disposal of chemical or biological hazardous wastes in accordance with applicable federal, state, and local rules, regulations, policies, procedures, and guidelines. The division responds to environmental issues, provides assistance, supervision, and equipment to check, reduce, or remove any hazardous, biological, chemical, or environmental materials or conditions.

Fire and Life Safety Division
The Fire and Life Safety Division is responsible for ensuring that fire and life safety requirements within the institution meet currently acceptable codes and standards. Responsibilities include, but are not limited to the following:

- Conducting ongoing fire prevention activities, including oversight of fire detection, response, and life safety. See, for reference, a Fire Alarm System Upgrade in Lubbock announcement.
- Providing liaison with outside agencies such as the Office of the State Fire Marshal and the underwriter for institutional insurance policies on matters relating to fire and life safety issues, and protection of property.
- Reviewing construction and remodeling plans, and monitoring of construction progress to ensure that fire and life safety requirements are adequately implemented.
- Periodic walk-through inspections of all TTUHSC facilities, at all locations. See sample inspection for Amarillo, Texas.
- Conducting fire drills.
- Responding to alarms and system faults.
- Conducting fire investigations.
- Training and assisting fire response personnel with the facility floor plans.
- Providing fire and life safety and fire extinguisher training.
- Providing special assistance during fire alarms or other emergencies.

Laboratory Safety Division
The Laboratory Safety Division is responsible for implementation of the policies, procedures, and guidelines related to laboratory safety as established by federal, state, and local rules, regulations, policies, procedures, and guidelines and as established by the various TTUHSC Safety Committees. Laboratory Safety works intimately with the TTUHSC Institutional Biohazard Committee (IBC), and the Institutional Animal Care and Use Committee (IACUC). Laboratory Safety responsibilities include, but are not limited to the following:

- Conducting laboratory safety surveys, audits, and inspections.
- Inspecting and testing of laboratory safety equipment such as eye washes, safety showers, and chemical fume hoods. See sample lab inspection for the TTUHSC Lubbock campus.
- Verification, reconciliation, and maintenance of laboratory chemical inventories for the institution.
- Laboratory safety training is developed and presented (electronically or live, as appropriate) by the Laboratory Safety division.
- Managing procurement and distribution of industrial-use alcohol under the institutional Tax-Free Industrial Alcohol Permit granted by the U.S. Department of the Treasury, Alcohol and Tobacco Tax and Trade Bureau (TTB). Under this program, alcohol is distributed for use in research and clinical laboratories at significant cost savings to the institution due to the tax-free status of the permit, which does not require that federal excise tax be paid on the alcohol. The Tax-Free Industrial Alcohol Permit is available in hard copy format on-site in Lubbock.

Occupational Safety Division

The Occupational Safety Division's responsibilities include, but are not limited to the following:

- Incident/injury and hazard investigations and processing for corrective recommendations, including the coordination of these efforts to promote safe working conditions and procedures. Incident reports and hazard reports are monitored, analyzed and statistical data developed to provide indices of safety performance and trends. See, for reference, a redacted incident report.
- Providing ergonomic consultation. See, for reference, an ergonomic consultation example.
- Providing respirator fit-testing as necessary or requested.
- Facilitating Health and Safety Review program for the institution. This program is facilitated through the Unit Safety Officer (USO) program (see below under Safety Education and Training) and allows departments with similar responsibilities and activities to have a safety inspection conducted by another similar department.

Radiation Protection Division

The Radiation Protection Division is responsible for implementing the policies and procedures established by the TTUHSC Radiation Safety Committee and applicable federal, state, and local rules, regulations, policies, procedures, and guidelines for ensuring that radioactive material and machine sources of ionizing and non-ionizing radiation are safely and appropriately used, stored, and disposed. A copy of, or link to the TTUHSC Radiation Safety Manual must be in each laboratory or facility using or producing ionizing radiation, and a copy of the TTUHSC Laser Safety Manual is required to be available in any laboratory or facility using laser equipment.

The Radiation Protection division performs routine monthly and quarterly inspections and audits of institutional radiation facilities. See, for reference, a Laboratory Inspection example. The division is responsible for the proper disposition of all radioactive material wastes, using the most cost-effective methods available. Disposals will meet the applicable requirements of federal, state, local, and institutional rules, regulations, policies, procedures, and guidelines.

Safety Education and Training Division

The Safety Education and Training Division is responsible for the coordination of safety education and training programs as required by the TTUHSC Safety Manual; federal, state, and local rules, regulations policies, procedures, and guidelines; or as necessary to promote reduction of incidents and exposures to TTUHSC faculty, staff, students, patients, visitors, and volunteers. The division is responsible for the development, presentation, and testing of first-level safety education and training through the New Employee Safety Orientation Program (NESOP). Level two (site specific procedures, hazards, and protective measures) training

and level three (demonstrated ability to safely perform job duties) training are the responsibility of immediate supervisors. Level four (refresher) training is conducted by Safety Services in coordination with Unit Safety Officers (USO's) and supervisors. Refresher training is provided in multiple formats (online training, pamphlets, live, etc.) to meet the needs of institutional stakeholders. This division is also responsible for training recordkeeping and documentation for all levels of safety training. In addition to NESOP training for all new employees, the division also provides safety training for new students and volunteers. All incoming students are required to complete the Safety Training and Education Program for Students (STEPS) upon registering as a new student. Volunteers are required to complete the Volunteer Safety Orientation Program (VSOP) upon registering with Volunteer Services as a volunteer. Safety training login instructions are provided online.

Institutional Safety Committees

TTUHSC has established institutional safety committees, each with specific areas of responsibility. Membership to each separate committee is appointed by the President or designee. The term of committee appointment is typically from September 1 to the following August 31 of each year. The following institutional committees are established by *HSC OP 75.02, TTUHSC Safety Committees*:

- Radiation Safety Committee (RSC)
- Institutional Biosafety Committee (IBC)
- Institutional Review Boards (IRB)
- Infection Control Committee (ICC)
- Institutional Animal Care and Use Committee (IACUC)
- Recombinant DNA Biosafety Committee (RDBC)
- Research Compliance Committee (RCC)
- Embryonic Stem Cell Research Oversight Committee (ESCRO)

Safety Services has representation on all of the above committees, with the exception of the Embryonic Stem Cell Research Oversight Committee. In addition, Safety Services has representation on the following additional institutional committees:

- Institutional Compliance Risk Council (ICRC)
- Environment of Care Committee (EOC)
- Performance Improvement Committee (PIC)
- Risk Management Committee (RMC)
- Safe Campus Committee (SCC)
- Campus Carry Committee (CCC)

Radiation Safety Committee (RSC). The RSC formulates policies and procedures for the safe procurement, storage, utilization, and disposal of radioactive material for non-human uses. The TTUHSC Radiation Safety Manual serves as a guidance document for compliance with federal, state, local, and institutional rules, regulations, policies, and procedures concerning the safe handling and use of radioactive material. The primary function of the RSC is to ensure that the principles outlined in the Radiation Safety Manual are followed; to monitor the Radiation Protection Program (RPP); to review licensing of individual research laboratory Principal Investigators; to formulate or revise policies so that radiation protection procedures are ensured; and to take corrective or disciplinary action when appropriate. The Committee supports and encourages the principles of ALARA (as low as reasonably achievable) in all radiation activities.

The RPP evaluates and controls radioactive material by:

- Approving radioactive material orders;
- Receiving and processing incoming radioactive material packages;
- Maintaining the institutional radiation exposure monitoring program;
- Managing the radioactive waste disposal program;
- Conducting radiation protection audits and inspections; and
- Conducting radiation protection training as necessary.

Radiation Protection staff conduct radiation protection surveys, audits, and inspections routinely and on an as-requested basis. Radiation Protection supports the RSC by reviewing licensing applications authorizing laboratory radioactive material use. The staff is also available to assist with laboratory close-outs and clearances, equipment contamination surveys, and to respond to radiological emergencies.

Institutional Biosafety Committee (IBC). The IBC is responsible for the institutional Biological and Chemical Safety Programs, and for the development of protocols designed to ensure that safe work practices are followed when working with biologically or chemically hazardous materials (infectious agents, biohazards, or recombinant DNA). These programs are facilitated through the Laboratory Safety and Environmental Protection divisions of Safety Services. The committee is responsible for the following biological concerns:

- Reviewing research protocols involving microbial agents and recombinant DNA for the IBC;
- Monitoring biological agent and select agent inventories;
- Providing specialized biological safety training programs;
- Conducting laboratory safety inspections;
- Evaluating safety shower and eyewash stations; and
- Surveying laboratory facilities for appropriate safety practices.

And, the following chemical concerns (with the assistance of the Environmental Safety Division of Safety Services):

- Collecting and processing hazardous waste;
- Recycling various materials including solvents, batteries, and oil;
- Providing Material Safety Data Sheets (MSDS's);
- Assisting in laboratory relocation and safety clearances;
- Evaluating chemical inventories; and
- Reviewing research protocols involving hazardous chemicals for the IBC.

The TTUHSC Laboratory Safety Manual is used to ensure laboratory compliance with biological and chemical utilization safety protocols and to ensure that safe work practices are followed when working with biologically or chemically hazardous materials. *HSC OP 73.05, Research Involving Hazardous Chemical and Biological Materials, and Recombinant or Synthetic Nucleic Acid Molecules* addresses IBC responsibilities. Hazardous waste disposal services are facilitated by Safety Services for chemical, biological, and radioactive materials. Employees contact Safety Services to schedule hazardous waste pickups.

Institutional Review Boards (IRB). The IRB reviews all research projects utilizing human subjects or human tissues and/or fluids. IRB approval must be obtained by all investigators before any work involving human subjects can begin. *HSC OP 73.06, Research Involving Human Subjects* addresses IRB responsibilities. TTUHSC has two IRBs, located in Lubbock and Amarillo.

Infection Control Committee (ICC). The ICC monitors and reviews infectious disease reports and potential exposures to personnel. The committee recommends preventive measures and post-exposure surveillance of

affected personnel.

Institutional Animal Care and Use Committee (IACUC). The IACUC is the committee established by the President to perform the review of TTUHSC animal protocols, animal facilities, and utilization of animals in research. Responsibilities of the IACUC include the following:

- Review and make a determination on all proposed activities involving animals prior to the start of the activity;
- Conduct continuing review of previously approved ongoing activities every six months;
- Conduct semi-annual inspections of facilities where animals are being used;
- Review and investigate complaints of noncompliance;
- Report any serious or continuing non-compliance with federal, state, local, or TTUHSC rules, regulations, policies, procedures, or guidelines to the Institutional Official (IO); and
- Report any corrective actions taken in response to noncompliance to the IO.

