

BUSINESS AFFAIRS SUB-COUNCIL

January 31, 2008

MINUTES

The meeting began at 9:00 a.m. in the Genesco executive dining room. Present were Ms. Cynthia Brooks (TSU); Dr. Steve Campbell (NSTCC); Mr. Horace Chase (JSCC); Mr. John Cothorn (MTSU); Dr. David Collins (ETSU); Ms. Shirley Eldredge (CLSCC); Mr. Danny Gibbs (RSCC); Mr. Mike Gower (MTSU); Mr. Ken Horner (COSCC); Mr. Earl Hunt (NSCC); Mr. Tim Hurst (APSU); Dr. Rosemary Jackson (WSCC); Ms. Kathy Johnson (VSCC); Mr. Ron Kesterson (PSTCC); Ms. Linda Maxwell (TTU); Mr. Ron Parr (SWCC); Mr. Mike Posey (MSCC); Mr. Mitch Robinson (APSU); Dr. Claire Stinson (TTU); Ms. Tammy Swenson (CSTCC); Ms. Velma Travis (DSCC); Mr. Greg Wilgocki (ETSU); Mr. David Zettergren (UOM); Dr. Bob Adams, Mr. Blayne Clements, Ms. Kathy Crisp, Ms. Alicia Gillespie, Ms. Tammy Gourley, Ms. Angela Gregory, Ms. Deanna Hall, Ms. Lisa Hall, Mr. Glen Hughes, Ms. Debbie Johnson, Dr. Charles Manning, Ms. Brooke Shelton, Mr. Ron Simmons, Ms. Renee Stewart, and Ms. Heidi Zimmerman (TBR).

1. Evisions Presentation

Michael Boote and Matt McLellan from Evisions gave a presentation on their Intellicard and Argos products. Intellicard is a service that allows student refunds to be issued on a debit card. Argos is a web-based reporting tool that allows end-users to pull reports from Banner. The committee was invited to a demonstration of the Argos reporting tool on February 1, 2008.

2. Chancellor's Remarks

Dr. Manning spoke briefly regarding the governor's budget proposal. The only available source of additional revenue for FY 2009 will come from tuition increases. He believes that the legislature understands that what they appropriate directly impacts tuition rates. However, they still express an unwillingness to discuss the possibility of any tax increases to raise money for higher education.

Dr. Manning requested that the committee look at how we could change our business model to get greater benefits without constantly having to raise tuition. Currently some TBR institutions' tuitions are 13-14% above their peers.

3. Report of the Committees

A. Finance Committee

Dr. Collins highlighted the following issues from the January 8, 2008 Finance

Committee meeting.

- Budget Update

The institutions have received two personnel budget programs from IT and should begin testing them immediately. Some of the institutions who have already begun testing have expressed concerns regarding the “static” file. The proposed configuration does not include a “static” file from which a budget will be built from and reconciled to. Dr. Adams stressed that these concerns should be communicated to the Presidents for resolution at the next Steering Committee meeting.

The committee also discussed the procedures for additional updates to the finance budget. The committee agreed that these updates will go through the SMO rather than using SCT.

The committee discussed the modifications already made to Banner. Tom Danford is in the process of contacting institutions to determine if modifications were really needed. He will also contact peer institutions to see if any alternatives are available.

- International Study Scholarship

The committee discussed issues related to the international study scholarship. One institution has a spring trip to Mexico which requires the student to be full-time. In order to fulfill the full-time requirement, an RODP or online class could be taken. The institutions questioned whether they had to provide a scholarship for the RODP or online class. It was determined that at this time the institutions will have to provide the scholarship. However, this issue will be revisited since it was not the original intent of the scholarship.

It was also noted that the international study scholarship is to be applied first if a student has additional financial assistance.

- Travel Policy

The committee discussed recent changes to the travel policy. Language had been added stating that procurement cards may not be used for expenses incurred during actual travel time. However, it was not clear that they could be used in the instance of team/group travel. The committee recommended adding additional language that procurement cards could be used for expenses incurred during travel for team/group travel. (Attachment A)

- Cell Phone Allowance

The committee discussed how to set up cell phone allowances in Banner. One institution thought that Banner requires a charge to a benefit object code and was not sure if this was the correct way to charge the allowance. The committee discussed whether it should be charged to benefits, salaries, or operating expenses.

A survey was completed, indicating that there is no consistency among the institutions in the way that allowances are currently being handled. The Finance Committee was charged with developing a recommendation at its April meeting, with implementation to follow on July 1, 2008.

- **State Employee Fee Waivers**

THEC is in the process of updating their website for state employee fee waivers. Currently the RODP course fee is waived, but not the campus online course fee charged by institutions. Institutions are reimbursed by the state for RODP course fees, but not campus online course fees. Therefore, an institution may cover the campus online course fee with a scholarship; however, it is not required.

The Finance Committee minutes with the policy and guideline revisions were approved.

B. Council of Buyers

Ms. Gregory highlighted the following issues from the January 16, 2008 Council of Buyers meeting.

- **Purchasing Policy Revisions**

The following proposed revisions to the purchasing policy were discussed:

1. Allowing for the acceptance of electronic signatures (with noted exceptions) when the required procedures of B-095 are developed
2. Adding a statement of not allowing changes in scope once a contract is awarded (in conjunction with language that state purchasing uses)

The proposed changes were accepted.

- **Contract Guideline Revisions**

The following proposed revisions to G-030 Contracts and Agreements were discussed:

1. Allowing for the acceptance of electronic signatures (with noted exceptions), when the required procedures of B-095 Use of Electronic Signatures and Records are developed

2. Adding a statement of not allowing changes in scope once a contract is awarded (in conjunction with language that state purchasing uses)

The proposed changes were accepted.

- **SESAC/BMI/ASCAP**

Ms. Gregory informed the Council of the status of each of the following licenses:

1. SESAC – The annual invoice was received, but was incorrect as it was figured on incorrect FTE numbers. Ms. Gregory has requested a new invoice from SESAC and will send out a billing breakdown to the institutions. The system-wide license agreement expires on June 30, 2008 and Ms. Gregory is working with SESAC on a new agreement and amendment.
2. BMI – The current agreement has expired; however, BMI has sent Ms. Gregory the new agreement(s). Unlike the past, BMI now has two agreement options: one for institutions that have many activities and one for institutions with relatively few activities. Ms. Gregory has forwarded the information to Legal for review and will then draft new amendments to send to BMI.
3. ASCAP – Ms. Gregory will contact ASCAP this week to start the process of a new agreement with them.

- **Additional Insurance Coverage for Student Athletes**

The Board of Claims approved the additional insurance coverage for student athletes which had been requested by TTU and MTSU. This insurance relates to NCAA monies available for supplemental insurance for eligible athletes.

- **PeopleAdmin**

Ms. Gregory informed the committee that in order for PeopleAdmin to interface with Banner, additional products/services will have to be purchased. The additional products/services are:

Applicant Tracking

1. Purchase of the Extract file (with crosswalk creation, if required, so Banner values are sent on the extract file) for a one time fee of \$625 with an annual maintenance fee of \$625, escalating annually.
2. Purchase of services from SGHE to implement the batch interface program. This is a one time fee of \$10,000 with annual maintenance of \$2,000, escalating annually.

Position Management Module

1. Purchase of the PeopleAdmin interface. This is a one time fee of \$1,250 with an annual maintenance fee of \$1,250, escalating annually.

The Council of Buyers minutes were approved.

C. Human Resources

Ms. Johnson highlighted the following issues from the January 17, 2008 Human Resource Officers Committee meeting.

- Policy 5:02:05:05 Employment of Graduate Assistants

Due to a revised statute, a revision to the above-referenced policy was recommended. The revision prohibits the hiring of students in graduate assistant positions who are registered sex offenders whose victims were minors if the institution's campus includes or is within 1000 feet of a school, child daycare or similar facility.

- Policy 2:02:10:01 Nondiscrimination on the Basis of Sex in Education Programs and Activities

The substantive proposed revision to the policy provides that when employees or students have complaints of unlawful discrimination or harassment, the complaints will be processed as set out in Guideline P-080.

- Policy 5:01:02:00 Equal Employment Opportunity, Affirmative Action, Discrimination, and Nepotism

The main proposed revision will add references to Guideline P-080 with regard to the handling of complaints of unlawful discrimination or harassment.

- Guideline P-080 Sexual or Racial Harassment revised as Discrimination and Harassment – Complaint and Investigation Procedure

The revisions broaden the scope of this guideline to include not just allegations of sexual or racial harassment, but all forms of unlawful discrimination or harassment. The General Statement was similarly broadened to reflect this revision. Sexual orientation/gender identity was

added as a basis upon which allegations of discrimination or harassment will be investigated. A short definition of discrimination was added. It was made clear that allegations of retaliation would be investigated pursuant to this procedure. If the respondent is found to have violated the guideline and a hearing option is available, a burden of proof which the complainant must meet, a preponderance of the evidence, is specified. With the exception of the investigation of allegations of sexual harassment, which must conclude within 20 working days of receipt of the complaint, all other investigations are required to be completed within a reasonable period of time.

- Guideline P-110 Employee Grievance/Complaint Guideline

The primary revision concerns the removal of one basis allowed for the filing of a grievance: a violation of state or federal discrimination statutes where the adverse action is based solely on a protected status. Grievances based on such a violation shall be filed pursuant to the procedure outlined in Guideline P-080. Institutions must still have their own more specific processes. The revisions also mandate that the institutional processes require grievances and complaints to be in writing, that a time limit for accepting them be set, and the person or office where they should be filed be specified. A burden of proof which the employee must meet, a preponderance of the evidence, is also specified. The proposed revisions also seek to reformat the guideline to more clearly delineate the grievance process and the complaint process, to correct any typos, and to provide consistency in the use of terminology.

- Guideline P-111 Support Staff Grievance

The revision states that the grievance panel and hearing will be governed by the procedures specified in Guideline P-110 and any corresponding institutional policy for the hearing of grievances.

- Peopleclick Update

Ms. Johnson reviewed several items related to Peopleclick Affirmative Action software. She mentioned that EEO/Affirmative Action projects would be transitioning to the Office of the Vice Chancellor for Access and Diversity, Ms. Wendy Thompson.

Dr. William Arnold, the newly appointed Director for Access and Diversity, and Ms. Johnson will work to move the affirmative action related items by July 1, 2008. Dr. Arnold is interested in Peopleclick and is reviewing a contract and upgrades along with Ms. Johnson and the TBR Director of Purchasing. They will also review Pay Stat, a compensation

reporting tool in Peopleclick, with the Office of General Counsel and will advise the campuses on the use of the program.

- RFP for System-wide Temporary Services

After much discussion, it was decided that a sub-committee would move forward with studying the possibility of establishing a system-wide RFP.

- New Form I-9, Employment Eligibility Verification

The Department of Homeland Security issued a new Form I-9, Employment Eligibility Verification. The Benefits Committee expressed concern about how often a new I-9 was needed on temporary employees and students. This matter will be researched.

- Magellan's Handbook – Pandemic Preparedness

Human Resource Procedures in the Event of a Declared Emergency – 5:01:01:18 was approved at the March 29, 2007 Board meeting. If there are issues with emergency or pandemic planning that are student or academic related, the officers were advised that they should report those to the appropriate campus contact so that the Student or Academic Sub-Council can address them.

The State of Tennessee has developed a Human Capital Plan in case of emergencies, which has been sent to the Governor for approval. The State has also created a summary of all relevant state statutes that address provisions that will need immediate attention in cases of emergency planning. They will share a copy with the TBR General Counsel office.

- Military Leave Policy Update

A recommendation was made to take the procedures from the policy and turn them into a guideline. After discussion, it was decided to put the procedures on a webpage and refer to that page in the policy.

- Follow-up on Policies from Benefits Advisory Committee

Recommendations of the Benefits Committee on Policy No. 5:01:01:15 – Transfer of Sick Leave between Employees was discussed and reviewed. The Benefits Committee recommended removing the word “consecutive” from the policy. On Policy No. 5:01:01:17 – Disaster Relief Service Leave, the HR Officers recommended removing the registration requirements from the policy.

- Sick Leave Bank Guideline

Proposed revisions to Guideline P-061 Formation and Operation of Non-Faculty Sick Leave Banks were discussed. The Benefits Committee recommended removing the word “consecutive” from the guideline. Campuses asked if the two banks, faculty and non-faculty, could be

merged. General Counsel said that they could not be merged because they were set up separately.

- 403(b) Plan Update

The results of a survey of all institutions current 403(b) plans were discussed and reviewed. The future format of the plan (single provider versus multi provider) was also reviewed and discussed. The Officers were asked to consult with their Business Officers for further decisions. A summary will be provided by Ron Ostenfeld on the different points that need to be discussed. TBR Guideline P-043 Deferred Compensation will also change as decisions are made for the overall plan. The Benefits Committee recommended using three to five providers. However, HR Officers who were concerned with the expansive fiduciary responsibilities requested a single provider consideration. The target date for completion is January 1, 2009.

- Flexible Benefits Plan Update

The Benefits Committee is considering the possibility of adding the debit card option on the medical care FSA, increasing the medical care FSA limit, and adding the IRS grace period to the plan year.

The BASC recommended increasing the maximum contribution to \$3,600 annually. However, they did not recommend extending the service date past December 31st.

- PC-191 Program

A campus submitted a question regarding the use of a PC-191 fee waiver to cover the cost of a six hour course. Both the Benefits Committee and HR Officers agreed that the PC-191 waiver could be used for one course per term, regardless of the number credit hours.

The HR Officers minutes were approved.

D. Internal Audit

Ms. Gourley highlighted the following issues from the January 22, 2008 Internal Auditors' meeting.

- Guideline B-080 Reporting and Resolution of Fiscal Misconduct, Improper Use of Institutional Resources, and Institutional Losses

The guideline has been significantly revised in conjunction with the development of a new policy, *Fraud, Waste, and Abuse*. The BASC

recommended increasing the amount for which institutions are required to report cash shortages to \$250. Subsequent to the BASC meeting, additional revisions were recommended by the business officers. (Attachment B)

- Proposed Policy: Fraud, Waste, and Abuse

This policy was written at the request of the Audit Committee. It was written in conjunction with the revisions to Guideline B-080 and incorporates from the guideline much of the information regarding situations involving misconduct. The BASC recommended that some revisions be made to the policy and a revised policy was distributed subsequent to the meeting. (Attachment C)

The Internal Audit Committee minutes were approved.

4. **Statement on Auditing Standards 113, Omnibus 2006**

Ms. Gourley distributed information regarding SAS 113. The SAS amends several previous SAS's as well as changes the convention for dating the representation letter by requiring that it be dated as of the date of the auditor's report. (Attachment D)

5. **Statement on Auditing Standards 114, The Auditor's Communication with Those Charged with Governance**

Ms. Gourley distributed information regarding SAS 114. The SAS uses the term *those charged with governance* to refer to those with responsibility for overseeing the strategic direction of the entity and obligations related to the accountability of the entity, including overseeing the entity's financial reporting process. It uses the term *management* to refer to those who are responsible for achieving the objectives of the enterprise and who have the authority to establish policies and make decisions by which those objectives are to be pursued. (Attachment E)

6. **Emergency Preparedness**

This plan was developed at the request of the Chancellor. It is imperative that institutions work on planning and testing their emergency preparedness procedures. The appendices included with the plan are strictly examples, and they may be changed as needed by the institutions. Nancy Washington-Vaughn is currently working on developing a training program for all faculty and staff who have contact with students.

7. **Banner/SunGard Issues**

The committee was reminded that the ERP Steering Committee will meet on February 20, 2008. The committee was encouraged to notify their presidents of any issues before this meeting.

A question was raised regarding the status of our disaster recovery plan. The committee was informed that the IT personnel are discussing this matter at their retreat this week.

The committee was also reminded that we must give notice to SCT of our intent to renew the contract with them by July 1, 2008. The committee was reminded that it is important to put together a group with significant technical knowledge when working on this contract renewal.

8. Other

- Refunds of Student Fees

Some institutions have been receiving complaints from students regarding what they feel are unfair penalties for dropping classes due to the way that Banner calculates refunds. This issue was referred to the Finance Committee for further discussion.

- Budget

Dr. Adams highlighted some of the main points from the governor's budget. There were no new operating dollars appropriated for higher education in this budget. He also stated that the proposed 2% salary increase was not fully funded with appropriations. The committee was also informed that the possibility of freezing tuition at the community colleges was no longer being discussed.

- Other Fees

Dr. Adams advised the committee to keep any new fee increases to a minimum, because of the possibility of a significant tuition increase in response to the current budget situation.

- Interpreters

Voc-Rehab no longer offers interpretation services; therefore, it has become the institution's responsibility to provide and pay for them. Ms. Gregory will begin working on a possible system-wide RFP.

There being no further business, the meeting was adjourned.

Policy 4:03:03:00

SUBJECT: General Travel

The following policy applies to the travel of all employees of the institutions and Tennessee Technology Centers governed by the Tennessee Board of Regents, as well as members of the Board staff, in the performance of their official duties. Provisions of this policy also may apply to individuals other than employees who are authorized to travel at institutional, school, or Board expense. Specific provisions of the policy also address the travel of Board members, pursuant to Tennessee Code Annotated 4-3-1008. Authorization for travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement claimed in accordance with this policy and any approved exceptions hereto. Procurement cards may be used for the payment of registration fees and required advance payments for airline or hotel payments. Procurement cards may not be used for expenses incurred during actual travel time **except in instances of team/group travel.**

This policy and specific reimbursement rates for travel expenses allowed under this policy shall be consistent with those of the Comprehensive Travel Regulations of the State of Tennessee. Exceptions which may be deemed necessary and approved by the Board shall be submitted for consideration by appropriate State officials. Current reimbursement rates shall be issued by the Chancellor as an addendum to this policy.

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II. General Provisions

1. No authorization for travel by any employee shall be granted, and no reimbursement for travel expenses shall be made, except in accordance with the provisions of these policies and procedures. Reimbursement for travel expenses shall be limited to expenses incurred upon travel authorized in advance in

accordance with Section III.

TBR Guideline No. B-080

SUBJECT: Reporting and Resolution of Institutional Losses

It is the responsibility of each institution to establish a system to report losses of state or institutional funds, property or other resources, whether by malfeasance or misfeasance (TCA 8-19-501). When fraud, waste or abuse is suspected, the appropriate authorities as designated by the institution's president/director should be informed in accordance with the Tennessee Board of Regents (TBR) Policy _____, *Preventing and Reporting Fraud, Waste or Abuse*. Administrators at all levels of management should be aware of the risks and exposures inherent in their areas of responsibility, and should establish and maintain proper internal controls to provide for the security and accountability of all assets and other resources entrusted to them. "Resources," as used herein, shall refer to supplies, personnel, equipment, real property, intellectual property, data, and financial resources.

Reporting

The procedure for reporting property losses to the appropriate officials is divided into three categories: (A) losses due to cash shortages, (B) losses involving acknowledged or suspected misconduct, and (C) losses of physical property. TBR reports the suspected fraud items and cash shortages to the Comptroller of the State of Tennessee, Division of State Audit, and the property losses to the State of Tennessee, Department of Treasury, Office of Risk Management. Losses must be reported to the State immediately upon discovery and the institutional procedures should address timely reporting.

Reporting Losses – For each reportable situation, the institution must complete a "Notification of Loss Report" (see Attachment A) or "Property Loss Report" (see Attachment B). Losses should generally but reported on the Notification of Loss Report, but losses involving property may be reported on the Property Loss Report.

Reporting Resolution – The investigation unit identified on the notification report will file a "Case Resolution Report" (see Attachment C) at the conclusion of the investigation. Depending upon the nature and extent of the investigation, an Internal Audit Report may be issued in lieu of a Case Resolution Report.

Distribution of Reports – Each required report should be submitted to the following:

1. Vice President for Business and Finance
2. Internal Audit Director
3. Office of Safety and Security/Campus Police
4. TBR Vice Chancellor for Business and Finance
5. TBR Director of System-wide Internal Audit

A. Losses Due to Cash Shortages

Each institution is required to report cash shortages equal to or greater than \$250 **immediately** to TBR. Some cash shortages result from human error and are the cost associated with doing business. However, objective reviews must be completed to eliminate

misconduct and provide assurance that controls are effective. Regardless of amount, management should routinely review shortages to identify any unusual items, recurring issues or a pattern of financial shortfalls. If suspected fraud or misconduct is identified in any area or unit, the matter should be reported **immediately** to TBR and handled as a reportable situation as noted in this guideline.

B. Losses Involving Acknowledged or Suspected Misconduct, Fraud, Waste or Abuse

Losses of institutional assets or other resources as the result of acknowledged or suspected misconduct by either an employee or a non-employee (for example, a vendor, contractor, or student) may include, but are not limited to: lost, stolen or altered checks, shortages of cash, operational supplies, physical property, intellectual property, data and any other instance where assets or other resources may have been misappropriated, e.g., travel claim abuse, long distance telephone abuse, theft of athletic tickets, reporting or approval of hours not worked, etc. Such losses should be reported **immediately** to TBR and handled as a reportable situation as noted in this guideline.

C. Losses of Physical Property – Property Claims Process

Property Records – Institutions maintain property inventory records for capitalized property (property with a cost of \$5,000 or more) and sensitive property (property with a cost of less than \$5,000 but vulnerable to theft or misuse).

Property Losses Due to Misconduct – Institutional losses of physical property from thefts or other suspected fraudulent activities should be reported **immediately** to TBR and handled as a reportable situation as noted in this guideline.

Other Property Losses – Other losses of physical property due to inventory shrinkage, vandalism, unexplained events, natural disasters, or acts of God should be reported to TBR on a monthly basis on the Property Loss Report (see Attachment B). A Case Resolution report is not required to be submitted for these losses. However, unexplained losses and those due to shrinkage or vandalism should be routinely reviewed by management to identify any unusual events, recurring issues or a pattern of losses. If suspected fraud or misconduct is identified in any area or unit, the matter should be handled as a reportable situation as noted in this guideline.

Occurrences that are potentially serious situations that would create public concern regardless of amount must be reported to the TBR and the Office of Risk Management **immediately**, followed by a written report.

Claims Process – Individual occurrences exceeding **\$25,000** must be reported to the TBR and the Office of Risk Management immediately, followed by a written report. The Office of Risk Management website at <http://www.treasury.state.tn.us/risk/index.htm> contains contact information under the “Contact Us” link and details of the insurance claim process under the “Claims Process” link.

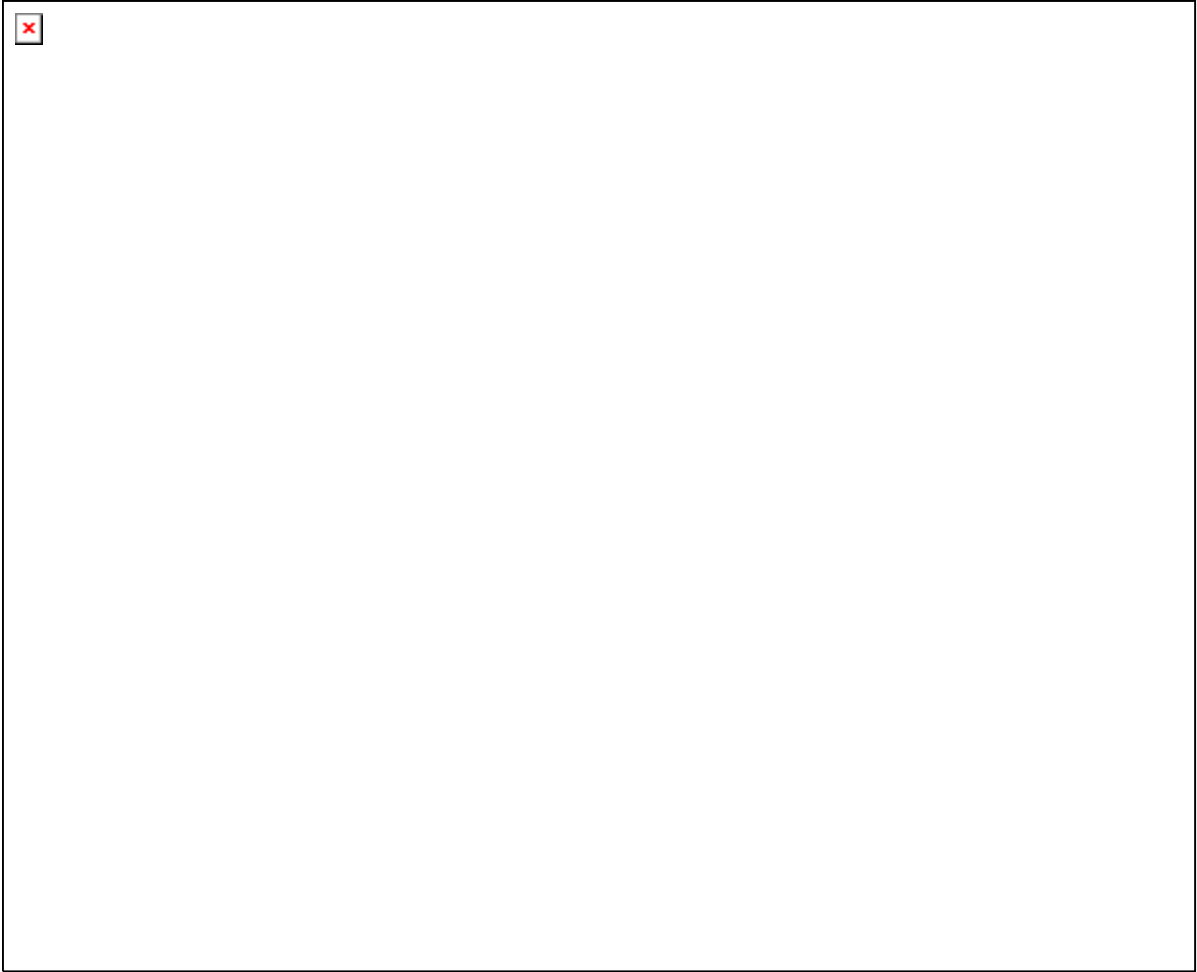
Property Loss Report – This report (see Attachment B) should list equipment items individually and should include all related data as reflected on the equipment inventory list. This information may be forwarded to TBR on an Excel spreadsheet with a brief narrative explaining how the loss occurred. Each property damage report should include a detailed description of the loss and the estimated cost. In addition to the reporting requirements noted above, the department where the loss occurred should also receive a copy of this report.