Additional information regarding the IACUC can be found in *HSC OP 73.03, Animal Care and Use*.

Recombinant DNA Biosafety Committee (RDBC). The RDBC provides institutional oversight of research utilizing recombinant or synthetic DNA. The RDBC reviews protocols of all relevant research utilizing recombinant or synthetic DNA to ensure that the research meets the National Institutes of Health (NIH) Guidelines for Research Involving Recombinant or Synthetic DNA Molecules. The RDBC, in collaboration with Safety Services, will work with investigators and laboratory personnel to assist with assuring the federal, state, local, and institutional policies relating to the utilization of recombinant DNA. *HSC OP 73.05, Research Involving Hazardous Chemical and Biological Materials, and Recombinant or Synthetic Nucleic Acid Molecules* addresses IBC responsibilities.

Research Compliance Committee (RCC). The RCC is composed of the chairs for the various research safety committees within the institution. The committee reviews and discusses research compliance issues, new research rules, regulations, and guidelines to ensure that research activities are conducted within applicable rules, regulations, guidelines, and best practices.

Embryonic Stem Cell Research Oversight Committee (ESCRO). TTUHSC has established an Embryonic Stem Cell Oversight Committee via *HSC OP 73.19, Human Pluripotent Stem Cell Research* that provides local oversight of ethical issues related to deviation and research of these types of cells in experiments expected to yield gametes or with the intent to integrate these cells in the central nervous system of animals. This oversight is completed through review and approval of all proposed uses of human embryonic stem cells prior to their use in research conducted by TTUHSC Principal Investigators. The committee's review will be conducted in accordance with general principles expressed in the National Academies' Guidelines for Human Embryonic Stem Cell Research and the NIH Guidelines on Human Stem Cell Research that became effective July 7, 2009.

Institutional Compliance Risk Council (ICRC). The ICRC is established for the purpose of investigating and reviewing TTUHSC policies, procedures, and issues, and the formulation and implementation of recommendations to improve overall institutional compliance. The ICRC provides guidance and direction on matters of institutional concern falling outside of the scope or responsibilities for the various Safety Committees.

Environment of Care Committee (EOC). The EOC is responsible for ensuring that the institution follows and complies with the requirements of The Joint Commission accreditation. Committee membership includes

individuals from clinical operations, plant operations, environmental services (housekeeping), safety, and security. The committee establishes benchmarks for performance and clinic operations policies. The primary areas of responsibility include:

- Safety Management;
- Security Management;
- Hazardous Materials and Waste Management;
- Emergency Preparedness Management;
- Medical Equipment Management; and
- Utility Systems Management.

See, for reference, the Security Management Plan implemented by the EOC.

Performance Improvement Committee (PIC). The PIC is also responsible for ensuring that the institution follows and complies with the requirements of The Joint Commission accreditation. Committee membership includes individuals from clinical operations, patient services, safety, infection control, and other areas related to clinical operations. The committee establishes benchmarks for performance and clinic operations policies. The primary areas of responsibility include:

- Leadership;
- Emergency Procedures;
- Patient Care;
- Medication Management;
- Management of Information;
- Patient Rights;
- Infection Prevention and Control;
- Performance Improvement;
- Management of Human Resources; and
- Environment of Care.

Risk Management Committee (RMC). The RMC manages the clinical risks through the implementation of risk assessments and development of programs to mitigate risk. Committee membership includes clinical operations, patient services, safety, infection control, and other areas related to clinical operations.

Safe Campus Committee (SCC). The SCC is responsible for ensuring that concerns about personal safety are appropriately addressed in a timely manner. The committee may host campus walks to identify areas of concern on campus and offers information regarding training or other services to better prepare stakeholders to protect themselves. Committee membership includes students, faculty, staff, physical plant, safety, and security.

Campus Carry Committee (CCC). The CCC is responsible for making recommendations to the President regarding the implementation of the Campus Carry legislation. The committee recommends the areas that will be restricted from concealed carrying of a handgun and recommends exceptions or exclusions that may be necessary to accommodate the implementation of the law. Committee membership includes students, faculty, staff, physical plant, safety, and security.

Institutional Unit Safety Officer (USO) Program
The USO program was established as a liaison between departments to Safety Services. The USO's responsibilities include assisting the Department Head in implementing and managing the Safety Program within their respective department. Essential duties of the USO include the following:

- Coordinate accident reporting and investigation procedures, and maintains records of all accidents which involve employees and students within their department.
- Coordinate the safety training of employees and students within their department;
- Maintain necessary or required records;
- Conduct Health and Safety Review in another department with similar work areas.
- Coordinate Departmental Safety Meetings and Hazard Reporting Program.
- Coordinate departmental planning, dissemination, and execution of emergency plans, under the direction of the Department Chair/Director.
- Coordinate other duties as required.

Safety programs are audited and monitored periodically by third-party auditing teams and/or federal, state, or local agencies for accuracy and appropriateness to the situation. These teams may be internal or external auditors.

Regulatory inspections are conducted by various agencies throughout the year. The Texas Commission on Environmental Quality reviews the institutional hazardous waste disposal activities, the Texas Department of State Health Services, Radiation Control Program inspects the radioactive material safety program, and other regulatory or accrediting entities may also visit the institution to re-certify accreditation or licensing of individuals and entities.

PHYSICAL SECURITY
Each campus has access to local police, fire, and emergency medical services (EMS) via 911. For leased facilities, the building owners have security clauses included in the lease agreements with TTUHSC. *HSC OPs Section 76, Security* describes physical security compliance in more detail. For additional details of the security offered at each campus, refer to the brief summaries below.

Abilene
The security department on the Abilene campus is staffed by four security guards, with operational oversight by the Texas Tech Police Department. Security guards are present on the campus typically from 7:00 a.m. to 12:00 a.m. Monday through Friday; 11:30 a.m. – 7:30 p.m. Sunday. They patrol the campus and building at random times during each shift and escort students, faculty, and staff to the parking lot after hours, as requested. Hendrick Medical Center Security Services monitor cameras 24/7, 365 days as well as patrol campus from 12:00 a.m. to 8:00 a.m. Sunday through Saturday. Access is controlled through an electronic access system, and a security system is used to monitor the doors. Additional information regarding security operations in Abilene is provided in the Abilene Emergency Action Plan.

Amarillo
The police and security department on the Amarillo campus is staffed by one police lieutenant and six security guards, with operational oversight by the Texas Tech Police Department. The police presence on campus is typically Monday through Friday from 8:00 a.m. to 5:00 p.m. The security guard presence on campus is typically Monday through Friday from 6:00 a.m. to 11:30 p.m., Saturday from 9:00 a.m. to 5:00 p.m., and Sunday from 2:00 p.m. to 10:00 p.m. (Weekend hours reflect the library's hours of operation.) Police and security guard coverage is not provided on holidays. Access to TTUHSC buildings in Amarillo is controlled

through electronic access systems, and exterior cameras are used to monitor the doors. Additional information regarding security operations in Amarillo is provided in the Amarillo Emergency Management Plan.

Dallas

In Dallas, TTUHSC maintains a facility on the North Texas Veterans Affairs campus and leases space in the Southwest Professional Building near the University of Texas Southwestern Medical Center (UTSW). The VA campus employs security guards and is a first responder for any type of security needs at TTUHSC's facility on the VA campus. Access to the facility is controlled through an electronic access system, and exterior cameras are used to monitor the doors. The Southwest Professional Building has access to the Dallas Police Department, Dallas Fire Department, and emergency medical services via 911. Currently, the Southwest Professional Building employs off-duty Dallas Police Department Officers to provide additional security from 8:00 a.m. to 5:00 p.m. Monday through Friday. Access to the facility is controlled through an electronic access system, and exterior cameras are used to monitor the doors. Additional information regarding security operations in Dallas is provided in the Dallas Emergency Action Plans: Dallas SWSOP EAP, Dallas VASOP EAP.

Lubbock

The Texas Tech Police Department of Texas Tech University (TTU) is responsible for the police and security presence on the HSC campus. A police sergeant and two officers are assigned to provide police presence Monday through Friday from 7:00 a.m. to 7:00 p.m. Police officers also patrol the campus at varying times on the weekends and nights. There are 15 security guards which provide security guard presence in the TTUHSC building 24 hours a day, seven days a week. Emergency response services are dispatched from the Texas Tech Police Department. Access to the TTUHSC building in Lubbock is controlled through an electronic access system with interior and exterior control points. Interior and exterior cameras are used to monitor the building. Additional information regarding security operations in Lubbock is provided in the Lubbock Emergency Management Plan.

Odessa

The police and security department on the Odessa campus is staffed by one police lieutenant and four security guards, with operational oversight by the Texas Tech Police Department. The police presence at the campus is typically Monday through Friday from 9:00 a.m. to 6:00 p.m. The security guard presence at the campus is typically Monday through Friday from 6:00 a.m. to 10:00 p.m., Saturday 8:00 a.m. to 2:00 p.m. and Sunday from 1:00 p.m. to 5:00 p.m. (Weekend hours reflect the library's hours of operation and Saturday Clinic.) Security services are not provided on holidays. Access to Odessa facilities is controlled through an electronic access system. Additional information regarding security operations in Odessa is provided in the Odessa Emergency Action Plan.

Midland

In Midland, TTUHSC maintains facilities on both the Midland College campus and the Midland Memorial Hospital. The Midland College Police Department monitors activity on the campus. The TTUHSC building on Midland Memorial campus has a staffing of two security guards with operational oversight by the Lieutenant at the Odessa campus. Security presence is typically Monday through Friday from 8:00 a.m. to 5:00 p.m. The facility is closed on weekends and holidays and security services are not provided. Additional information regarding security operations in Midland is provided in the Midland Emergency Action Plan: Physicians Assistant Program EAP.

The Texas Tech Police Department makes several reports and statistics available to the TTUHSC community, including prospective students and employees, in accordance with federal law, as detailed in the Notice of the Annual Clery Campus Security Report, which is posted on the TTPD website.