Refer to the Addendum to this Guideline for reporting requirements for situations discussed in this guidance.

Actions

The TBR will evaluate the information provided and make a determination concerning external reporting obligations, if any, and the feasibility of pursuing available legal remedies in cases of misconduct or fraudulent activities.

Source: November 6, 2002, Presidents Meeting.



NOTIFICATION OF LOSS REPORT

(Date)

_____, Vice Chancellor for Business and Finance
Tennessee Board of Regents
1415 Murfreesboro Road, Suite 350
Nashville, TN 37217

Dear _____:

Please be advised that the following loss has occurred in (Department Name) at
 (Institution)

Below is a brief description of the loss:

(Include individual's name, approximate amount in question, and the nature of the loss)

The situation is currently being investigated by (investigating unit) . A case resolution report will be issued to you by (name, title, phone number) at the conclusion of the investigation.

Sincerely,

(Name)

(Title)

Institution
PROPERTY LOSS REPORT
July 2007

Location of Loss	Item Description	Decal #	Serial #	Date of Loss	Cost/Value	Cause of Loss	Item will be replaced (yes/no)

Note for Preparer: The Property Loss Report should list equipment items individually and should include all related data as reflected on the property inventory list. This information may be forwarded to TBR on an Excel spreadsheet with a brief narrative explaining how the loss occurred. Each property damage report should include a detailed description of the loss and the estimated cost.

CASE RESOLUTION REPORT

(INSTITUTION NAME)

(Date) _____

Department: _____ Unit: _____

1. Date of the loss: _____

2. Reported by: _____

3. Investigation/unit conducted by: _____

4. Description of the loss: _____

5. Total amount of loss: _____

6. Was employee dishonesty discovered? Yes _____ No _____

7. Name(s) of employee(s) involved: _____

8. Action taken: _____

9. Methodology used to determine loss: _____

10. Internal control weaknesses found: _____

11. Actions taken to resolve weaknesses: _____

TBR POLICY: *Proposed Policy*

SUBJECT: Preventing and Reporting Fraud, Waste or Abuse

The Tennessee Board of Regents is committed to the responsible stewardship of its resources. Management of each TBR institution is responsible for maintaining a work environment that promotes ethical and honest behavior. Additionally, it is the responsibility of management of each TBR institution to establish and implement internal control systems and procedures to prevent and detect irregularities, including fraud, waste and abuse. Management at all levels should be aware of the risks and exposures inherent in their areas of responsibility, and should establish and maintain proper internal controls to provide for the security and accountability of all resources entrusted to them.

Terms

Fraud An intentional act to deceive or cheat, ordinarily for the purpose or result of causing a detriment to another and/or bringing about some benefit to oneself or others. Fraudulent activities may include, but are not limited to the following:

- Theft, misappropriation, misapplication, destruction, removal, or concealment of any institutional assets or resources, including but not limited to funds, securities, supplies, equipment, real property, intellectual property or data.
- Improper use or assignment of any institutional assets or resources, including but not limited to personnel, services or property.
- Improper handling or reporting of financial transactions, including use, acquisitions and divestiture of state property, both real and personal.
- Authorization or receipt of compensation for hours not worked.
- Inappropriate or unauthorized use, alteration or manipulation of data, computer files, equipment, software, networks, or systems, including personal or private business use, hacking and software piracy.
- Forgery or unauthorized alteration of documents.
- Falsification of reports to management or external agencies.
- Pursuit of a personal benefit or advantage in violation of the TBR Conflict of Interest Policy.
- Concealment or misrepresentation of events or data.
- Acceptance of bribes, kickbacks or any gift, rebate, money or anything of value whatsoever, or any promise, obligation or contract for future reward, compensation, property or item of value, including intellectual property.

Waste An intentional or unintentional, thoughtless or careless act, resulting in the expenditure, consumption, mismanagement, use, or squandering of institutional assets or resources to the detriment or potential detriment of the institution. Waste may also result from incurring unnecessary expenses due to inefficient or ineffective practices, systems, or controls.

Abuse An intentional or unintentional act using one's position or an institutional resource in a manner that contravenes applicable laws, policies, or generally accepted practices, including the destruction, diversion, manipulation, misapplication, or misuse of assets, information, relationships, or other resources.

Preventing Fraud, Waste or Abuse

Maintaining an Ethical Work Environment

Management is responsible for maintaining a work environment that promotes ethical and honest behavior on the part of all employees, students, contractors, vendors and others. To do so, management at all levels must behave ethically and communicate to employees and others that they are expected to behave ethically. Management must demonstrate through words and actions that unethical behavior will not be tolerated.

Implementing Effective Internal Control Systems

Management of each TBR institution has the responsibility to establish and implement internal control systems and procedures to prevent and detect irregularities, including fraud, waste and abuse. Internal controls are processes performed by management and employees to provide reasonable assurance of:

- safeguards over institutional assets and resources, including but not limited to cash, securities, supplies, equipment, property, records, data or electronic systems;
- effective and efficient operations;
- reliable financial and other types of reports; and
- compliance with laws, regulations, contracts, grants and policies.

To determine whether internal controls are effective, management should perform periodic risk and control assessments, which should include the following activities:

1. Review the operational processes of the unit under consideration.
2. Determine the potential risk of fraud, waste, or abuse inherent in each process.
3. Identify the controls included in the process (or controls that could be included) that result in a reduction in the inherent risk.
4. Assess whether there are internal controls that need to be improved or added to the process under consideration.
5. Implement controls or improve existing controls that are determined to be the most efficient and effective for decreasing the risk of fraud, waste or abuse.

Most managers will find that processes already include a number of internal controls, but these controls should be monitored or reviewed for adequacy and effectiveness on a regular basis and improved as needed. Typical examples of internal controls may include, but are not limited to:

- Adequate separation of duties among employees.
- Sufficient physical safeguards over cash, supplies, equipment and other resources.
- Appropriate documentation of transactions.
- Independent validation of transactions for accuracy and completeness.
- Documented supervisory review and approval of transactions or other activities.
- Proper supervision of employees, processes, projects or other operational functions.

Reviews of Internal Control Systems

Audits or other independent reviews may be performed on various components of the internal control systems.

Internal Audit – Internal Audit is responsible for assessing the adequacy and effectiveness of internal controls that are implemented by management and will often recommend control improvements as a result of this assessment. During an audit of a department or process, Internal Audit will also perform tests designed to detect fraud, waste or abuse that may have occurred.

External Audits – The Tennessee Department of Audit, Division of State Audit, performs periodic financial audits of Tennessee Board of Regents universities and community colleges. One purpose of this type audit is to evaluate an institution's internal controls, which will often result in

recommendations for control improvements. State Audit will also perform tests designed to detect fraud, waste or abuse that may have occurred.

Other Reviews – Various programs may be subject to audits or reviews by federal, state or other outside agencies based on the type of program, function or funding.

Although audits and reviews may include assessments of internal controls, the primary responsibility for prevention and detection of fraud, waste or abuse belongs to management. Therefore, management should take steps to review internal controls whether or not audits are to be performed.

Reporting Fraud, Waste or Abuse

Responsibility for Reporting Fraud, Waste or Abuse

Institutional management, faculty and staff with a reasonable basis for believing that fraud, waste or abuse has occurred must immediately report such incidents. Students, citizens and others are strongly encouraged to report known or suspected acts of fraud, waste or abuse. Although proof of an improper activity is not required at the time the incident is reported, anyone reporting such actions must have reasonable grounds for doing so. Employees with knowledge of matters constituting fraud, waste or abuse, that fail to report it or employees who knowingly make false accusations may be subject to disciplinary action.

Protection from Retaliation - State law prohibits discrimination or retaliation against employees for reporting allegations of dishonest acts or cooperating with auditors conducting an investigation. The Higher Education Accountability Act of 2004 directs that a person who knowingly and willingly retaliates or takes adverse action of any kind against any person for reporting alleged wrongdoing pursuant to the provisions of this part commits a Class A misdemeanor.

Confidentiality of Reported Information – According to the Higher Education Accountability Act of 2004, detailed information received pursuant to a report of illegal, improper, wasteful or fraudulent activity or any on-going investigation thereof shall be considered working papers of the internal auditor and shall be confidential. Such information may be disclosed, however, upon an order of a court or subpoena.

Methods for Reporting Fraud, Waste or Abuse

Several options are available to employees, students and others for reporting acknowledged or suspected dishonest acts. Incidents should be reported to:

- a supervisor or department head;
- an institutional official;
- the institutional internal auditor;
- the Office of System-wide Internal Audit at 615-366-4407 or reportfraud@tbr.edu; or
- the Tennessee Comptroller of the Treasury's Hotline for fraud, waste and abuse at 1-800-232-5454.

Any employee who becomes aware of known or suspected fraud, waste or abuse must

immediately report the incident to an appropriate departmental official. If the incident involves their immediate supervisor, the employee must report the incident to the next highest-level supervisor. Employees should not confront the suspected individual or initiate an investigation on their own since such actions could compromise the investigation. A department official or other supervisor who receives notice of known or suspected fraud, waste or abuse must immediately report the incident to the following:

1. Vice President for Business and Finance (or their designee)
 2. Internal Audit Department
 3. Safety and Security Office/Campus Police
-
1. The president/director or their designee will verbally notify the TBR Vice Chancellor for Business and Finance and the Director of System-wide Internal Audit regarding the acknowledged or suspected fraud or misconduct. TTC Directors should also report such matters to the Vice Chancellor for Tennessee Technology Centers. The Director of System-wide Internal Audit will notify the Comptroller of the Treasury of instances of fraudulent activity or other misconduct. After verbal notification, each institution should refer to TBR Guideline B-080, *Reporting and Resolution of Institutional Losses*, for additional reporting requirements.

Investigations/Actions

Cooperation of Employees – Individuals involved with suspected fraudulent activity or misconduct must assist with and cooperate in any authorized investigation, including providing complete, factual responses to questions and either providing access to or turning over relevant documentation immediately upon request by any authorized person. Any person refusing to provide such assistance must be notified that such refusal may result in the imposition of discipline, up to and including termination. Failure to provide such notice will not preclude the institution from terminating the employee.

Remedies Available – The Tennessee Board of Regents will evaluate the information provided and make a determination concerning external reporting obligations, if any, and the feasibility of pursuing available legal remedies against persons or entities involved in misconduct or fraudulent acts against the institution. Remedies include, but are not limited to, terminating employment, requiring restitution, and forwarding information regarding the suspected fraud to appropriate external authorities for criminal prosecution. In those cases where disciplinary action is warranted, the Office of Personnel/Human Resources, Office of General Counsel, and other appropriate offices shall be consulted prior to taking such action, and applicable institutional and Board policies related to imposition of employee discipline shall be observed.

Resignation of Suspected Employee – An employee suspected of misconduct may not resign as an alternative to discharge after the investigation has been completed. Exceptions to this requirement can only be made by the institution's President/Director, and require advance consultation with and approval by the Vice Chancellor for Business and Finance. If the employee resigns during the investigation, the employment records must reflect the situation as of the date of the resignation and the outcome of the investigation (*General Personnel Policy*, 5:01:00:00).

Effect on Annual Leave – An employee who is dismissed for gross misconduct or who resigns or retires to avoid dismissal for gross misconduct shall not be entitled to any payment for accrued but unused annual leave at the time of dismissal (*Annual Leave Policy*, 5:01:01:01).

Student Involvement – Students found to have participated in misconduct or fraudulent acts as defined by this guideline will be subject to disciplinary action pursuant to the TBR Policy 3:02:00:01, *General Regulations on Student Conduct and Disciplinary Sanctions*. The Dean of Students and/or the Vice

President of Student Affairs will be responsible for adhering to applicable due process procedures and administering appropriate disciplinary action.

Confidentiality During Investigation – All investigations will be conducted in as strict confidence as possible, with information sharing limited to persons on a “need to know” basis. The identities of persons communicating information or otherwise involved in an investigation or allegation of misconduct or fraudulent activity will not be revealed beyond the institution and staff of the TBR Offices of General Counsel, Business and Finance and System-wide Internal Audit unless necessary to comply with reporting requirements, state law or if legal action is taken.

Management’s Follow-up Responsibility – Administrators at all levels of management must implement, maintain, and evaluate an effective compliance program to prevent and detect fraudulent activities. Once fraud has been reported, the overall resolution should include an assessment of how it occurred, an evaluation of what could prevent recurrences of the same or similar conduct, and implementation of appropriate controls, if needed.

TENNESSEE BOARD OF REGENTS

**INSTITUTIONAL EMERGENCY
PREPAREDNESS PLAN GUIDELINE**

DRAFT No. 5 – January 14, 2008

**THE TENNESSEE BOARD OF REGENTS
INSTITUTIONAL EMERGENCY PREPAREDNESS PLAN
GUIDELINE**

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I. PURPOSE

This Emergency Preparedness Plan Guideline outlines procedures to improve the protection of lives and property through the effective use of institutional resources at Tennessee Board of Regents institutions. The guideline's purpose is to mitigate the potential effects of the various hazards that might impact a TBR institution, to prepare for the implementation of measures which will preserve life and minimize damage, to respond effectively to the needs of the institution's community during emergencies, and to provide a recovery system to return the institution and its community to a normal status as soon as possible after such emergencies. This guideline defines the roles and responsibilities associated with the mitigation, preparedness, response, and recovery efforts directed at natural disasters, technological accidents, enemy attacks, and other major events that might impact a TBR institution. This plan addresses all types of emergency functions at a Tennessee Board of Regents institution, except those for which the state or federal governments have primary responsibility. These functions include the provision of police services, rescue, warning, communications, engineering, hazardous materials abatement, evacuation, emergency welfare services, emergency transportation services, and all other functions related to the protection of the civil population in preparation for and response to an emergency.

A state of emergency may be declared at any time an emergency reaches such proportions that it cannot be handled by routine measures. Two categories of emergencies which may require such a response are (1) large scale natural or man-made disasters and (2) large scale disorder. Such emergencies may include, but not be limited to: tornados, earthquakes, winter storms, fires, infectious diseases, hazardous chemical spills, transportation accidents, explosions, utility outages, civil disturbances, bombs, hostage situations, or terrorist activities. Since emergencies normally occur without warning, procedures should be designed to provide sufficient flexibility to accommodate contingencies of assorted types and magnitudes. Responsibilities associated with the preparedness for, response to, and recovery from disasters, enemy attack, sabotage, hostile actions, rioting, mob violence, power failures, energy emergencies and/or their threatened occurrences are addressed as prescribed by Tennessee law.

Senior administrators at TBR Institutions are responsible for ensuring that the institution has an institutional emergency preparedness plan to address matters related to preparation for emergencies and response plans in the event of an emergency. The institutional emergency preparedness plan must be reviewed and revised, as necessary, on at least an annual basis by senior administrators in conjunction with the institutional emergency response management team. Additionally, aspects of the plan must be tested in annual training exercises and drills.

II. EMERGENCY DEFINED

The following definitions are provided as guidelines to assist personnel in determining the appropriate response:

- A. MINOR EMERGENCY:** Any potential or actual incident that does not seriously affect the overall functional capacity of the institution. Emergencies in this category will be handled according to the established procedures of those work units responsible for responding to these emergencies. Notifications to senior administrators regarding the incident will be made consistent with the standard protocols of the responding work units.

- B. MAJOR EMERGENCY:** Any potential or actual incident that substantially disrupts a significant portion of the overall operations of the institution. Outside emergency services, as well as major commitment of campus support services, may be required. The institution's Police Department or Local Law Enforcement (in the absence of an institutional police department) will take immediate action to meet the emergency and safeguard persons and property. Major policy considerations will be required from higher levels of campus authority. The Emergency Preparedness Plan may be activated at the direction of the Chancellor, President, Director, or designee in the event of a major emergency.

- C. BUILDING EMERGENCY:** A condition during which a specific building and its occupants are subjected to, or potentially subjected to, special precautions/actions necessary to maintain order and to safeguard institutional personnel and property. Upon determination that conditions exist which could lead to a state of emergency or have the potential of existing in a single building through events restricted to a building (e.g., bomb threat, equipment malfunction, etc.), the designated administrator (e.g., Physical Plant Director) shall be notified immediately. The administrator will immediately inform the President or designee. The appropriate administrators shall implement the necessary procedures and notify appropriate personnel to ensure the safety and protection of the persons and property in the building. The Emergency Management Response Team shall be informed as soon as is possible.

- D. DISASTER:** An event or incident that seriously impairs or halts the operations of the institution. A disaster may result in multiple casualties and severe property damage. A coordinated effort of all campus services will be required. Outside emergency resources will be required. The emergency response plan will be activated by the Chancellor, President, Director, or designee.

III. MINIMUM PROCEDURES OF AN INSTITUTIONAL EMERGENCY RESPONSE PLAN

Pursuant to this Guideline, all TBR institutions are required to have a written institutional Emergency Preparedness Plan that includes, at a minimum, procedures to address the emergency situations presented in this Guideline and its Appendices. The Appendices are included as template / model documents only. Institutional administrators may elect to customize the attached templates for inclusion in its Emergency Preparedness Plan or they may draft new documents outlining their institutional plan to address the emergency situations presented in the appendices.

1. INITIAL RESPONSE PLAN

Institutions shall create an Initial Response Plan.

An initial response plan may provide that the initial and primary responder to emergencies will normally be the institution's Police Department or, in the absence of an institutional police department, the Local Law Enforcement Authority. Procedures should be in place under which, upon arrival at an emergency scene, the ranking or senior officer on the scene will perform an initial assessment of the situation; request internal and external support resources immediately necessary to prevent further injuries, attend to injured persons, and restore order; take the appropriate action to notify persons in the affected area of imminent danger; and notify the next higher authority in the Police Department chain-of-command.

The initial response plan should specify that the Chief of the Police Department, or in his absence, the highest ranking officer contacted, will take immediate steps to intervene in the emergency and contact the President or Director or designee. If the President or Director or designee cannot be contacted, then a designated alternative administrator should be contacted or a member of the Emergency Response Management Team (ERMT) should be contacted.

2. DECLARATION OF EMERGENCY AND ACTIVATION OF PLAN

Institutions shall designate an employee (or group of employees) who is authorized to Declare an Emergency and activate the Emergency Preparedness Plan.

The institutional Emergency Preparedness Plan must designate an employee (or group of employees) who is authorized to declare an emergency and activate the Emergency Preparedness Plan. The plan may provide that the Chancellor, President, Director or designee with or without consultation from the ERMT, will make a determination of whether activation of the plan is appropriate. If the plan is to be activated, the employee(s) authorizing the declaration will cause ERMT members (as well as others as directed by the Chancellor, President or Director) to be contacted, advise them that the Emergency Preparedness Plan has been activated, and direct them to respond to the Emergency Operations Center (EOC). A systematic calling plan must be established to ensure that all ERMT members receive timely notification of the official declaration of emergency.

The institutional Emergency Response Plan may designate that the Chancellor, President, or Director is the highest institutional authority in any emergency situation. If the Emergency Preparedness Plan is activated by any person other than the Chancellor, President, or Director, then the person activating the plan will assume the authority of the Chancellor, President, or Director until the arrival of the authority designated above. The plan must establish a clear chain of command outlining institutional employees with authority to act in response to the initial activation of the plan.

3. EMERGENCY OPERATIONS CENTER

Institutions shall designate a campus location that will be an Emergency Operations Center.

The institutional Emergency Response Plan should specifically identify an Emergency Operations Center (EOC) located on the institution's main campus. An EOC should be established at any satellite campus / location that is more than twenty (20) miles away from the main campus. An alternative location should be designated in the event that the primary location is not available. The institution must designate an employee to serve as the individual in charge of the operations of the EOC. Members of the Emergency Response Management Team and others as designated by the President or Director should be present in the EOC during emergencies, to the extent practicable. Institutions should consider having all activities, such as requests for personnel, equipment, and supplies monitored and coordinated from the EOC to ensure a coordinated effort and to insure the best use of the resources needed to handle the emergency situation.

A log will be maintained in the EOC which reflects all significant events and actions taken in the EOC. A communications log will also be maintained which reflects the time and date of every significant communication to/from the EOC, whom the communication was received from/sent by, to whom the communication was directed, the nature of the communication, and any EOC action resulting from the communication.

4. COMMAND POST

Institutions should authorize an administrator to establish a Command Post on campus that is near the scene of the emergency.

The Emergency Preparedness Plan must designate an employee, such as the Chief of the Institutional Police Department, Director of Public Safety, or Facilities Director, to establish and manage a command post near the scene of the emergency. The command post may be inside a building or at an outside location dependent upon the circumstances of the emergency. The purpose of the command post is to provide a single on scene location for command and control purposes and damage assessments.

Upper level managers and directors from the institution whose personnel are directly involved in the emergency response will report to the command post, as will commanders from responding agencies external to the institution. Operational decisions relative to the emergency response will be coordinated from the command post. In addition to the primary command post in the vicinity of the emergency, sub-command posts may be established for purposes of directing specific functions (e.g., housing, evacuations, public safety, medical services, etc.). The command post will maintain contact with the EOC for purposes of instruction, status reports, and requests for support.

5. EMERGENCY RESPONSE MANAGEMENT TEAM

Institutions shall appoint appropriate administrators to the Institutional Emergency Response Management Team (ERMT).

The Emergency Response Management Team should serve in a support role to the President or Director during an emergency. Institutions have the discretion to determine which administrators to appoint to the ERMT and it is advisable that institutions give serious consideration to the inclusion of the personnel listed below.

Appendix A outlines the potential responsibilities of each administrator during a crisis.

1. Chief Academic Affairs Officer
2. Chief Business / Finance and Administration Office
3. Chief Student Affairs Officer
4. Chief Public Relations Officer
5. Chief of Institutional Police Department or Director of Security Department
6. Director of the Institutional Health Clinic
7. Chief Information Officer
8. Housing / Residence Life Director
9. Physical Plant / Facilities Director

Appendix B lists contact telephone numbers for all ERMT personnel.

6. EVACUATIONS AND RELOCATIONS

Institutions shall authorize an appropriate administrator to determine that an evacuation is necessary and issue an evacuation order.

The decision to evacuate an area should be made by the appropriate administrator in consultation with the President or Director and ERMT when it is practicable to consult with the ERMT. The designated administrator may unilaterally determine that an evacuation is necessary in the absence of the ERMT and issue an evacuation order. Notification of evacuation may be accomplished by phone, radio, loudspeaker, or by personal contacts. Institutions may develop a unique siren sound for evacuations and to notify the campus community of such siren.

While the Police Department, Department of Public Safety, or local law enforcement personnel have primary responsibility, institutional employees such as building managers, Housing/Residence Life personnel, and Physical Plant employees may need to assist in the effort. During the evacuation process the persons being evacuated should be advised of the location to report after the evacuation. If the evacuation requires transportation of members of the campus community or visitors, institutional vehicles should be provided by the institution. The institutional Police Department, institutional Public Safety Department, or appropriate personnel should be responsible for identifying routes of egress/ingress. The institutional Police Department or appropriate personnel should ensure that those routes are open for purposes of evacuation and emergency vehicle response.

Evacuation routes and assembly points should be posted in visible areas near exits, wherever possible.

Institutions with specialized programs and facilities (e.g., child care facilities, police academies, events open to the public such as athletic events, etc.) are advised to include provisions in institution's Emergency Preparedness Plan regarding management of specific emergency evacuation procedures for such programs.

At the beginning of each semester, faculty are encouraged to instruct students as to the location of the emergency evacuation route for their particular room or area and designate an assembly point outside of the building. Universities must have an evacuation procedure for campus residents. [Appendix C](#) outlines a suggested university housing evacuation procedure.

7. SHELTERS

Institutions shall designate appropriate locations as “Shelter Locations” at each campus / facility.