SUMMARY

As evidenced above, the Texas Tech University Health Sciences Center (TTUHSC) takes reasonable steps to provide a safe, healthy, and secure working environment for all members of the campus community. Health and safety activities, safety education and training, and emergency preparedness are coordinated by the TTUHSC Safety Services Department. Safety Services departmental personnel serve on a wide range of safety-related institutional committees, often acting as subject matter experts in support of committee responsibilities. Physical security responsibilities and activities are coordinated by the Texas Tech Police Department in cooperation with TTUHSC administrative personnel, as well as the Safety Services department to provide a safe and secure institutional environment.

14.1

Publication of Accreditation Status

The institution (a) accurately represents its accreditation status and publishes the name, address, and telephone number of SACSCOC in accordance with SACSCOC's requirements and federal policy and (b) ensures all its branch campuses include the name of that institution and make it clear that their accreditation is dependent on the continued accreditation of the parent campus.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Texas Tech University Health Sciences Center (TTUHSC) accurately represents its accreditation status and ensures all branch campuses indicate a clear affiliation with the institution.

PUBLICATION OF SACSCOC INFORMATION

In accordance with Commission requirements and federal policy, TTUHSC publishes the name, address, and telephone number of the Southern Association of Colleges and Schools Commission on Colleges using the following statement:

"The Texas Tech University Health Sciences Center is accredited by the Southern Association of Colleges and Schools Commission on Colleges to award baccalaureate, masters, doctoral, and professional degrees. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4500 for questions about the accreditation of the Texas Tech University Health Sciences Center. The Commission should be contacted only if there is evidence that appears to support the institution's significant non-compliance with a requirement or standard."

By publishing this statement, TTUHSC assists the Commission in protecting the general public from fraudulent practices in higher education and provides an avenue for anyone to inquire about the accreditation status of the institution or file a relevant complaint against the institution. Because of its importance, the required information is published in several resources, including the TTUHSC website, student handbook, and individual school catalogs: (1) Graduate School of Biomedical Sciences, (2) School of Health Professions, (3) School of Medicine, (4) School of Nursing, and (5) School of Pharmacy.

BRANCH CAMPUS AFFILIATION

In addition, TTUHSC ensures all its branch campuses include the name of the institution and make it clear that their accreditation is dependent on the continued accreditation of the institution. Each branch campus website includes the name of the institution at the top of the page with the name of the campus below it. An accreditation statement on each campus page further clarifies the relation of the branch campus to TTUHSC, including an explanation that the continued accreditation of the campus is contingent upon the continued accreditation of TTUHSC. Refer to the following: (1) Abilene, (2) Amarillo, (3) Dallas, and (4) Odessa.

SUMMARY

Based on the preceding narrative and related documentation, TTUHSC is compliant with the requirements of the current standard. The institution accurately represents its accreditation status and ensures all branch campuses indicate a clear affiliation with TTUHSC.

14.2

Substantive Change

The institution has a policy and procedure to ensure that all substantive changes are reported in accordance with SACSCOC policy.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) provides notification in accordance with the Commission's substantive change policy and seeks approval, when required, prior to the initiation of such changes.

INSTITUTIONAL POLICIES

Two institutional policies facilitate compliance with the Commission's substantive change requirements. *HSC OP 60.04, Substantive Change Reporting,* is a comprehensive internal policy which aligns closely with the Commission's policy and addresses all types of substantive change. In accordance with this policy, the TTUHSC SACSCOC Liaison reminds all Vice Presidents and Deans via email of the TTUHSC and SACSCOC substantive change policies on a biannual basis. At this time, s/he also requests notification of potential changes planned within the next 12-month period. Doing so assists in maintaining compliance with the Commission's timeframes for notification and/or approval. The policy is reviewed every two years by the Dean of each school and Executive Vice President for Academic Affairs/SACSCOC Liaison.

HSC OP 60.11, New Degree and Certificate Programs, Implementing Significant Curricular Changes, and Degree and Certificate Program Termination, specifies the procedures for proposing new degree/certificate programs, implementing significant curricular changes, and terminating degree/certificate programs. Some of these changes are considered substantive per Commission guidelines. Others are not. However, adherence to this policy ensures effective communication about proposed changes across the institution and facilitates compliance with requirements by various governing bodies, including the Texas Tech University System Board of Regents, Texas Higher Education Coordinating Board, and SACSCOC. The attached example provides a brief description, five-year business plan, and routing sheet for a proposed degree program offered via distance education. This policy is reviewed every two years by the Dean of each school, Vice President and Chief Financial Officer, and Executive Vice President for Academic Affairs.

All TTUHSC policies, including HSC OP's 60.04 and 60.11, are published on the institution's website for view by internal and external constituents.

DOCUMENTATION OF SUBSTANTIVE CHANGES

TTUHSC has initiated several substantive changes since its reaffirmation by SACSCOC in 2009. Per institutional and Commission policies, the institution provided appropriate notifications and/or sought approval for these changes. *Table 14.2-A* provides a brief description of each substantive change and links to related correspondence from the Commission.

Table 14.2-A. Substantive Changes Since Reaffirmation in 2009

Date	Type of Change	Description	Correspondence
2010	No substantive changes*		
2011			
2012			
09/09/2013	Closing a program where the institution plans to teach out its own students	Discontinued the Education concentration (RN-MSN) of the *Master of Science in Nursing* degree program	SACSCOC Approval
06/03/2014	Expanding at current degree level *(significant departure from current programs)*	Initiated a *Master of Public Health* degree program	SACSCOC Approval
05/26/2015	Initiating dual or joint degrees with other SACSCOC accredited institution(s)	**Dual Degree:** *Doctor of Pharmacy* (TTUHSC) and *Master of Business Administration* (Texas Tech University)	SACSCOC Acceptance of Notification
08/24/2015	Initiating dual or joint degrees with other SACSCOC accredited institution(s)	**Dual Degree:** *M.S. in Biotechnology* (TTUHSC) and *Master of Business Administration* (Texas Tech University)	SACSCOC Acceptance of Notification
08/24/2015	Initiating dual or joint degrees with other SACSCOC accredited institution(s)	**Dual Degree:** *Ph.D. in Biomedical Sciences* (TTUHSC) and *Master of Business Administration* (Texas Tech University)	SACSCOC Acceptance of Notification
03/04/2016	Initiating off-campus instructional sites where students can obtain 25-49% of credits toward a program	Initiated an off-campus site at Covenant Health System in Lubbock, Texas	SACSCOC Acceptance of Notification
02/15/2017	Initiating dual or joint degrees with other SACSCOC accredited institution(s)	**Dual Degree:** *M.S. in Biotechnology* (TTUHSC) and *Juris Doctorate of Law* (Texas Tech University)	SACSCOC Acceptance of Notification
02/20/2017	Altering significantly the length of a program	Changed name of the program and degree from *Master of Rehabilitation Counseling* to *M.S. in Clinical Rehabilitation Counseling* AND increased required credit hours from 48 to 60	SACSCOC Approval

* *TTUHSC notified SACSCOC of various changes in 2010 through 2012, but the Commission did not consider them to be substantive changes.*

SUMMARY

In summary, TTUHSC is compliant with the current standard. As described above, the institution has policies and procedures to ensure that all substantive changes are reported in accordance with SACSCOC policy. These processes enable TTUHSC to provide notification in accordance with the Commission's substantive change policy and seek approval, when required, prior to the initiation of such changes.

14.3

Comprehensive Institutional Reviews

The institution applies all appropriate standards and policies to its distance learning programs, branch campuses, and off-campus instructional sites.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Texas Tech University Health Sciences Center (TTUHSC) applies appropriate standards and policies to its distance education programs, branch campuses, and off-campus instructional sites. As noted in the *Institutional Summary*, TTUHSC was authorized to offer distance education when it obtained separate accreditation from Texas Tech University (TTU) in 2004. At that time, distance education programs were offered through the School of Health Professions and School of Nursing. Today the same schools continue to offer distance education programs, as does the Graduate School of Biomedical Sciences. Refer to *Table 14.3-1* to view a list of distance education programs by school.

Table 14.3-1. Distance Education Programs by School

Degree/Certificate Program
Graduate School of Biomedical Sciences
Graduate Certificate in Public Health (Online)
Master of Public Health (Accelerated, Online)
School of Health Professions
Post-Baccalaureate Certificate in Clinical Laboratory Science
Bachelor of Science in Clinical Laboratory Science (Second Degree)
Bachelor of Science in Healthcare Management
Master of Rehabilitation Counseling
Master of Science in Addiction Counseling
Master of Science in Clinical Mental Health Counseling
Master of Science in Clinical Rehabilitation Counseling
Master of Science in Healthcare Administration
Doctor of Physical Therapy (Transitional)
Doctor of Science in Physical Therapy
School of Nursing
Bachelor of Science in Nursing (Accelerated)
Bachelor of Science in Nursing (RN to BSN)
Graduate Certificates—All Concentrations
Master of Science in Nursing
Doctor of Nursing Practice

In addition to distance education, TTUHSC offers coursework toward its educational programs at two off-campus instructional sites and multiple branch campuses. *Table 14.3-2* provides a list of secondary locations at

which students can earn credits toward certificate and/or degree programs. Please note that all locations, excluding Abilene and Covenant Health System, existed when TTUHSC obtained separate accreditation from TTU in 2004. Abilene and Covenant Health System were approved in 2007 and 2015, respectively.

Table 14.3-2. Off-Campus Instructional Sites and Branch Campuses

Location	Degree/Certificate Program
Off-Campus Instructional Sites	
25-49% of credit hours offered at the site	
Covenant Health System	Doctor of Medicine
50% or more of credit hours offered at the site	
Midland	Master of Physician Assistant Studies
Branch Campuses	
≥ 50% of credit hours offered at the campus	
Abilene	Bachelor of Science in Nursing Graduate Certificate in Public Health Master of Public Health Master of Science in Biotechnology Doctor of Pharmacy
Amarillo	Master of Science in Pharmaceutical Sciences Doctor of Philosophy in Pharmaceutical Sciences Doctor of Medicine Doctor of Pharmacy Doctor of Physical Therapy
Dallas	Doctor of Pharmacy
Odessa	Bachelor of Science in Nursing Doctor of Medicine Doctor of Physical Therapy

To demonstrate TTUHSC's compliance with the current standard, the following narrative will be organized according to Appendix C: Guidelines for Addressing Distance Education and Correspondence Education, Off-Campus Instructional Sites, and Branch Campuses, which is located in the SACSCOC Resource Manual (*2018 edition*).