Primary shelter locations will be designated at the main campus and all satellite campuses of the institution. After an emergency incident, an appropriate administrator, most likely the Director of the Physical Plant or Chief Law Enforcement Officer, will inspect these facilities to determine their suitability for shelter purposes. If none of these facilities are appropriate due to damage caused by the emergency conditions, campus community members will be evacuated to locations identified as shelter locations by local law enforcement personnel.

Housing/Residence Life and Physical Plant personnel are responsible for maintaining services in the shelters as long as evacuated persons are housed in any institutional facilities. Procedures for a “Shelter in Place” or “Lock Down” are in [Appendix D](#).

8. NEWS MEDIA

Institutions shall have a procedure to manage media inquiries during an emergency situation.

The Emergency Preparedness Plan must include a news media procedure to direct the management of media inquiries during emergencies. If none exists, the institution’s Public Relations / Media Office should be responsible for coordinating the institution’s response to news media inquiries at all times, including emergency situations. At the Tennessee Technology Centers, the Director, or a direct designee, is the only authorized administrator to respond to news media inquiries. No institutional employee, other than employees of institution’s Public Relations Office or the designated administrator, should release information to news media representatives, unless instructed to do so. All news media requests should be directed to Public Relations / Media Office, the designated administrator, or the EOC.

The news media procedures must designate a location for press conferences during emergency incidents. The procedure must include provisions regarding a process through which the institution’s Public Relations / Media Office will notify the TBR Public Relations Office of published press releases related to the emergency situation.

News media personnel should not be allowed into secure areas without an appropriate escort.

[Appendix E](#) lists institutional / local media contacts and information regarding the release of student and employee records.

9. VOLUNTEER MANAGEMENT

Institutions shall have a procedure to manage volunteers who respond to an emergency situation.

Volunteers should be directed to the EOC or a central location for registration and assignment. During the registration process volunteers will be required to provide some form of reliable identification. A volunteer log will be maintained which will reflect the name, address, date of birth, driver’s license or social security number, any particular skill of each volunteer, the name of the supervisor to whom they are assigned, and the number of the identification card issued to the volunteer. If practical, each volunteer will sign a standard Volunteer Release Form and be issued an identification card that will be affixed to their outer clothing. Volunteers will be assigned to a supervisor involved in the emergency response.

[Appendix F](#) is a model Volunteer Statement / Understanding of Agreement (e.g., Volunteer Registration Form) that may be executed by institutions to register volunteers during an emergency response period.

10. PURCHASING GUIDELINES

Institutions should have a procedure to manage purchases during an emergency situation.

All emergency purchases will be handled in the shortest possible time frames. To the greatest extent possible, institutional employees will make purchases using procurement cards. For those purchases which cannot be made by use of procurement cards, Business Affairs personnel will facilitate the timely acquisition of needed resources in a manner consistent with emergency situations. A record of all emergency related expenditures will be maintained by the work unit making those expenditures. A copy of those records will be forwarded to the EOC and the original purchase documents will be handled consistent with institutional purchasing guidelines.

11. TRANSPORTATION SERVICES

Institutions shall have a plan to transport persons and/or equipment during an emergency.

An appropriate institutional department should be designated to be responsible for providing vehicles for evacuations and other emergency related activities. Distribution of vehicles should be made in such a manner as to maintain accountability while being responsive to the emergency needs of the institution. The Physical Plant or appropriate personnel should be prepared to experience an increase in emergency maintenance to institutional vehicles, to include minor off-site repairs related to such problems as flat tires, dead batteries, etc. Appendix G is a template to outline the type and number of institutional vehicles on campus.

12. LINES OF COMMUNICATION

Institutions shall establish a plan for alternate communication options for use during an emergency response period.

Generally, the primary means of communications during an emergency are telephones, cell phones, satellite phones, and two-way radios. If the institutional phone system has been rendered inoperable or if the emergency incident is a bomb threat, then the EOC, EMRT, and other necessary personnel will use cell phones and radios. Radios will be the primary communications medium if landline phones, satellite phones, and cell phones are inoperable. In the event that phones, cell phones, and radios, become inoperable, consideration should be given to the use of “runners” to transmit messages. Appendix H is a template to outline the type and location of one-way and two-way radios at the institution.

13. DOCUMENTATION OF ACTIVITIES

Institutions shall have a procedure to document activities in response to an emergency.

Each department/office should be instructed to maintain a record of all emergency-related activities performed by the personnel of that work unit. The record will reflect the personnel worker hours (for non-exempt staff), as well the assignments of personnel, and the work performed by each work unit, and other resources expended in response to the emergency.

14. CAMPUS MAPS AND BUILDING PRINTS

Institutions shall ensure that copies of campus maps, site maps and building prints / records are in a central location.

To the extent that doing so does not compromise security of the institution, the institutional Emergency Preparedness Plan shall ensure that accurate copies of main and satellite campus maps / site plans, prints of buildings and record plans of buildings are attached to the plan. If the determination is made that security concerns outweigh the inclusion of such material in the Emergency Preparedness Plan, then the institution must ensure that accurate copies of campus maps and building prints are maintained in a secure location that is readily accessible by law enforcement personnel, the President or Director, and the ERMT.

15. STUDENT ASSISTANCE COORDINATING COMMITTEE (THREAT ASSESSMENT TEAM)

Institutions shall have a Student Assistance Coordinating Committee / Threat Assessment Team that meets regularly to discuss the needs of distressed, disturbed, disruptive, or dangerous students.

Institutions must establish a Student Assistance Coordinating Committee that will meet regularly to evaluate the needs and provide necessary assistance to students who are identified as distressed, disturbed, disruptive, and/or dangerous. Institutions have the sole discretion to determine which administrators to appoint to the Committee; however, it is advisable that institutions give serious consideration to the inclusion of personnel from the following institutional departments, if applicable: Judicial Affairs, Disabled Student Services, Student Health, Counseling Services, Academic Support Services, Housing and Residential Life, and Police Department.

Appendix I is a model document that addresses institutional management of student behavior matters, including release of student records via the Partners in Education Program; student misconduct reports / methods to report students of concern; and student civility codes.

16. FACULTY AND STAFF TRAINING REGARDING STUDENT BEHAVIOR MANAGEMENT

Institutions shall require all faculty and designated staff to complete training regarding the identification and management of distressed, disturbed, disruptive or dangerous students.

Institutions must establish a method to maintain records certifying that all faculty, including adjunct faculty, and designated staff complete annual training regarding the identification and management of distressed students. Institutions have the sole discretion to determine which staff members must participate in the training; however, it is advisable for institutions to include all personnel who have direct contact with students (e.g., student affairs, financial aid, residence life, etc.)

17. MAINTENANCE OF EMERGENCY PREPAREDNESS PLAN

Institutions shall properly maintain the Emergency Preparedness Plan and review it at least on an annual basis.

Electronic and hard copies of the Emergency Preparedness Plan will be maintained by all members of the Emergency Response Management Team and department/office heads who will have significant roles in responding to emergencies. The plan should also be maintained in the Institutional Police Department or Department of Public Safety, if one exists. Institutions are advised to put a copy of the plan in the library and to post it on the internet. An electronic copy of the plan must be maintained in a manner that will permit access during an emergency (e.g., Acrobat Adobe copy on diskette or memory stick, internet posting, etc.).

Department/office heads should establish appropriate procedures within their work units to facilitate plan implementation.

On an annual basis the President / Director or his/her designee, in consultation with the ERMT will review the plan and update/modify the plan as necessary.

18. EMERGENCY RESPONSE PLAN TRAINING

Institutions shall conduct annual training for all personnel regarding the Emergency Preparedness Plan and the Plan shall be publicly posted.

Members of the ERMT and department/office heads should ensure that they and members of their staff are knowledgeable concerning the contents of the Emergency Preparedness Plan. All employees must have knowledge of the contents and procedures of the institution's plan. On a periodic basis different aspects of the plan should be tested, either through simulated exercises or in-service training, as appropriate. Training should be conducted by supervisors within their own work units or by a Safety Officer. A Safety Committee / Risk Management Committee may be established to assist in these training exercises as necessary.

The Emergency Response Management Team Members may receive training in the (NIMS) National Incident Management System method of handling emergency situations. Institutions may consider adopting NIMS compliance standards for its emergency preparedness plan to facilitate interoperability and compatibility in emergency situations.

The Safety Committee / Risk Management Committee or appropriate personnel may consult the Tennessee Emergency Management Association (TEMA) Training and Education Office to request information regarding special training seminars.

APPENDIX A

EMRT ADMINISTRATORS SPECIFIC RESPONSIBILITIES

This is a list of responsibilities that an institution may designate to the administrators in the following positions:

PRESIDENT / DIRECTOR

1. Activate the Emergency Response Plan and designate an on-scene commander
2. Be responsible for the overall operation and management of the Emergency Plan Response
3. Move to the EOC and manage the Emergency Team and necessary support personnel
4. Notify the Tennessee Board of Regents System Office and other state, local, and federal offices as necessary
5. Contact for National Guard support will be obtained via a request to the Governor through the Chancellor
6. Maintain contacts with TBR Central Office, city, county, state and federal officials
7. De-activate the plan when appropriate

CHIEF ACADEMIC AFFAIRS OFFICER

1. Acquisition of needed scientific expertise from institutional faculty
2. Decide if classes will be suspended or canceled
3. Coordinate the relocation of classes
4. Ensure the integrity of academic records to the greatest extent possible
5. Facilitate support of employees, and families of employees, who are casualties as a result of the emergency
6. Other duties as assigned by the President / Director

CHIEF BUSINESS / FINANCE AND ADMINISTRATION OFFICER

1. Provide assistance in activation of the Emergency Response Plan and ensure that key personnel are notified
2. Ensure that the appropriate building managers have been contacted and advised of current events
3. Acquisition of resources from outside the Institution
4. Work with the Chief Student Affairs Officer to provide alternative housing for students and food services
5. Facilitate and track emergency related external expenditures
6. Assist appropriate personnel in making risk assessments
7. Coordinate the preparation of the University's damage assessment report

CHIEF STUDENT AFFAIRS OFFICER

1. Coordinate all activities related to housing, shelters, evacuation locations, and other matters regarding institutional community members' safety and well being
2. Coordinate activities related to providing food services to the Institutional community
3. Coordinate the use of existing Campus Health Clinic and Nursing Department personnel
4. Coordinate the delivery of psychological attention to trauma victims
5. Establish an information system for inquiries concerning the well being of members of students
6. Other duties as assigned by the President / Director
7. Manage the establishment of an information system in a central location in conjunction with Information Technology and Public Relations to deal with inquiries regarding the well-being of the members of the institutional community.

CHIEF PUBLIC RELATIONS OFFICER

1. Establish a media staging area
2. Schedule the time and location of media briefings

3. Schedule media tours
4. Prepare press releases for approval by the President / Director or TBR Central Office
5. Keep the EMT advised of press inquiries
6. Maintain liaison with news media sources
7. Verify and/or issue media credentials
8. Coordinate donations in conjunction with the Chief Advancement Officer
9. Other duties as assigned by the President / Director

CHIEF LAW ENFORCEMENT OFFICER

1. Identify personnel for support positions in EOC
2. Maintain a log of actions taken by EOC
3. Maintain a log of communications to / from the EOC
4. Maintain a log of external resources used (e.g., local law enforcement, TEMA, Red Cross etc.)
5. Be the primary liaison with the local law enforcement department / local emergency management office
6. Make recommendations concerning areas requiring evacuations and initiate evacuations, as necessary
7. Provide technical assistance pertaining to chemical, biological, and physical hazards
8. Make notifications for activation and implementation of ERP
9. Take immediate action to care for injured persons
10. Take immediate action to reduce the threat of potential casualties and property damage
11. Provide security of emergency area, evacuation routes, and ingress routes
12. Survey emergency area for damages and injuries in order to request additional internal and external support required
13. Establish a command post in the vicinity of the emergency
14. Control criminal activity
15. Serve as the initial commander of the command post
16. Maintain communications with the EOC

DIRECTOR OF THE INSTITUTIONAL HEALTH CLINIC

1. Take immediate action to care for injured persons in conjunction with law enforcement
2. Coordinate medical response of Student Health Clinic, Nursing faculty, if necessary
3. Establish triage area for minor injuries
4. Coordinate with off-campus medical personnel to staff major triage areas
5. Transport medical supplies (e.g., basic first aid material, nebulizer, crutches, splints, medications, stethoscopes, blood pressure cuffs, and suture supplies) to the triage areas, if injured persons are not taken to the health clinic

DIRECTOR OF PHYSICAL PLANT / FACILITIES

1. Render the emergency area safe from utility and physical hazards
2. Provide vehicles and operators necessary for evacuations
3. Provide personnel for maintenance of shelter areas
4. Inspect buildings for signs of structural defects
5. Exercise operational control of outside contractors and utility providers utilized to perform work on campus
6. Provide equipment and personnel as needed for extraction of injured persons
7. Perform clean-up responsibilities at the site of the emergency
8. Provide personnel to assist in traffic control
9. Serve as commander of command post when necessary
10. Ensure that utilities are available for EOC and other essential functions
11. Maintain communications with the EOC

HOUSING/RESIDENCE LIFE

1. Assist in evacuation of emergency area if residential facilities impacted
2. Assist in controlling security of emergency area if residential facilities impacted
3. Provide bedding for shelters and EOC
4. Maintain storage area for property removed from emergency area
5. Provide staff for evacuation and shelter areas

6. Assist in determining status of students

INFORMATION TECHNOLOGY / TELEPHONE SERVICES

1. Maintain communications and coordination with off-campus service providers
2. Provide telephone lines and instruments required to support emergency operations

KEY PERSONNEL TELEPHONE NUMBERS

(INSERT OFFICE / BUSINESS TELEPHONE NUMBERS OF KEY PERSONNEL, INCLUDING ALL MEMBERS OF THE ERMT, RESIDENCE LIFE / HOUSING ADMINISTRATORS, and POLICE DISPATCH)

APPENDIX C

GENERAL EVACUATION PROCEDURES

1. Building Evacuation

- All building evacuations will occur when an alarm sounds and/or upon notification by institutional personnel
- When the building evacuation alarm is activated during an emergency, those present are to leave by the emergency evacuation route for the area in which they are located. If the exit is blocked, use the nearest marked exit and alert others to do the same.
- Assist those with disabilities in exiting the building. Do not use the elevators in case of fire and/or potential power loss. Once outside, proceed to a clear area that is at least 1000 feet away from affected building. Keep streets, fire lanes, hydrant areas and walkways clear for emergency vehicles and personnel. Identify an assembly point to congregate once outside.
- An assembly point for evacuations should be established.