STANDARDS WITH CLEAR REFERENCE TO DISTANCE EDUCATION OR CAMPUS LOCATIONS

Standard 10.6

The response for *Standard 10.6 (Distance and Correspondence Education)* describes how TTUHSC ensures that a student who registers in a distance education course or program is the same student who participates in and completes the course or program. The narrative also describes the written procedure for protecting the privacy of students enrolled in distance education courses or programs and how they are notified of any additional student charges associated with verification of student identity.

Standard 10.7

In *Standard 10.7 (Policies for Awarding Credit)*, TTUHSC explains how the institution publishes and implements policies for determining the amount and level of credit awarded for its courses, regardless of format or mode

of delivery. In general, the same policies apply to traditional courses, regardless of campus, and to distance education courses. As noted in *HSC OP 60.05, Definition and Calculation of Credit Hours*, courses taught via distance education may meet an alternate standard for contact hours but only if the course has been reviewed and approved through a formal faculty review process to ensure it has equivalent learning outcomes to a comparable course delivered in a traditional format. To facilitate these review processes, each school relies on faculty members who have extensive experience with distance education and/or those with formal education in instructional technology. For example, in the School of Health Professions, the Assistant Dean for Educational Technology and Senior Director of Educational Technology and Student Support Services are members of the two primary leadership groups who make such decisions. These groups include the Executive Committee and Academic Affairs Committee. Refer to the attached SHP Roster of Program and Curriculum Oversight.

Standard 13.7

TTUHSC has adequate physical facilities and resources that serve the needs of the institution's educational programs, support services, and other mission-related activities across all campuses and off-campus instructional sites. *Standard 13.7 (Physical Resources)* provides campus maps, photographs, and descriptions of key buildings in Abilene, Amarillo, Dallas, Lubbock, Midland, and Odessa. The response also references the technological infrastructure needed to support distance education and campus operations at each location.

Standard 14.1

The response for *Standard 14.1 (Publication of Accreditation Status)* provides evidence that TTUHSC represents its accreditation status accurately and ensures that all its branch campuses include the name of the institution and make it clear that their accreditation is dependent on the continued accreditation of the parent campus.

STANDARDS WITH POTENTIAL REFERENCE TO DISTANCE EDUCATION OR CAMPUS LOCATIONS

Mission

As reflected in *Standard 2.1 (Institutional Mission),* TTUHSC's mission is "to enrich the lives of others by educating students to become collaborative health care professionals, providing excellent patient care, and advancing knowledge through innovative research." The mission statement does not refer explicitly to distance education or campus locations. Of the students who graduated June 1, 2017, through May 31, 2018, approximately 53% graduated from a distance education program, and about 40% of students enrolled in traditional programs completed their program requirements at a non-Lubbock location. These numbers do not necessitate direct reference to method of delivery and/or locations in the mission statement. Institutional leaders prefer to focus on the three-part mission of education, patient care, and research as the three fundamental areas of emphasis. The vision statement, on the other hand, describes a broader desire to "promote healthier communities across West Texas and beyond." This statement appropriately supports TTUHSC's diverse program offerings using a variety of instructional methods at multiple locations in Texas.

Degree-granting Authority

In *Standard 3.1.a (Degree-granting Authority)*, the narrative explains that TTUHSC does not offer any certificates or degrees at branch campuses or off-campus instructional sites in other states. However, the institution delivers distance education programs to out-of-state students. Per the response, TTUHSC has the appropriate state authorization to do so through the National Council for State Authorization Reciprocity Agreements, or SARA.

Multi-level Governance
As stated in *Standard 4.3 (Multi-level Governance)*, TTUHSC's branch campuses are controlled and operated by the Board of Regents of the TTU System. Branch campuses do not have their own governing boards.

Faculty
In *Standard 6.2.a (Faculty Qualifications)*, TTUHSC documents the qualifications of its faculty members for courses taught in Fall 2017 and Spring 2018. The faculty rosters for each school reflect all faculty who taught courses during that timeframe, regardless of location or method of instruction. This response also references the policies and procedures governing the recruitment, selection, appointment, and evaluation of TTUHSC faculty members. *SON OP 20.000, Interviewing and Hiring of Faculty*, for example, outlines the steps in the application, interviewing, and hiring processes, including a standardized rubric for evaluating candidates. Online teaching experience is a key criterion on the attached Faculty Candidate Review Forms.

Standard 6.2.c (Program Coordination) describes how TTUHSC assigns appropriate responsibility for program coordination for each of its educational programs. In general, the organizational structure and curricular oversight processes differ for each TTUHSC school based on the nature of the programs offered. The structure and oversight processes in each school remain the same for distance education and programs in other locations. For example, the School of Nursing awards a Bachelor of Science in Nursing degree through three tracks. The traditional degree track is a face-to-face program with opportunities to complete degree requirements on the Abilene, Lubbock, or Odessa campus. The accelerated and RN to BSN tracks, or non-traditional tracks, are offered via distance education. Both the traditional and non-traditional programs have department chairs and program directors to oversee the curricula in those tracks. Refer to the SON Roster of Program and Curriculum Oversight. As illustrated in the SON Organizational Chart, the school has regional deans on the Abilene and Odessa campuses to oversee nursing school activities on those campuses. These individuals report directly to the dean of the School of Nursing, who is based on the Lubbock campus.

Standard 6.3 (Faculty Appointment and Evaluation) summarizes the institution's policies regarding the appointment, employment, and regular evaluation of faculty members, regardless of contract or tenure status. Per the response, these policies and procedures apply to all faculty members, regardless of a program's method of delivery or geographical location.

Standard 6.5 (Faculty Development) addresses the ongoing professional development opportunities for faculty members at TTUHSC. As indicated in some of the examples used in this response, these training opportunities prepare them to teach online courses. For example, the Division of Information Technology offers Sakai training for part-time and full-time faculty members to learn the features of the institution's learning management system. In addition, the faculty development site for the School of Health Professions has nearly one hundred presentations from 2010-present, which are available for viewing by SHP faculty. Sample presentations related to distance education include: (1) Universal Design for Learning: Way Beyond Accessibility, (2) Sakai Demo Site, and (3) Media Hub 2.0: Redesign Sneak Peak.

Institutional Planning
As discussed in *Standard 7.1 (Institutional Planning)*, TTUHSC engaged in a process in Spring 2018 to transition from the 2013-2018 TTUHSC Strategic Plan to the 2020 TTUHSC Strategic Plan. There are no broad goals and/or outcomes regarding growth and development of distance education or campuses. However, in the new

strategic plan, one of the strategic goals is to provide innovative educational programs that prepare students to be competent and caring health care professionals and researchers. See attached. A related objective is to promote innovative approaches in teaching and learning with two specific strategies related to distance education: (1) provide a resource toolkit and annual workshops for faculty who teach online courses, and (2) integrate instructional technologies, including hardware and software, through close consultation with teaching faculty. In alignment with the same strategic goal, TTUHSC also has an objective to provide meaningful interprofessional education experiences. A specific strategy is to coordinate interprofessional education experiences across all TTUHSC schools and campuses to align activities at commonly scheduled times. This will ensure all students, regardless of location, will have the opportunity to learn intentionally and collaboratively with students from other disciplines to become effective members of healthcare teams in the future.

Quality Enhancement Plan

The proposal for TTUHSC's next Quality Enhancement Plan will be submitted in Spring 2019. The broad topic is student wellness, with a specific focus on mental health. This topic has the potential to impact all TTUHSC students, including those enrolled in programs across all campuses and via distance education.

Student Achievement

Standard 8.1 (Student Achievement) describes multiple measures to document student success at the institutional level. For example, tracking on-time graduation rates enables TTUHSC to evaluate the relationship between the number of students who matriculate and those who actually persist toward degree completion within a specified timeframe. Not only does TTUHSC track these rates by school, but it also calculates these rates by degree level, mode of delivery, and campus. For the 2017 Expected Graduation Cohort, or EGC, approximately 91% of traditional students graduated from TTUHSC within the expected timeframe. Approximately 86% of students enrolled in distance education programs graduated on time. Both cohorts exceeded the minimum annual target of 85%. Furthermore, on-time graduation rates by campus for the 2017 EGC ranged from 76% on the Odessa campus to 95% on the Amarillo campus. The minimum annual target is 80%. The target was not met in Odessa. Because the target was exceeded in the previous year, TTUHSC faculty and staff will simply continue to monitor the on-time graduation rate for several cycles to determine if a pattern develops across cohorts on this campus.

Another key indicator of student success at TTUHSC is first-time pass rates on certification/licensure exams. As noted in *Standard 8.1*, there are no programs which have consistently failed to meet the established minimum annual targets. For example, in the School of Nursing, the minimum annual pass rate was 87% on the National Council Licensure Examination for Registered Nurses (NCLEX-RN®). The 2017 pass rate was 97% for the traditional Bachelor of Science in Nursing program and 100% for the accelerated program. The latter is offered via distance education. Both far exceeded the minimum annual pass rate. In addition, the 2017 pass rate for the Master of Physician Assistant Studies program in the School of Health Professions was 100%. This is a program based solely in Midland. This rate exceeded the minimum annual target of 96%.

In *Standard 8.2.a (Student Outcomes: Educational Programs)*, TTUHSC presents detailed information about the institution's process to identify expected outcomes, assess the extent to which those outcomes are achieved, and provide evidence of improvement based on analysis of the results. The response includes links to annual assessment plans for all educational programs for three reporting cycles. Distance education programs are

included in this process. In addition, specific examples are provided of student learning outcomes, assessment methods, and uses of assessment results in the narrative. Some of these examples were selected from distance education programs and are noted appropriately.

Standard 8.2.b (Student Outcomes: General Education) focuses on student learning outcomes for collegiate-level general education competencies for TTUHSC's undergraduate programs. The response includes the assessment of those outcomes and evidence of seeking improvement based on analyses of results. As described in this response, TTUHSC offers only upper division coursework in these programs. Nonetheless, the institution seeks to build upon the existing knowledge of its undergraduate students in order to enhance the following competencies: (1) critical thinking, (2) communication, (3) empirical/quantitative skills, (4) teamwork, (5) personal responsibility, and (6) social responsibility. On an annual basis, faculty members are expected to complete a GenEd Competencies Annual Report for each undergraduate program, including distance education programs. The 2016-2017 annual reports are provided for reference in *Standard 8.2.b*. In addition, several figures illustrate the results by program for ease of comparison.