DO NOT RETURN to an evacuated building unless instructed to do so by institutional personnel or law enforcement.

2. Campus Evacuation

All persons are to immediately vacate the area in question and move to another part of campus as directed. Persons with disabilities should be given necessary assistance to evacuate.

DEPARTMENT OF HOUSING CATASTROPHIC EMERGENCY EVACUATION PLAN

In the event of an emergency requiring the evacuation of the entire campus, the following plan will be implemented. The plan will cover the following areas:

- Campus Officials to Be Notified
- Relocation of Residents
 - Transportation
 - Temporary Housing and Food Needs
 - Identification of Special Needs Residents
- Dealing With the Media
- Aftercare

Campus Officials to Be Notified

Per a campus emergency response plan, the Chief Student Affairs Administrator is the lead official of any crisis involving the residence halls. At the beginning of any crisis, the following officials are to be notified:

- The Director of Housing and his/her supervisor, if not the Chief Student Affairs Administrator
- The Assistant Director(s) of Housing for Residence Life
 - The Chief of Institutional Police Department
 - The Director of University Relations (for media contacts)
 - The Director of Counseling Services (for the aftercare)
 - The Director of Student Health
 - Responsible administrator for the building(s) to be evacuated
 - Director of Physical Plant / Facilities
 - Local emergency management agency (e.g., Red Cross, law enforcement), if necessary

Relocation of Residents

Once the decision has been reached to evacuate all of the residence halls the Hall Directors in each building will be notified to contact hall staff members to prepare them for the evacuation. If time permits and the incident is a non-life threatening situation, then hall staff will go room to room to inform residents of the evacuation and notifying residents of what personal items may be brought with them. If time does not permit and the incident is an actual or potential life-threatening emergency, then the fire alarm will be immediately pulled and hall staff will proceed

through the building clearing the rooms using the standard fire drill procedures. Residents will be directed to a central location for notification and transportation off campus.

The Hall Director or Assistant Hall Director will bring the latest copy of the hall roster with him or her to determine which residents are accounted for. Upon notification, some residents may decide to leave campus on their own. The staff should make effort to note on their rosters the residents who chose to leave campus by means of personal transportation.

Transportation

Upon the decision that residents must be evacuated from the building, transportation will need to be arranged. The three initial contacts for transportation are:

- Institutional Motor Vehicle Operations for vans
 - Local Board of Education for school buses
- Tennessee National Guard for trucks

If additional transportation is needed, neighboring school districts as well as charter bus companies can be contacted.

Temporary Housing

Arrangements for the temporary housing of dislocated residents will be of prime importance. If the need to evacuate the halls does not necessitate the need to evacuate campus, residents can be temporarily housed in the _____ . If the entire campus must be evacuated, the following local locations can be used for temporary housing:

Cots and blankets will need to be provided. Agencies such as the American Red Cross and the Tennessee National Guard can be contacted for help.

Food Needs

Once the residents have been relocated, plans for providing food will need to be implemented. If the relocation is on campus or local, Campus Dining Services can be used to facilitate this function. If Campus Dining Services are not in service or unable to operate, local churches and aid agencies such as the American Red Cross can be contacted for assistance.

Aftercare

The Director of the Counseling Center should be contacted to have counselors available at the relocation site should their services be needed by any resident or staff member.

APPENDIX D

SHELTER-IN-PLACE / LOCK DOWN PROCEDURES

Institutions must establish shelter-in-place and lock down procedures. There are a number of emergency situations where an evacuation of a building, residence hall, and/or classroom is not advisable – hostile intruder, hazardous material release, terrorist attack, etc. In such instances, the institution shall have established Lock Down procedures. This document provides guidelines that an institution may include in its Lock Down Procedure.

Communications

- The individual making the discovery of an emergency situation or receiving a report of such should immediately contact the institutional Police Department or Local Law Enforcement Agency and provide as much information as possible about the situation.
 - If shelter-in-place is required, an emergency announcement will be made by (describe notification methods – e.g., over a building fire alarm public address system, notifications via email, phone trees, sirens, calls to classroom telephones, etc.)
- During a shelter-in-place event, fire alarms should not be pulled / activated.

Procedures

- Close and lock classroom and other doors
- Close windows and window treatments (e.g., blinds or curtains)
- Remain quiet and do not enter hallways
- If the fire alarm is sounded during a shelter-in-place event, do not evacuate the building unless:
 - o You have first hand knowledge that there is a fire in the building, or
 - o You have been advised by an official to evacuate the building, or
 - o There is imminent danger in the immediate area.
- Stay away from doors and windows
- Those in hallways should seek shelter in the nearest classroom or office
- Those in outdoor areas should immediately take cover in the closest building.

APPENDIX E

CRISIS MEDIA RELATIONS

KEY MEDIA CONTACTS

The following media outlets consistently cover the institution and represent a core media group that generally will be contacted in a crisis. The list is subject to revision.:

(insert list of local news media)

DISSEMINATION OF PUBLIC ALERT NOTICE INFORMATION

Institutions may establish and publish alert notices to update the campus community about the status of an emergency situation. The alert notice may include a brief message regarding the nature of the emergency. If such an alert notice is disseminated, then a procedure must be established to provide timely and accurate updates as the situation progresses. Examples of such alert system include cellular telephone text messaging systems, electronic mail messages, and landline telephone emergency hotlines. It is advisable for the institution to establish a process to ensure that all alert notices are approved by the Public Relations / Media Office or designated administrator(s) prior to distribution.

TYPES OF INFORMATION AVAILABLE

1. Student Information

Student-related information and records are generally protected from public release by federal law. The Family Educational Rights and Privacy Act (FERPA) limits an institution's unilateral release of student information to "directory information," (e.g., name, address, telephone number, date and place of birth, honors and awards, and dates of attendance) as that term is defined in the Act's regulations and by the institution. Therefore, the release of student-related information and records to third parties is limited to instances in which the student provides written authorization of the release; the information is "directory information," and the student did not elect to opt-out of release such information; or when a FERPA exception, such as the release of information to protect the safety and health of the student or others, is applicable.

In Tennessee, the incident or offense report for a crime that is created and maintained by a law enforcement unit (institutional police department or local law enforcement) is available for unilateral release by the institution to third parties, including media. This report does not have to be released to media outside of the state (e.g., to persons not citizens of Tennessee). Information about an investigation cannot be released until the investigation is completed. Every effort will be made to cooperate with law enforcement officials and members of the news media. When appropriate, members of the news media will be directed to the investigating law enforcement agency for additional information.

All requests for students' education records / information must be directed to the Office of the Registrar or Office of Student Affairs. Individual departments and employees are not authorized to release education records.

2. Employee Information

Limited information regarding employees is available through the Office of Human Resources. Any Tennessee citizen may obtain certain personnel information and records by presenting a valid Tennessee driver's license. All requests for personnel records must be directed to the Office of Human Resources. Individual departments and employees are not authorized to release personnel records.

APPENDIX F

VOLUNTEER REGISTRATION FORM

*VOLUNTEER STATEMENT OF UNDERSTANDING / AGREEMENT
BETWEEN*

Institution's Name

AND

Volunteer's Name

1. The volunteer understands that he/she is **not** to be considered an employee, agent or independent contractor employed by the Institutions for any purpose. The volunteer acknowledges that he/she will neither accept nor claim entitlement to any salary or benefits of employment, including but not limited to insurance, retirement benefits, worker's compensation, travel expenses, or any other form of compensation of any kind.
2. The volunteer understands that he/she has no actual authority to bind or represent the Institution with regard to any third parties. Moreover, the volunteer agrees to avoid giving the impression of having apparent authority to bind or represent the Institution with regard to third parties. Accordingly, the volunteer may not sign or enter into any agreements or contracts on behalf of the Institution.

APPENDIX G

INSTITUTIONAL VEHICLES

At any given time, many of these vehicles are being used for institutional travel. Therefore, all vehicles may not be present on campus at the time of a disaster. These vehicles are maintained at _____ and can be used to move supplies or personnel during an emergency as needed.

<u>NUMBER OF VEHICLES</u>	<u>TYPE OF VEHICLE</u>
00	Police Cars--Marked
00	Police Car--Unmarked
00	Mid-sized Passenger Cars
00	5-Passenger Vans
00	7-Passenger Vans
00	12-Passenger Vans
00	Freight Truck
00	Half-ton Pick-up Trucks
00	Van Trucks
00	Dump Truck
00	Lift Truck
00	Other
00	Other

GASOLINE STORAGE TANKS

The institution maintains a _____ gallon gasoline tank and a _____ gallon diesel storage tank.

APPENDIX H

LOG OF CAMPUS RADIOS / COMMUNICATION DEVICES

In the event of a disaster, communication will become a priority. Landline and cellular telephone service could be disrupted, or non-existent, for an undetermined duration. In addition to and as a back-up to the telephone service, some institutional offices should have hand-held two-way radios and/or satellite telephones for communications. Some offices may have one-way radios in addition to the two-way radios. Cellular and satellite telephones should not be used in bomb threat emergencies. Listed below are offices and numbers and types of radios that are in these offices:

(INSERT CAMPUS RADIO INVENTORY LIST AND FREQUENCY OF ALL RADIOS)

During an emergency recovery, these radios could be used for communication until telephone service is restored. It is necessary to ensure that the frequencies used by the radios that can be monitored by the base unit at the EOC are compatible with the local law enforcement department and local emergency personnel. During a power failure, an emergency generator located at the EOC should be available to provide emergency power to operate the base station and charge hand-held radios. The batteries in the hand-held units should maintain a charge for a sufficient length of time before needing to be recharged.

APPENDIX I

MODEL STUDENT BEHAVIOR INFORMATION

I. Partners in Education Program

Tennessee's Student Information in Higher Education Act of 2005 applies to all public and private four-year colleges and universities located in Tennessee. As of the fall 2007 semester, all such postsecondary institutions are required to have a Partners in Education program which offers a procedure by which a student may designate a family member or guardian to whom certain FERPA protected education records may, upon request, be released. All TBR institutions may implement a Partners in Education program at the discretion of the administration.

Participation in the Partners in Education program is initiated when the student signs the Partners in Education waiver. This form allows students to authorize the release of confidential academic information to a third party, and specifically indicates that releasable information includes confidential academic, financial aid, disciplinary records and any student financial account information, including academic progress reports and grades when available. The

waiver specifically notes that access to confidential counseling and health information is not provided through participation in the Partners in Education program. The authorization is valid as long as the student is enrolled at the institution or until cancelled in writing by the student, or until the student reaches the age of 21. Students of any age may participate in the Partners in Education program.

Students and family members are informed of the program during orientation programs and through other appropriate venues. Students will voluntarily register for the program; students and their partners select a Personal Identification Number (PIN) for the purpose of identifying the non-student member when he/she calls to request information. Partners may access information by calling the designated Partners in Education representative, identified on enrollment materials. The coordinating administrator or office is responsible for maintaining records of partner contacts, valid student authorization, and for notifying the PIE partner if the student chooses to withdraw authorization.