Based on the results for 2016-2017, three competencies warranted additional consideration for the Bachelor of Science in Healthcare Management and Bachelor of Science in Nursing (RN to BSN track). These programs did not meet the desired targets for critical thinking, written communication, and empirical/quantitative skills, as measured by the ETS-Proficiency Profile exam. Both of these programs are classified as distance education programs, which is indeed important to note. However, the other distance education programs at TTUHSC met the desired targets in the same areas. Thus, there did not appear to be a comprehensive issue related to program delivery. The response for *Standard 8.2.b* provides evidence of how these programs sought improvement based on these results.

Educational Policies, Procedures, and Practices

As stated in *Standard 10.1 (Academic Policies)*, TTUHSC's academic policies are consistent across educational programs, regardless of method of delivery or geographical location. More specifically, *Standard 10.2 (Public Information)* describes how the institution makes available to students and the public current academic calendars, grading policies, cost of attendance, and refund policies. Because this information is posted online, it is readily available to students in traditional programs at all locations and to distance education students.

Cooperative Academic Arrangements

In *Standard 10.9 (Cooperative Academic Arrangements)*, TTUHSC describes how it ensures the quality of all academic programs offered through cooperative arrangements and regularly evaluates these agreements with regard to the institution's mission. TTUHSC has four dual degree programs, all of which are offered in collaboration with Texas Tech University. These include: (1) M.S., Biotechnology/Master of Business Administration; (2) M.S., Biotechnology/Doctor of Jursiprudence; (3) Ph.D., Biomedical Sciences/Master of Business Administration; and (4) Doctor of Pharmacy/Master of Business Administration. None of these TTUHSC programs are offered via distance education, but they are offered across campuses, as indicated in *Table 14.3-2*. The TTUHSC coursework for students enrolled in these dual degree programs is the same as the coursework for students not seeking a dual degree. These students take courses together. Nonetheless, to ensure the quality and integrity of the cooperative arrangements, these agreements are reviewed each odd-numbered year. TTUHSC does not offer any other type of cooperative arrangement where coursework from another institution is transcripted as its own.

Academic Governance
TTUHSC places primary responsibility for the content, quality, and effectiveness of the curriculum with its faculty. This responsibility does not differ by the program's method of delivery or geographical location. Refer to *Standard 10.4 (Academic Governance)* for additional information.

Library and Learning/Information Resources
The institution ensures that TTUHSC students, faculty, and staff have access to appropriate library services and other learning/information resources. *Standard 11.1 (Library and Learning/Information Resources)* describes these services and resources in detail. *Standard 11.2 (Library and Learning/Information Staff)* addresses the adequacy and qualifications of individuals who provide such services at TTUHSC. Finally, *Standard 11.3 (Library and Learning/Information Access)* focuses primarily on the access to and instruction in the use of such services. To summarize some key points from these responses, TTUHSC has three physical library locations (i.e., Amarillo, Lubbock, and Odessa) and an extensive virtual presence to meet the needs of faculty, staff, and students across all campuses and educational programs, including those offered via traditional, face-to-face instruction and distance education.

Academic and Student Support Services
Providing appropriate academic and student support programs, services, and activities is critical to the institution's mission to educate students to become collaborative health care professionals. This includes undergraduate, graduate, and professional students who are enrolled in traditional academic programs across campuses and those enrolled in distance education programs. In some cases, whenever face-to-face interaction is not possible, faculty and staff rely on a variety of communication methods, such as videoconferencing, social media, email, and telephone, in the provision of academic and student support. In other cases, comparable services are available on multiple campuses. Through the Counseling Center, for example, TTUHSC students may seek counseling to address a wide variety of issues. Counselors are trained to provide assistance with family and relationship problems, depression, excessive stress, anxiety, substance abuse, and other issues. In addition to the TTUHSC Counseling Center in Lubbock, students may seek counseling from qualified mental health providers in Abilene, Amarillo, Dallas, and Midland/Odessa, or other communities, as needed, through contracts established by the Director of the Program of Assistance for Students and Office of Student Services. Refer to *Standard 12.1 (Student Support Services)* for more detailed information about available academic and student support programs, services, and activities.

Written Student Complaints
TTUHSC publishes clear and appropriate procedures for addressing written student complaints and demonstrates that it follows these procedures when resolving them. As described in *Standard 12.4 (Student Complaints)*, related policies and procedures are published online in various resources, such as the TTUHSC Student Handbook. The web address for the student handbook is also distributed to students in traditional and distance education programs as a component of their orientation materials. Therefore, all students have access to appropriate information about their rights to file written complaints.

Financial Documents
Standard 13.2 (Financial Documents) explains the annual budget approval process at TTUHSC. Once the formula allocations and other state appropriations are determined by the State of Texas through the General Appropriations Act, TTUHSC evaluates these funding levels and allocates resources across the institution via

the deans of each school and vice presidents of institutional divisions. These individuals distribute budget targets to departments within their reporting structures according to the priorities of their school or division. Thus, regional deans on each campus determine how best to utilize the funds for administrative and program operations for their respective schools.

Physical Resources
See the sub-section for *Standard 13.7* earlier in the narrative.

Institutional Environment
Per *Standard 13.8 (Institutional Environment)*, the institution takes reasonable steps to provide a healthy, safe, and secure environment for all members of the campus community, regardless of location. The TTUHSC Department of Safety Services, in conjunction with the campus safety services offices, ensure compliance with the institution's safety policies through multiple divisions, such as emergency preparedness, fire and life safety, laboratory safety, radiation protection, and safety education and training. The response also describes the physical security offered at each campus through security guard and/or police presence. In addition, each campus has access to local police, fire, and emergency medical services via 911. Finally, emergency action plans are in place for each campus.

SUMMARY
TTUHSC applies appropriate standards and policies to its distance education programs, branch campuses, and off-campus instructional sites. Much detail has been presented throughout the full report, and cross-references to related standards have been provided for reference in the preceding narrative. For these reasons, TTUHSC is in compliance with the current standard.

14.4

Representation to Other Agencies

The institution (a) represents itself accurately to all U.S. Department of Education recognized accrediting agencies with which it holds accreditation and (b) informs those agencies of any change of accreditation status, including the imposition of public sanctions. (See SACSCOC policy "Accrediting Decisions of Other Agencies.")

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

As a health-related institution, Texas Tech University Health Sciences Center (TTUHSC) offers many degree programs that are accredited by specialized accrediting agencies. These include programs in all five schools: (1) Graduate School of Biomedical Sciences, (2) School of Health Professions, (3) School of Medicine, (4) School of Nursing, and (5) School of Pharmacy.

ACCURATE REPRESENTATION

Table 14.4-A identifies all federally recognized agencies that accredit TTUHSC's degree programs. For each accreditor, the table provides the date of the most recent accreditation, anticipated expiration date for the current accreditation period, and excerpts from the most recent report in which the program or school describes itself to the accreditor. Please note that the format and reporting requirements vary widely across program accreditors. Nonetheless, program administrators strive to provide comprehensive and accurate information in a spirit of transparency. A comprehensive list of all TTUHSC accreditors, including those not recognized by the U.S. Department of Education, is also provided for reference. These accreditors are also listed on the TTUHSC website for public view.

Table 14.4-A. Federally Recognized Program Accreditors for TTUHSC

Program(s) by School	Accrediting Body	Last Review	Expiration	Excerpts
GRADUATE SCHOOL OF BIOMEDICAL SCIENCES				
Master of Public Health	Council on Education for Public Health	2018	2023	Introduction
SCHOOL OF HEALTH PROFESSIONS				
Master of Occ. Therapy	Accreditation Council for Occupational Therapy Education	2010	2020-21	Section I
M.S, Speech-Lang. Pathology Doctor of Audiology	American Speech-Language-Hearing Association	2016	2024	General Info./Standard 1.0
Doctor of Physical Therapy	Commission on Accreditation in Physical Therapy Education	2008	2018-19	Executive Summary
SCHOOL OF MEDICINE				
Doctor of Medicine	Liaison Committee on Medical Education	2017	2025	Standard 1
SCHOOL OF NURSING				
School of Nursing*	Commission on Collegiate Nursing Education	2015	2025	Standard I
M.S., Nursing (APRN-Nurse Midwifery)	Accreditation Commission for Midwifery Education	2018	2028	Criterion I
SCHOOL OF PHARMACY				
Doctor of Pharmacy	Accreditation Council for Pharmacy Education	2014	2020	Profile/Inst. Accreditation

* *The Commission on Collegiate Nursing Education (CCNE) accredits the school, not individual programs within the school.*

In addition, each accrediting body lists information about TTUHSC on its directory of accredited programs. Refer to the Screenshots from Accreditor Websites to view those descriptions. Please note that the Master of Public Health was not yet listed on the website for the Council on Education for Public Health. The program was only recently accredited in June 2018. The CEPH letter of accreditation is provided for reference. Furthermore, the Accreditation Commission for Midwifery Education has not yet updated their website to reflect TTUHSC's most recent accreditation. See the related ACME Certificate of Accreditation as supporting documentation.

CHANGE OF ACCREDITATION STATUS

No agencies terminated accreditation, and no negative actions were taken by any of the accrediting bodies listed in *Table 14.4-A* after the most recent reviews. In addition, TTUHSC has not withdrawn accreditation voluntarily from any of these agencies. In the event that a negative action is taken, the Dean of the appropriate school is expected to notify the Executive Vice President for Academic Affairs/Chief Academic Officer of the action. This individual is responsible for notifying the accrediting bodies of any changes in accreditor status. This includes notification to SACSCOC.

SUMMARY

Although the format and reporting requirements vary widely across program accreditors, TTUHSC aims to provide comprehensive and accurate information to its program accreditors during regularly scheduled reviews. Each accreditor also lists general information about TTUHSC and the relevant program's accreditation status on its website. This information is intended to facilitate open and honest communication with the public. For these reasons, TTUHSC is compliant with the requirements of the current standard.

14.5.a

Policy Compliance - System Structure

If an institution is part of a system or corporate structure, a description of the system operation (or corporate structure) is submitted as part of the Compliance Certification for the decennial review. The description should be designed to help members of the peer review committees understand the mission, governance, and operating procedures of the system and the individual institution's role with in that system.

Judgment

☑ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Texas Tech University System (TTU System) was formed in 1996 and formally established by the State of Texas three years later in 1999. Focused on advancing higher education, health care, research, and outreach, the TTU System is headquartered in Lubbock, Texas and provides its four component institutions with the resources needed to meet the global challenges of today.