II. Student Misconduct Reports

i. Student Misconduct Reports:

Any student who engages in behavior prohibited by the institutional Code of Conduct should be reported to the Office of Judicial Affairs or Office of Student Affairs. Referrals are accepted from the Department of Public Safety, Residence Life, faculty, students, staff, and community members. To make a referral, persons are required to submit written documentation outlining the specific facts about the incident including the names of those students involved. The person submitting the information should also include their contact information in the event that a staff member needs to follow up on the report. Forms are provided at _____ or persons may submit reports in their own format.

Once a report is received, a staff member will review the report as soon as possible. The staff member will determine if it is likely that institutional rules have been violated and decide the level of severity of the case.

If the student described poses an immediate threat to the institutional community, an interim suspension will be issued to the student through established institutional procedures. During an interim suspension, the student shall be denied access to the campus (including class attendance), residence halls, and/or all other institutional activities or privileges for which the student might otherwise be eligible. A preliminary hearing will be held within a reasonable time period after imposition of the interim or summary suspension to determine if the interim suspension should continue until a formal hearing of the charges by an institutional adjudicating body can be held. During this preliminary hearing, the student will be given notice of the allegations against him or her and a summary of the evidence that supports the allegations. The student will be afforded an opportunity to respond to the allegations. If the interim or summary suspension is upheld, the formal hearing concerning suspension or expulsion shall be held within a reasonable amount of time after the beginning of interim suspension. If the interim suspension is lifted, the student's privileges are reinstated while awaiting further resolution of the case.

If the student does not pose an immediate threat to the institutional community, disciplinary charges will be issued via email and a letter sent to the student. An initial meeting will be scheduled for the staff to meet with the student, discuss the judicial process, and discuss the details of the incident. A decision will be made at that time whether or not a formal disciplinary hearing will be needed. The case will be handled administratively unless otherwise determined. Cases in which the institution is seeking suspension or expulsion may go before the appropriate discipline committee or may be adjudicated via the Tennessee Uniform Administrative Procedures Act. Cases may also be referred to the institutional discipline committee when a student refutes the charge of academic misconduct.

Students who are suspended or expelled from the institution are barred from being present on campus during the term of the suspension or permanently in the case of expulsion.

All disciplinary case files are maintained for a minimum period of time prescribed in TBR or institutional policy. Pursuant to TBR policy, cases resulting in suspension or expulsion are maintained permanently or until such time that the institution receives proof of the student's death. Cases that remain pending are kept indefinitely or until the student chooses to resolve the matter through the disciplinary process.

ii. Record-keeping software:

AdvisorTrac (and/or other student record-keeping software), appropriately deployed across the campus, may assist faculty and staff in reviewing the advising history of students. Programs such as AdvisorTrac permit academic advisors, including faculty and professional staff advisors to maintain a record of all advising contacts with any specific student. Although confidentiality is protected, advisors that are newly assigned to a student can access the history of that student's contacts with previous advisors in order to review any history of reported difficulties in classes, scheduling or other issues shared in advising meetings. (Note: AdvisorTrac would not be considered appropriate for use by campus mental health counselors.)

iii. Procedure for reporting of student behavior of concern:

Training:

Training regarding the recognition and reporting of distressed, disturbing, disruptive, and/or dangerous student behavior is available to all university faculty and staff, and can be found at _____ . This information should be on an annual basis, at a minimum.

Consultation regarding students of concern:

Information regarding procedures for reporting problematic student behavior is included in these training materials. Faculty and staff are advised to contact the appropriate office to discuss a student of concern and to seek advice about referral and/or intervention.

Disruptive/dangerous students:

If a student is actively disruptive in a classroom and fails to modify his/her behavior at your request, OR if you believe the student poses an immediate threat to yourself, classmates, or him/her self, you should contact the appropriate administrative office (e.g., Student Affairs), Campus Police, or local law enforcement from your classroom telephone or cell phone. If you believe the student poses an immediate threat, call campus or local police immediately.

Violations of the Code of Conduct:

Any student who engages in behavior prohibited by the institutional Code of Conduct should be reported to the appropriate officer. Referral forms are available on-line at _____.

Students with disabilities:

Occasionally a student will tell you s/he has a learning or psychological disability and may request special academic accommodations. In these circumstances a referral to the Disabled Student Services Office is appropriate. The institutional office responsible for verifying documented disabilities will make specific recommendations regarding reasonable academic accommodations that are compliant with federal regulation.

Disturbing class assignments:

As a proactive strategy, class syllabi should include ground rules for assignments and classroom discussion. Faculty will want to state their expectations with regard to how students address one another, how they address the instructor, how class members can disagree without becoming disagreeable, and what topics are or are not acceptable as the basis for assignments. However, a student may still submit a class assignment which includes content that the faculty member finds to be disturbing or threatening. If this should happen, it is important that faculty members share

the concern with others that can help evaluate the situation and help determine a plan of action. Faculty should plan to consult with their department chair, as well as with the Counseling Services or appropriate office to determine the best plan of action based on the specific circumstances of the case. If a specific threat has been made, Campus or Local Police should be contacted immediately.

Early Alert Program:

Faculty are encouraged to file a Student Alert form if they wish to inform an academic advisor of a potential academic performance or personal issue in the life of a student with whom they are working. The form is available at _____ All Student Alert forms that are received and reviewed by the staff of the appropriate office. Once a contact with the student has been made, staff will send a follow up note to the referring faculty member to confirm that contact with the student has been made and to communicate any other appropriate information. **IMPORTANT:** If you need assistance in working with a student that you believe needs immediate mental health intervention, please do not use this Student Alert form. Instead, call Counseling Services or the appropriate administrator for crisis intervention services.

Student Assistance Coordinating Committee (Threat Assessment Team):

The institutional Student Assistance Coordinating Committee should meet monthly, or more often as necessary, to review and coordinate interventions for students who are exhibiting early signs of serious risk or who are becoming disruptive to the campus community. The committee may be comprised of representatives from Judicial Affairs, Disabled Student Services, Student Health, Counseling Services, Housing and Residential Life, University Police and Academic Support Services. Students may be referred to the committee for further review by contacting the Counseling Services or the appropriate office.

III. Civility Codes

i. Statement of Community Standards and Expectations

The institution is committed to the ideal of developing and nurturing a community of scholars. The choice to associate or affiliate with the institutional community is freely made by students, staff, and faculty; nevertheless, it is assumed that each person who joins the community will accept and practice the following core values and expectations:

Value of Honesty

The notion of personal honesty and academic integrity is central to the existence of the institutional community. Community members will not engage in cheating, plagiarism, or fabrications of any type. All members of the community will strive to achieve and maintain the highest standards of academic achievement.

Respect for Diversity

The institutional community is composed of individuals representing different races, ethnicities, and cultures. The community embraces and celebrates this diversity as a pillar of its strength.

Commitment to the Community.

Citizens of the institutional community will be good stewards of the Institution's resources and will not engage in conduct which damages or exploits the community.

Freedom of Expression.

The institutional community is a marketplace of ideas and opinions. Community members are encouraged to freely communicate their ideas and opinions on issues both within and outside the community.

ii. Student Rights and Responsibilities

Introduction

The following statement of student rights and responsibilities is intended to reflect the philosophical base upon which student behavior is defined and measured. This philosophy identifies the rights and responsibilities that each student bears when they enter the institution. These rights shall not be construed, interpreted, or applied in any manner that would be detrimental to the privileges, purposes, aims, and goals of the institution and the Tennessee Board of Regents.

Student Rights

1. Students are entitled to all rights granted to him/her by the Constitution of the United States, the Constitution of the State of Tennessee and to the full protection of the law. There shall be no institutional rule or administrative rule that in any way abridges the rights of freedom of speech, expression, petition, and peaceful assembly as set forth in the U.S. Constitution.
2. Each student shall have the right to participate in all areas and activities of the institution, free from any form of discrimination, including harassment, on the basis of race, color, national or ethnic origin, religion, sex, disability, age, sexual orientation, or veteran status in accordance with applicable federal and state laws.
3. Each student shall have the right to pursue his/her educational goals and to enjoy the opportunity to participate in the various educational and extracurricular activities present on campus.
4. Each student shall have limited rights to personal privacy. This privacy includes the maintenance of confidential records except under compulsion by an institutional or civil court, the Tennessee Board of Regents, or as allowed by state and federal law.
5. Each student shall have the right to procedural due process in institutional disciplinary proceedings as described in this publication.
6. Each student shall have the right to be protected from prejudiced academic evaluation not related to a student's academic performance.
7. Each student shall have the right to examine, discuss, and express opinions publicly and privately.
8. Each student shall have the right to participate in self-governance and to be represented in the Student Government Association, student organizations, and on institutional committees whose charge is to review and/or formulate institutional policy regarding academic and student affairs.
9. Each student shall have the right to join and/or participate in recognized student organizations.
10. The student press is to be free of censorship. The editors and managers shall not be arbitrarily suspended because of student, faculty, administration, alumni, or community disapproval of editorial policy or content.
11. All students shall have the right to be secure from having their rights infringed upon by institutional administrators, faculty, support staff, or fellow students.
12. Each student shall have the right to expect:
 - A Drug-Free and Alcohol-Free campus
 - A campus community that is conducive to learning both in and outside of the academic classroom
 - A campus community that respects diversity of race, ethnicity, sexual orientation, culture, and personal beliefs.
 - A campus community that is built on honesty and integrity, both in academic and social pursuits.
 - A campus community that embraces freedom of expression and exchange of ideas.

Student Responsibilities

Students voluntarily assume certain responsibilities that are necessary for promoting the welfare of the community. Although no definitive list of responsibilities can ever truly be developed, the following represent the main responsibilities students assume by becoming citizens of the institutional community.

1. Each student shall have the responsibility to pursue his/her academics honestly and to attend class regularly and in good faith. Students shall be honest in all interactions with other students, faculty, and staff.
2. Each student shall have the responsibility to respect the rights and property of others, including students, faculty, staff, and university guests and visitors.
3. Each student shall have the responsibility of upholding the community standards and expectations as set forth by the institutional which include honesty, a respect for diversity, commitment to community, and freedom of expression.
4. Each student shall have the responsibility of being fully acquainted with and complying with all published university rules and regulations.
5. Each student is expected to comply with directives of institutional officials who are acting in the performance of institution-related duties.
6. Each student shall be responsible for carrying identification with them at all times that clearly indicates he or she is a student of the institution.
7. Each student shall have the responsibility of recognizing that his or her behavior reflects not only on the individual but also on the entire institutional community.
8. Each student shall have the responsibility of recognizing the responsibility of the institution to insure an educational environment for all students.

9. Each student shall have the responsibility of being a responsible community member and encouraging behaviors in others that are in compliance with institutional rules and regulations.

Each student shall have the responsibility of being good stewards of the institution's resources.

APPENDIX J

FIRE DRILLS

Institutions must establish fire safety and fire drill procedures.

All incidents of unintentional/non control burn fires must be reported to the appropriate personnel (e.g., institutional law enforcement) whether Fire Department response is required or not. All department heads, supervisors, etc., will ensure that their employees are aware of the location of fire extinguishers and fire alarm pull boxes in their work areas.

All employees shall be made aware of emergency evacuation routes for their work area, the location of fire exit windows, etc.. Also, do not use elevators in the event of fire. In addition, the following procedures should be reviewed with employees.

FIRE SAFETY

Although the potential for fire always exists, routine inspections, maintenance, and training are effective elements in reducing bodily injury, loss of life, and damage to property.

All faculty, staff and students should be knowledgeable of those elements which cause fires and of procedures to eliminate them. Everyone should be aware of basic fire safety regulations and conditions that have potential to start a fire, such as the use of extension cords or the improper storage of chemicals, paint, cleaning supplies, rags, paper, etc.

Routine inspections and maintenance of fire extinguishers, sprinkler systems, fire hydrants, smoke alarms, and fire fighting equipment are essential. At the same time, each facility should have posted evacuation plans, illuminated exit signs, functional emergency lights, self-closing doors, and any necessary special fire safety equipment.

Fires present a danger to individuals within a limited area and usually will not require action of the Emergency Operations Center (EOC) unless the fire is out of control and numerous potential or actual casualties are involved. After defining the hazard area, personnel will be evacuated from buildings by activating the fire alarm system and will be moved a safe distance (at least 100 yards) away to the designated areas. The area should then be secured until the fire fighting personnel arrive. Supervisory personnel will make every effort to account for faculty, staff, and students and prevent unauthorized personnel from entering the building.

FIRE ALARM

Fire alarms will consist of (insert alarm signal (e.g., intermittent sound of buzzer, or continuous sonic whistle)).