TTU SYSTEM COMPONENT INSTITUTIONS

The TTU System consists of four component institutions and operates at multiple campuses and academic sites across the state of Texas and the globe.

Texas Tech University: Established in 1923, Texas Tech University (TTU) was a charter member of the TTU System. TTU's main campus is located in Lubbock, Texas and the university is comprised of twelve schools and colleges that offer more than 150 undergraduate degrees, 100 graduate degrees, and 50 doctoral degrees. In Fall 2017, 37,010 students were enrolled at Texas Tech University.

Texas Tech University Health Sciences Center: Established in 1969, Texas Tech University Health Sciences Center (TTUHSC) was a charter member of the TTU System. The institution is comprised of five schools and offers a variety of programs in the health sciences. TTUHSC is headquartered in Lubbock, Texas, with branch campuses in Amarillo, Abilene, Dallas, and Odessa. Off-campus instructional sites are located in Midland and Covenant Health System in Lubbock.

Angelo State University: Established in 1928, Angelo State University (ASU) joined the TTU System in 2007. ASU is located in San Angelo, Texas, and offers 42 undergraduate degrees, 21 master's degrees, and 1 doctoral degree. ASU is comprised of six colleges and offers over 100 majors and concentrations. Current student enrollment at ASU is 10,447.

Texas Tech University Health Sciences Center El Paso: Texas Tech University Health Sciences Center El Paso (TTUHSC El Paso) was established as part of the TTU System in 2013. In June 2018, TTUHSC El Paso was granted separate accreditation from TTUHSC by SACSCOC. TTUHSC El Paso is comprised of three schools and is the only health sciences center along the U.S.-Mexico border that provides the opportunities and environment for direct intellectual and interpersonal exchanges among nursing, medical, and graduate research students on one campus.

GOVERNING BOARD

The Texas Tech University System is governed, controlled, and directed by a ten-member Board of Regents. Board of Regents members are appointed by the governor of Texas with the advice and consent of the senate for staggered terms of six years each, with the terms of three members expiring January 31 of odd-numbered years *(Title 3 Texas Education Codes, §109.002 and §109.003* and Section 01.02.2(a), *Regents' Rules*). A non-voting student regent is also appointed by the governor for a one-year term, from June 1 to May 31 *(Title 3 Texas Education Code, §51.355* and Section 01.02.2.b, *Regents' Rules).* The Board of Regents is guided by the *Rules and Regulations of the Board of Regents of the Texas Tech University System (Regents' Rules)* and upholds the operating policies of each member institution. (See also *Standard 4.3, Multi-level Governance*).

To serve as the legal body with specific authority over the institution, the Texas Legislature has assigned to the Board of Regents the responsibility for the "government, control, and direction of the policies" of all component institutions of the TTU System *(Title 3 Texas Education Code, §109.001-§109.002)*. State law also stipulates that "the governing board of an institution of higher education shall provide the policy direction for each institution of higher education under its management and control" *(Title 3 Texas Education Code, §51.352(b)).* Taken together, these two statutes clearly establish policy-making as one of the board's primary functions. As outlined in the bylaws, the Board of Regents has the authority, for example, to establish the governing policies (Section 1.02.1, *Regents' Rules*), to approve the annual budget of the university (Section 1.02.8.d(3), *Regents' Rules),* and to award contracts for construction and physical improvement projects (Section 1.02.8.d(2)(b), *Regents' Rules).* (See also *Standard 4.1, Governing Board Characteristics*). Chancellor Robert L. Duncan served as the chief executive officer of the TTU System from July 7, 2014 to August 31, 2018. Tedd L. Mitchell was appointed by the Board of Regents as Interim Chancellor, effective September 1, 2018. As a position that is appointed by the Board of Regents, the Chancellor leads TTU System policy and has direct oversight of all operations at the four universities. An Executive Leadership team guides the TTU System in areas including academic affairs, fundraising, and governmental relations, among many more.

Each of the four institutions has a president who is appointed by the chancellor, is the chief executive officer of that university, and is responsible for its strategic operation. (See also *Standard 4.2.b, Board/Administrative Distinction*, and *Standard 5.2.a, CEO Control*).

TTU SYSTEM ADMINISTRATION

The mission of the Texas Tech University System is to provide leadership and support services for Texas Tech University, Texas Tech University Health Sciences Center, Texas Tech University Health Sciences Center El Paso, and Angelo State University in the attainment of each component's individual mission. The TTU System Offices provide leadership and support services for its component institutions in the attainment of each university's individual mission. The TTU System Offices provide central management and coordination of services including:

- **Audit Services**: The Office of Audit Services is an independent department, reporting directly to the Board of Regents. The department has offices at each component institution and assists the Texas Tech University System in identifying, avoiding, and mitigating risks.
- **Office of the Chief Financial Officer:** The Office of the Chief Financial Officer is responsible for the financial health and sustainability of the Texas Tech University System.

- **Communications and Marketing:** The Office of Communications and Marketing manages external relations for the leadership of the Texas Tech University System, provides support to various offices of the Texas Tech University System and offers oversight to the communications and marketing departments at each university.
- **Equal Opportunity:** The Office of Equal Opportunity upholds each institution's anti-discrimination and anti-retaliation policies and ensures that employees and applicants of the Texas Tech University System are treated fairly, equally and respectfully.
- **Facilities Planning and Construction:** Provides support for campus master planning, campus art, project updates, and vendor information for all four component institutions.
- **General Counsel:** The Office of General Counsel is a division of the Texas Tech University System that provides legal services, advice and representation for the TTU System administration and each of its component institutions.
- **Governmental Relations**: The Office of Governmental Relations represents the Texas Tech University System and its component institutions at various levels of government. Acting as a liaison between the TTU System and elected officials, the office is responsible for supporting each university's initiatives and efforts across Texas and the nation.
- **Information Technology**: The TTU System Information Technology Division works with the Texas Tech community to identify and provide solutions needed to service our students, faculty and staff.
- **Institutional Advancement:** The Office of Institutional Advancement serves as the fundraising office for the TTU System by encouraging contributions and raising money for student scholarships, faculty support and cutting-edge research.
- **Risk Management**: The Office of Risk Management partners with the components to create an environment where faculty, staff and students assume a risk management philosophy. The office works closely with all campuses of each component in the Texas Tech University System to identify and manage our risks.
- **Office of Treasury:** The Office of Treasury is responsible for managing the Texas Tech University System's operating cash, debt issuance, investor relations, and tax-exempt post-issuance compliance.

The organizational structure of the TTU System is further illustrated in the TTU System Organizational Chart.

SUMMARY

As one of four component institutions of the TTU System, TTUHSC is governed by the Board of Regents of the TTU System. This legal body has specific authority over the institution, which is established in official documentation. Each component institution of the TTU System operates independently from one another with the Board of Regents maintaining governance and control over each institution.

14.5.b

Separate Accreditation for Units of a Member Institution

If the Commission on Colleges determines that an extended unit is autonomous to the extent that the control over that unit by the parent or its board is significantly impaired, the Commission may direct that the extended unit seek to become a separately accredited institution. A unit which seeks separate accreditation should bear a different name from that of the parent. A unit which is located in a state or country outside the geographic jurisdiction of the Southern Association of Colleges and Schools and which the Commission determines should be separately accredited or the institution requests to be separately accredited, applies for separate accreditation from the regional accrediting association that accredits colleges in that state or country.

Judgment

☐ Compliance ☐ Partial Compliance ☐ Non-Compliance ☑ Not Applicable

Narrative

No response is required by the institution at this time.

Southern Association of Colleges and Schools
Commission on Colleges

INSTITUTIONAL SUMMARY FORM PREPARED FOR COMMISSION REVIEWS

GENERAL INFORMATION

Name of Institution: Texas Tech University Health Sciences Center

Name, Title, Phone number, and email address of Accreditation Liaison

Rial Rolfe
Executive Vice President for Academic Affairs
Office: (806) 743-2905 *Cell:* (806) 787-1306
Email: rial.rolfe@ttuhsc.edu

Name, Title, Phone number, and email address of Technical Support person for the Compliance Certification

Katie Randolph
Sr. Director of Accreditation
Office: (806) 743-2312 *Cell:* (405) 206-9339
Email: katie.randolph@ttuhsc.edu

IMPORTANT:

Accreditation Activity *(check one)*:

☐ Submitted at the time of Reaffirmation Orientation
☒ Submitted with Compliance Certification for Reaffirmation
☐ Submitted with Materials for an On-Site Reaffirmation Review
☐ Submitted with Compliance Certification for Fifth-Year Interim Report
☐ Submitted with Compliance Certification for Initial Candidacy/Accreditation Review
☐ Submitted with Merger/Consolidations/Acquisitions
☐ Submitted with Application for Level Change

Submission date of this completed document: 9/10/18

EDUCATIONAL PROGRAMS

1. Level of offerings (Check all that apply)

- ☐ Diploma or certificate program(s) requiring less than one year beyond Grade 12
- ☐ Diploma or certificate program(s) of at least two but fewer than four years of work beyond Grade 12
- ☐ Associate degree program(s) requiring a minimum of 60 semester hours or the equivalent designed for transfer to a baccalaureate institution
- ☐ Associate degree program(s) requiring a minimum of 60 semester hours or the equivalent not designed for transfer
- ☒ Four or five-year baccalaureate degree program(s) requiring a minimum of 120 semester hours or the equivalent
- ☒ Professional degree program(s)
- ☒ Master's degree program(s)
- ☒ Work beyond the master's level but not at the doctoral level (such as Specialist in Education)
- ☒ Doctoral degree program(s)
- ☒ Other (Specify) Post-baccalaureate and post-master's certificates

2. Types of Undergraduate Programs (Check all that apply)

- ☐ Occupational certificate or diploma program(s)
- ☐ Occupational degree program(s)
- ☐ Two-year programs designed for transfer to a baccalaureate institution
- ☐ Liberal Arts and General
- ☐ Teacher Preparatory
- ☒ Professional
- ☐ Other (Specify) _____

GOVERNANCE CONTROL

Check the appropriate governance control for the institution:

☐ Private *(check one)*

☐ Independent, not-for-profit

Name of corporation OR
Name of religious affiliation and control: _____

☐ Independent, for-profit *

If publicly traded, name of parent company: _____

☒ Public state * *(check one)*

- ☐ Not part of a state system, institution has own independent board
- ☒ Part of a state system, system board serves as governing board
- ☐ Part of a state system, system board is super governing board, local governing board has delegated authority
- ☐ Part of a state system, institution has own independent board

* ***If an institution is part of a state system or a corporate structure, a description of the system operation must be submitted as part of the Compliance Certification for the decennial review. See Commission policy "Reaffirmation of Accreditation and Subsequent Reports" for additional direction.***

INSTITUTIONAL INFORMATION FOR REVIEWERS

Directions:

Please address the following and attach the information to this form.

1. History and Characteristics

Provide a brief history of the institution, a description of its current mission, an indication of its geographic service area, and a description of the composition of the student population. Include a description of any unusual or distinctive features of the institution and a description of the admissions policies (open, selective, etc.). If appropriate, indicate those institutions that are considered peers. Please limit this section to one-half page.

2. List of Degrees

List all degrees currently offered (A. S., B.A., B.S., M.A., Ph.D., for examples) and the majors or concentrations within those degrees, as well as all certificates and diplomas. For each credential offered, indicate the number of graduates in the academic year previous to submitting this report. Indicate term dates.

Does the institution offer any credit, non-credit, or pathways English as a Second Language (ESL) programs? If yes, list the programs.

3. Off-Campus Instructional Locations and Branch Campuses

List ***all approved off-campus instructional locations*** where 25% or more credit hours toward a degree, diploma, or certificate can be obtained primarily through traditional classroom instruction. Report those locations in accord with the Commission's definitions and the directions as specified below.

Table 1: Off-campus instructional sites—a site located geographically apart from the main campus at which the institution offers ***50 % or more*** of its credit hours for a diploma, certificate, or degree. This includes high schools where courses are offered as part of dual enrollment. For each site, provide the information below***. The list should include only those sites reported to and approved by SACSCOC***. Listing unapproved sites below does not constitute reporting them to SACSCOC. In such cases when an institution has initiated an off-campus instructional site as described above without prior approval by SACSCOC, a prospectus for approval should be submitted immediately to SACSCOC.

Name of Site	**Physical Address (street, city, state, country) Do not include PO Boxes.**	**Date of SACSCOC *approval letter***	**Date Implemented by the institution**	**Educational programs offered (specific degrees, certificates, diplomas) with 50% or more credits hours offered at each site**	**Is the site currently active? (At any time during the past 5 years, have students been enrolled and courses offered? If not, indicate the date of most recent activity.)**

Table 2: Off-campus instructional sites at which the institution offers ***25-49%*** of its credit hours for a diploma, certificate, or degree—including high schools where courses are offered as dual enrollment. ***Note: institutions are required to notify SACSCOC in advance of initiating coursework at the site.*** For each site, provide the information below.

Name of Site (Indicate if site is currently active or inactive. If inactive, date of last course offerings and date of projected reopening	**Physical Address (street, city, state, country) Do not include PO Boxes.**	**Date of SACSCOC *letter accepting notification***	**Date Implemented *by the institution***	**Educational programs offered (specific degrees, certificates, diplomas) with 25-49% credit hours offered at each site**	**Is the site currently active? (At any time during the past 5 years, have students been enrolled and courses offered? If not, indicate the date of most recent activity.)**

Table 3: Branch campus—an instructional site located geographically apart and independent of the main campus of the institution. A location is independent of the main campus if the location is (1) permanent in nature, (2) offers courses in educational programs leading to a degree, certificate, or other recognized educational credential, (3) has its own faculty and administrative or supervisory organization, ***and*** (4) has its own budgetary and hiring authority. ***The list should include only those branch campuses reported to and approved by SACSCOC.*** Listing unapproved branch campuses below does not constitute reporting them to SACSCOC. A prospectus for an unapproved branch campuses should be submitted immediately to SACSCOC.

Name of Branch Campus	**Physical Address (street, city, state, country) Do not include PO Boxes.**	**Date of SACSCOC *approval letter***	**Date Implemented *by the institution***	**Educational programs (specific degrees, certificates, diplomas) with 50% or more credits hours offered at the branch campus**	**Is the campus currently active? (At any time during the past 5 years, have students been enrolled and courses offered? If not, indicate the date of most recent activity.)**

4. Distance and Correspondence Education

Provide an initial date of approval for your institution to offer distance education. Provide a list of credit-bearing educational programs (degrees, certificates, and diplomas) where 50% or more of the credit hours are delivered through distance education modes. For each educational program, indicate whether the program is delivered using synchronous or asynchronous technology, or both. For each educational program that uses distance education technology to deliver the program at a specific site (e.g., a synchronous program using interactive videoconferencing), indicate the program offered at each location where students receive the transmitted program. Please limit this description to one page, if possible.

5. Accreditation

(1) List all agencies that currently accredit the institution and any of its programs and indicate the date of the last review by each.

(2) If SACS Commission on Colleges is not your primary accreditor for access to USDOE Title IV funding, identify which accrediting agency serves that purpose.

(3) List any USDOE recognized agency (national and programmatic) that has terminated the institution's accreditation (include the date, reason, and copy of the letter of termination) or list any agency from which the institution has voluntarily withdrawn (include copy of letter to agency from institution).

(4) Describe any sanctions applied or negative actions taken by any USDOE-recognized accrediting agency (national, programmatic, SACSCOC) during the two years previous to the submission of this report. Include a copy of the letter from the USDOE to the institution.

6. Relationship to the U.S. Department of Education

Indicate any limitations, suspensions, or termination by the U.S. Department of Education in regard to student financial aid or other financial aid programs during the previous three years. Report if on reimbursement or any other exceptional status in regard to federal or state financial aid.

Document History

Adopted: September 2004
Revised: March 2011
Revised: January 2014
Revised: January 2018

Institutional Information for Reviewers

Texas Tech University Health Sciences Center

(1) HISTORY AND CHARACTERISTICS

With a growing shortage of physicians in West Texas, the 61st state legislature authorized the Texas Tech University School of Medicine in 1969. The school charter was expanded a decade later to the Texas Tech University Health Sciences Center (TTUHSC), and the institution began preparing future healthcare professionals in multiple disciplines. As of September 10, 2018, TTUHSC offers undergraduate, graduate, and professional academic programs in five schools: (1) Graduate School of Biomedical Sciences, (2) School of Health Professions, (3) School of Medicine, (4) School of Nursing, and (5) School of Pharmacy.

Lubbock, Texas, serves as the administrative base for TTUHSC. The institution has branch campuses in Amarillo, Abilene, Dallas, and Odessa. Off-campus instructional sites are located in Midland and at Covenant Health System in Lubbock. In previous accreditation reports, TTUHSC reported a branch campus in El Paso. However, Texas Tech University Health Sciences Center El Paso was granted independent accreditation through the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) in June 2018.

As a comprehensive health sciences center, TTUHSC's mission is to enrich the lives of others by educating students to become collaborative health care professionals, providing excellent patient care, and advancing knowledge through innovative research. In Fall 2017, TTUHSC enrolled a total of 4,788 students. Because a large percentage of TTUHSC programs are at the graduate and professional levels, the institution has selective admissions standards for many programs. On average, more than 70 percent of all students are females, and about 50 percent are classified as non-White. Finally, of the degrees awarded by TTUHSC from June 1, 2017, through May 31, 2018, more than half were awarded to students enrolled in distance education programs.

With regard to peer institutions, health sciences centers vary greatly in program offerings. Therefore, TTUHSC faculty often identify peers at the academic program level. For the institution as a whole, the most salient peer group includes other health-related institutions in Texas, such as the University of North Texas HSC, University of Texas HSC—Houston, University of Texas HSC—San Antonio, and University of Texas Medical Branch—Galveston. Out-of-state peers may include Louisiana State University Health Sciences Center—New Orleans and University of Oklahoma Health Sciences Center.

(2) LIST OF DEGREES

The following table lists all degrees and certificates currently offered at TTUHSC, including concentrations within those programs. Tracks leading to the same degree are indicated in parentheses. For each credential offered, the number of graduates is provided for the following period: June 1, 2017, through May 31, 2018. Please note that TTUHSC does not offer any credit, non-credit, or pathways for English as a Second Language (ESL) programs.

Table IS-1. Graduates by Degree/Certificate Program (June 1, 2017 – May 31, 2018)

Certificate/Degree Program by School	No. of Graduates
Graduate School of Biomedical Sciences	**59**
Graduate Certificate in Public Health (Traditional, Online[a])	2
Master of Public Health (Traditional, Accelerated[a], Online[a])	28
Master of Science in Biomedical Sciences	**10**
• Concentration: Biochemistry, Cellular, and Molecular Biology	0
• Concentration: Graduate Medical Sciences	9
• Concentration: Immunology and Infectious Diseases	0
• Concentration: Molecular Biophysics	0
• Concentration: Translational Neuroscience and Pharmacology	1
Master of Science in Biotechnology[c]	6
Master of Science in Pharmaceutical Sciences	0
Doctor of Philosophy in Biomedical Sciences[c]	**9**
• Concentration: Biochemistry, Cellular, and Molecular Biology	1
• Concentration: Immunology and Infectious Diseases	2
• Concentration: Molecular Biophysics	3
• Concentration: Translational Neuroscience and Pharmacology	3
Doctor of Philosophy in Pharmaceutical Sciences	4
School of Health Professions	**546**
Post-Baccalaureate Certificate in Clinical Laboratory Science[a]	17
Bachelor of Science in Clinical Laboratory Science (Traditional, Second Degree[a])	41
Bachelor of Science in Healthcare Management[a]	39
Bachelor of Science in Speech, Language and Hearing Sciences (Traditional, Second Degree)	70
Master of Athletic Training	21
Master of Occupational Therapy	49
Master of Physician Assistant Studies	50
Master of Rehabilitation Counseling[a,b]	13
Master of Science in Addiction Counseling[a]	0
Master of Science in Clinical Mental Health Counseling[a]	0
Master of Science in Clinical Rehabilitation Counseling[a]	9
Master of Science in Healthcare Administration[a]	53
Master of Science in Molecular Pathology	33
Master of Science in Speech-Language Pathology	37
Doctor of Audiology	12

Table IS-1. Graduates by Degree/Certificate Program (June 1, 2017 – May 31, 2018)

Certificate/Degree Program by School	No. of Graduates
Doctor of Philosophy in Communication Sciences and Disorders[b]	1
Doctor of Philosophy in Rehabilitation Science	0
Doctor of Philosophy in Rehabilitation Sciences[b]	2
Doctor of Physical Therapy (Traditional, Transitional[a])	87
Doctor of Science in Physical Therapy[a]	12
School of Medicine	**174**
Doctor of Medicine (Traditional, Family Medicine Accelerated Track)	174
School of Nursing	**1,259**
Bachelor of Science in Nursing (Traditional, Accelerated[a], RN to BSN[a])	1,006
Post-Baccalaureate Certificates[a] • Rural Community Health • Global Health	**2** 1 1
Master of Science in Nursing[a] • Concentration: Advanced Practice Registered Nurse (*Adult Gerontology Acute Care NP, Family NP, Pediatric Acute Care NP, Pediatric Primary Care NP, Nurse Midwifery, Psychiatric Mental Health NP*) • Concentration: Leadership (*Administration, Education, Informatics*)	**193** 137 56
Post-Master's Certificates[a] • Pediatric Acute Care Nurse Practitioner • Adult Gerontology Acute Care Nurse Practitioner • Family Nurse Practitioner • Nurse Midwifery • Pediatric Primary Care Nurse Practitioner • Psychiatric Mental Health Nurse Practitioner • Nursing Education • Nursing Informatics	**33** 6 11 10 2 4 0 0 0
Doctor of Nursing Practice[a] • Concentration: Advanced Practice Nursing • Concentration: Executive Leadership • Concentration: BSN to DNP-Family Nurse Practitioner • Concentration: BSN to DNP-Psychiatric Mental Health Nurse Practitioner	**25** 9 16 0 0
School of Pharmacy	**136**
Doctor of Pharmacy[d]	136
TTUHSC	**2,174**

[a] *50 percent or more of credit hours are delivered via distance education.*

[b] Teach-out in progress

[c] Includes MS/MBA, MS/JD, PhD/MBA dual degree programs per SACSCOC definition

[d] *Includes PharmD/MBA dual degree program per SACSCOC definition*

(3) OFF-CAMPUS INSTRUCTIONAL LOCATIONS AND BRANCH CAMPUSES

TTUHSC offers coursework toward its certificate and degree programs through traditional instruction and/or via distance education. Traditional instruction is provided at the main campus in Lubbock, two off-campus instructional sites, and multiple branch campuses.

Off-Campus Instructional Sites for Traditional Programs

TTUHSC has one off-campus instructional site at which 50% or more of credit hours can be obtained through traditional instruction. See *Table IS-2*. TTUHSC also has one off-campus instructional site at which 25-49% credit hours can be obtained through traditional instruction. Refer to *Table IS-3* for additional information.

Table IS-2. TTUHSC Off-Campus Instructional Sites (50% or more)

Name	Physical Address	Date Approved by SACSCOC	Date Implemented by TTUHSC	Program(s)	Status
Off-Campus Instructional Site					
50% or more of credit hours offered at the site					
Midland	3600 N. Garfield Midland, TX 79705	1/2004[a]	Summer 1999	Master of Physician Assistant Studies	Active

[a] *The site was included in the initial application for separate accreditation from TTU in August 2003, which was subsequently granted by SACSCOC on January 1, 2004.*

Table IS-3. TTUHSC Off-Campus Instructional Sites (25-49%)

Name	Physical Address	Date of Notification to SACSCOC	Date Implemented by TTUHSC	Program(s)	Status
Off-Campus Instructional Site					
25-49% of credit hours offered at the site					
Covenant Health System	3519 22nd Pl., Suite B Lubbock, TX 79410	11/2015	Fall 2016	Doctor of Medicine	Active

Branch Campuses for Traditional Programs

TTUHSC provides traditional instruction for some degree programs at multiple branch campuses. These are instructional sites located geographically apart and independent from the main campus. TTUHSC has classified these sites as branch campuses because they meet the following criteria to varying degrees: (1) permanent in nature; (2) offer courses in educational programs that lead to a degree, (3) have their own faculty and administrative/supervisory organization, and (4) have their own budgetary and hiring authority. The programs listed in *Table IS-4* are those for which 50% or more credits toward the degree are offered at the branch campus.

Table IS-4. TTUHSC Branch Campuses for Traditional Programs

Name	Physical Address	Date Approved by SACSCOC	Date Implemented by TTUHSC	Program(s)	Status
Branch Campuses					
≥ 50% of credit hours offered at the campus					
Abilene	1718 Pine St. Abilene, TX 79601	9/2007	Fall 2007	BS, Nursing Grad. Cert. in Public Health Master of Public Health MS, Biotechnology Doctor of Pharmacy	Active
Amarillo	1400 S. Coulter St. Amarillo, TX 79106	1/2004[a]	Fall 1972	MS, Pharm. Sciences PhD, Pharm. Sciences Doctor of Medicine Doctor of Pharmacy Doctor of Physical Therapy	Active
Dallas	5920 Forest Park Rd. Suite 500 Dallas, TX 75235	1/2004[a]	Fall 1999	Doctor of Pharmacy	Active
Odessa	800 W. 4th St. Odessa, TX 79763	1/2004[a]	Fall 1994	BS, Nursing Doctor of Medicine Doctor of Physical Therapy	Active

[a] *The site was included in the initial application for separate accreditation from TTU in August 2003, which was subsequently granted by SACSCOC on January 1, 2004.*

(4) DISTANCE AND CORRESPONDENCE EDUCATION

TTUHSC was officially approved to offer distance education on January 1, 2004, when the institution was granted separate SACSCOC accreditation from Texas Tech University. At the time of submission of the initial application in August 2003, distance education programs were offered through the School of Health Professions and School of Nursing.

Currently, TTUHSC does not offer courses or degree programs via correspondence education. TTUHSC continues to offer some degree/certificate programs that can be completed primarily through distance education. *Table IS-5* lists all of the programs in which 50 percent or more of the credit hours are delivered via distance education, including whether the program is taught using synchronous and/or asynchronous technology.

Table IS-5. Distance Education Programs by School and Instructional Method

Degree/Certificate Program	Synchronous	Asynchronous
Graduate School of Biomedical Sciences		
Graduate Certificate in Public Health (Online)	✓	✓
Master of Public Health (Accelerated, Online)	✓	✓
School of Health Professions		
Post-Baccalaureate Certificate in Clinical Laboratory Science	✓	✓
Bachelor of Science in Clinical Laboratory Science (Second Degree)	✓	✓
Bachelor of Science in Healthcare Management		✓
Master of Rehabilitation Counseling	✓	✓
Master of Science in Addiction Counseling	✓	✓
Master of Science in Clinical Mental Health Counseling	✓	✓
Master of Science in Clinical Rehabilitation Counseling	✓	✓
Master of Science in Healthcare Administration		✓
Doctor of Physical Therapy (Transitional)	✓	✓
Doctor of Science in Physical Therapy	✓	✓
School of Nursing		
Bachelor of Science in Nursing (Accelerated)	✓	✓
Bachelor of Science in Nursing (RN to BSN)	✓	✓
Graduate Certificates—All Concentrations	✓	✓
Master of Science in Nursing	✓	✓
Doctor of Nursing Practice	✓	✓

(5) ACCREDITATION

Table IS-6 identifies all agencies that accredit TTUHSC or its academic programs. For each accreditor, the table provides the date of the last review and anticipated expiration date for the current accreditation period. The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) is the primary accreditor for access to USDOE Title IV funding. No USDOE-recognized agencies have terminated accreditation, and TTUHSC has not withdrawn voluntarily from any of these agencies. Finally, during the two years prior to the submission of this report, no sanctions were applied and no negative actions were taken by any USDOE-recognized accrediting agency.

Table IS-6. Current TTUHSC Accreditors

Program(s) by School	Accrediting Body	Last Review	Expiration
INSTITUTION			
Texas Tech University Health Sciences Center	Southern Association of Colleges and Schools Commission on Colleges[a]	2009	2019
GRADUATE SCHOOL OF BIOMEDICAL SCIENCES			
Master of Public Health	Council on Education for Public Health[a]	2018	2023
SCHOOL OF HEALTH PROFESSIONS			
Certificate, Clinical Laboratory Science **B.S., Clinical Laboratory Science**	National Accrediting Agency for Clinical Laboratory Science	2013	2020
Master of Athletic Training	Commission on Accreditation of Athletic Training Education	2009	2018-2019
Master of Occupational Therapy	Accreditation Council for Occupational Therapy Education[a]	2010	2020-2021
Master of Physician Assistant Studies	Accreditation Review Commission on Education for the Physician Assistant	2016	2023
Master of Rehabilitation Counseling **M.S., Clinical Rehabilitation Counseling**	Council for Accreditation of Counseling and Related Educational Programs	2015	2023
M.S., Molecular Pathology	National Accrediting Agency for Clinical Laboratory Science	2016	2026
M.S.,Speech-Language Pathology **Doctor of Audiology**	American Speech Language-Hearing Association[a]	2016	2024

Table IS-6. Current TTUHSC Accreditors

Program(s) by School	Accrediting Body	Last Review	Expiration
Doctor of Physical Therapy	Commission on Accreditation in Physical Therapy Education[a]	2008	2018
SCHOOL OF MEDICINE			
Doctor of Medicine	Liaison Committee on Medical Education[a]	2017	2025
SCHOOL OF NURSING			
B.S., Nursing	Texas Board of Nursing (BON)	Ongoing-Annual Report	Ongoing-Annual Report
M.S., Nursing (Concentration: APRN-Nurse Midwifery)	Accreditation Commission for Midwifery Education (ACME)[a]	2018	2028
School of Nursing[b]	Commission on Collegiate Nursing Education[a]	2015	2025
SCHOOL OF PHARMACY			
Doctor of Pharmacy	Accreditation Council for Pharmacy Education[a]	2014	2020

[a] *USDOE-recognized accrediting body*
[b] *The Commission on Collegiate Nursing Education (CCNE) accredits the school, not individual programs within the school.*

(6) RELATIONSHIP TO THE U.S. DEPARTMENT OF EDUCATION

TTUHSC has not received any limitations, suspensions, or terminations from the U.S. Department of Education in regard to student financial aid or other financial aid programs during the past three years. In addition, TTUHSC is not on reimbursement or any other exceptional status in regard to federal or state financial aid.

TEXAS TECH UNIVERSITY
HEALTH SCIENCES CENTER™