This alarm will be used when a serious fire is burning or possible explosion is imminent in one of the buildings occupied by students, faculty, and staff.

WHAT TO DO IN CASE OF FIRE

When the fire alarm is sounded, all students, faculty and staff should clear the buildings by the nearest exit and proceed to a designated assembly area as announced.

Any individuals with disabilities should be assisted in exiting the building.

Students, faculty, and staff should stand clear unless called upon to help. Do not return to the building until the all clear is given.

DRILL SUMMARY

After each drill, a review will be conducted to determine the following:

1. Could the alarm be heard in all areas of the building?
2. How long did it take for employees to respond and evacuate the building?
3. Identify those individuals who ignored the alarm and did not evacuate.

RESIDENCE HALLS

(Describe procedures for Fire Drills and Evacuations of residence halls or reference the appropriate residence hall manual containing that information).

APPENDIX K

BOMB THREATS

Institutions must establish procedures to manage bomb threats. If an institution is the recipient of a “bomb threat,” there is the danger that such a threat could be real, and the following procedures will be followed when a bomb threat is received or an actual bomb is discovered.

General Bomb Threat Guidelines

1. Any individual receiving a bomb threat call should do the following:
 - Remain calm and keep the caller on the line as long as possible. Ask the Caller to repeat the message and record every word.
 - If the Caller does not indicate the location of the bomb or the time of detonation, ask for this information.
 - Advise the Caller that the building is occupied and detonation could result in death or serious injury to innocent people.
 - Pay particular attention to background noises, such as motors running, music, or any other noises which may indicate the location from which the call is being made.
 - Listen closely to the voice to determine voice quality, accents, speech impediments, sex, or unusual characteristics, and complete threat data form.
 - If the Caller can be kept talking, ask specific questions as indicated on the attached Bomb Threat Report.
 - It is desirable, but not always practicable, to have more than one person listen in on the bomb threat call.
 - Immediately notify the Campus Police or local law enforcement.

2. Campus Personnel

A bomb threat report will be supplied to the President or Director and Chief of Campus Police or local law enforcement. The person receiving the threat will attempt to:

- Obtain all the information requested on the report.
- Document all information the caller is willing to give.
- Listen and document any background noises, which might be of assistance to investigators.
- Have a co-worker immediately notify the Campus Police or local law enforcement on another extension.

3. Campus Police 911 Dispatcher or Alternate Personnel

- A bomb threat report will be filled out whether receiving the bomb threat directly or indirectly.
- Dispatcher will immediately dispatch an officer to the scene.
- Notify ranking officer on duty.

4. Officer(s) will

- Respond to the area/building in question.
- Activate the chain of command by notifying the appropriate personnel.
- Establish a command post in or close to the threatened area(s). (A command post can be a police car only.)
- Assign an officer to interview recipient.
- Request that the institutional official(s) in charge of the threatened building report to the command post.

Procedures for Evacuation Decision

1. Review known facts and decide whether an evacuation is appropriate. Evacuation upon receipt of a threat is not an automatic decision, but depends upon perceived credibility of the threat.
2. When appropriate, the threatened area will be searched without evacuation and with as little disruption as possible. As a threat’s credibility increases, a decision to evacuate the affected area may be made by designated officials.
3. Contact an administrator in the threatened building to conduct a preliminary search of the area, utilizing employees in the building. Employees will know what is out of place, what belongs, and what does not. As many officers as possible will assist in the search.

4. Do not operate cell phones or pagers as they could trigger some types of explosives.
5. Insure that everyone knows not to touch anything suspicious.
6. Establish an open telephone line with the dispatcher. Elicit assistance from employees.
7. Relate pertinent information to the chief or senior officer on duty so that he/she may contact the appropriate administrator to determine if the area needs to be evacuated.
8. The decision to evacuate will be made by the institutional or local law enforcement police officer in charge on site in consultation with the building representatives. If the building is a residence hall, then the highest ranking administrator in the Office of Residence Life or designee will be consulted regarding the decision.

Evacuation Procedures

1. Appropriate administrator must be notified so arrangements can be made for the scheduled classes in that area to meet at an alternate location.
2. Appropriate administrator(s) should direct students and faculty to a specific area for accountability.
3. Evacuation should be orderly in fashion with one area at a time exiting.
4. First evacuate any area where a suspect item is found.
5. Then evacuate from the highest floors and work down.
6. Do not empty entire building at once. This could cause panic.

Search Procedures

1. After evacuation, a more thorough search of the area will be completed to insure that no one remains in the building and for further evidence of a possible bomb.
2. If a bomb or suspect package is found, the law enforcement officials on the scene will notify the local bomb squad unit and local law enforcement.
3. Officers will enlarge the outside perimeter to include parking lots or roads close to the buildings.
4. When bomb specialists arrive, they will decide if the fire department and ambulance service should be called.
5. Officers will assist the specialist in any way possible and will remain in the area to secure the perimeter.
6. If no evidence of a bomb is found, the chief or senior officer will contact the appropriate administrator to determine how long the building should remain closed. As a general rule, the building should remain closed until after the reported detonation time.

Special Events

1. The event coordinator on duty will coordinate with the officer(s) working the special event and advise them of the bomb threat.
2. The Dispatcher will notify the Chief and follow his directions for further notifications.
3. If the Chief is not available, the dispatcher is to notify the event coordinator working the event for direction.
4. If the area is to be evacuated, the event coordinator in charge will announce it over the public address system.
5. Personnel will be stationed at each seating area to point out the nearest exit and direct people to leave in an orderly fashion—one row at a time, if possible.

BOMB THREAT REPORT

INSTRUCTIONS: BE CALM. BE COURTEOUS. LISTEN. DO NOT INTERRUPT THE CALLER. NOTIFY YOUR IMMEDIATE SUPERVISOR. TALK TO NO ONE OTHER THAN INSTRUCTED BY YOUR SUPERVISOR.

DATE _____ TIME _____

PHONE NO. DISPLAYED _____

(Note whether caller is on campus line, transferred in, or off campus.)

LOCATION DISPLAYED: _____

EXACT WORDS OF PERSON PLACING CALL: _____

QUESTIONS TO ASK:

When is the bomb going to explode? Where is the bomb right now?

What kind of a bomb is it?

What does the bomb look like? Why was the bomb placed?

Who placed the bomb there?

TRY TO DETERMINE THE FOLLOWING:

Caller's Identity	Male	Female	Adult	Juvenile	Years of Age:			
Voice	Loud	Soft	High Pitch	Deep	Raspy	Pleasant	Intox./ Drugged	
Accent	Local	U.S. Regional	Foreign					
Speech	Fast	Slow	Distinct	Distorted	Nasal	Stutter	Slurred	Lisp
Language	Excellent	Good	Fair	Poor	Foul			
Manner	Calm	Angry	Rational	Irrational	Coherent	Incoherent	Deliberate	
Back-ground noises	Office Machine	Factory Machine	Train or Airplane	Traffic	Music	Quiet	Animal Party Atmosphere	

Person Receiving Call: _____

APPENDIX L

TORNADO PROCEDURES

Severe Weather Preparedness

Institutions must establish methods to ensure safety of students and personnel during severe weather.

General Information

- Tornadoes are most likely to occur in mid-afternoon, generally between 3 and 7 PM. Movement is generally from Southwest to Northeast.
- The length of the path ranges from 4 to 16 miles and the width is generally 300 to 400 yards. Speed ranges from 25 to 40 miles per hour with estimated speeds within the tornado of 500 miles per hour.
- The cloud associated with a tornado is a dark, heavy cumulonimbus (thunderstorm) from which a whirling funnel-shaped pendent extends to or near the ground.
- Precipitation usually occurs preceding the storm first as rain, frequently with hail, and as a heavy downpour immediately to the left of the tornado's path.
- The sound of a tornado has been described as a roaring, rushing noise, like the sound of a train going through a tunnel or over a trestle.

Definitions

Tornado Watch: A tornado warning is issued when the conditions are favorable for the formation of a tornado.

Tornado Warning: A tornado warning is issued when a tornado is actually sighted visually or by radar.

Communications

Communications of Tornado Warning to the campus community may be by (insert notification procedures (e.g., weather warning sirens, telephones, radio and television) and how residents of dorms / campus apartments will be notified).

Protection

1. Personnel and students should immediately seek shelter in the lowest levels of buildings on an interior hallway remaining clear of exterior windows and doors.
2. Immediately evacuate buildings without reinforced construction such as auditoriums, gymnasiums, and large rooms with wide free-span roofs.
3. If caught in open country, move away from the tornado's path at a right angle. If there is no time to escape, lie flat in the nearest depression, such as a ravine or ditch.

APPENDIX M

EARTHQUAKE PROCEDURES

Institutions must establish methods to ensure safety of students and personnel during severe weather, including earthquakes or tremors.

Before an Earthquake Occurs

1. Keep a flashlight and possibly a portable radio, both with fresh batteries, on hand.
2. Place large and heavy objects on lower shelves. Bottled goods, glass and other breakables should also not be stored in high places or left where they can freely slide on shelves.
3. Remove picture frames, mirrors and other heavy objects over the bed or desk.

During an Earthquake

1. First and foremost, stay calm. Think through the consequences of any action taken.
2. If outdoors, stay outdoors: if indoors, stay indoors. Most injuries during quakes occur as people are entering or leaving buildings.
3. If indoors, take cover under a heavy desk or table, in doorways or halls, or against inside walls. Stay away from glass.
4. If outdoors, move away from buildings and utility wires. The greatest danger comes from falling debris just outside of doorways or outer walls. Once in the open, stay there until shaking stops.
5. If in a moving car, stop as soon as possible, but stay in the car. A car may jiggle violently on its springs, but it is a good place to stay until the shaking stops. When driving on, watch for hazards created by the quake. Some of these hazards include fallen or falling objects, downed electrical wires, or broken or undermined roadways.

After an Earthquake

1. Be prepared for additional earthquake shocks called “after shocks.” Although most of these are smaller than the main shock, some may be large enough to cause additional damage.
2. Stay out of severely damaged buildings. After shocks can shake them down.
3. Check for injuries. Don’t attempt to move seriously injured persons unless they are in immediate danger of further injury.
4. If water pipes are damaged, shut off the supply at the main valve. Emergency water may be drawn from water heaters, toilet tanks (not bowl) and melted ice.
5. Check to see that sewage lines are intact before using sanitary facilities.
6. If applicable, cut off the gas supply or contact the gas utility company.
7. Report the incident to institutional personnel.
8. Physical Plant will direct the clean up of debris.

APPENDIX N

BIOLOGICAL HAZARDS

Handling of Suspicious Letters/Packages and Chemical Spills

Institutions must establish methods to ensure safety of students and personnel in the event of a biological hazard. Contact 911.

1. Suspicious Letters / Packages

The following procedures constitute institutional response plans in the event of a possible “anthrax” type threat or incident.

THE DISPATCHER WILL:

- Obtain pertinent information about the location and status of the suspected item
- Note the location and ‘pop-up’ number indicated on the dispatch telephone ID display
- Obtain a complete description of the item
- Determine if the item has been opened
- Instruct the caller to refrain from opening or further handling of the item
- Instruct the caller to discuss the situation only with persons on a “need to know” basis
- Instruct the caller to cover the letter/package/powder with paper, article of clothing or trash can (unless the caller has already left the room where the item is)

- Instruct the caller to leave the room where the item is located, close the door, and allow nobody to enter the room until the first officer arrives
- Instruct the caller to limit his/her contacts with other persons to the greatest extent possible
- Advise a supervisor, office-in-charge, or first available officer that a suspicious report has been received and the name of the building where the item is located
- Advise the Chief of Campus Police or Local Law Enforcement Officer

THE FIRST RESPONDING OFFICER WILL:

- Go directly to the building involved and call the 911 dispatcher by phone
- Receive all pertinent information from the 911 dispatcher including whether or not the item has been opened
- Proceed to the area where the item is located, without entering the room if possible
- Ensure that the room/area where the device is located is secure (treat the area as a crime scene)
- Interview the caller to ascertain all pertinent information about the item

Make an initial determination concerning whether or not the item is a questionable, possible, or probable threat.

Questionable Threat

Item is suspicious but no reason to believe it is a biological threat

If the item is a Questionable Threat item:

- Secure the item by triple sealing in sealed evidence bags or trash bags, remove from the building, and transport to Police Department
- Upon arrival of the Police Department, the sealed item will be placed into a designated Questionable Threat container, and the container will be placed into the weapons closet

Possible Threat

If the item is a Possible Threat:

- Evacuate all persons out of the immediate area
- Turn off fans, air ventilators, and HVAC
- Obtain a list of the names of all persons who came into contact with the item or were in the presence of the item
- Allow exposed persons to wash with soap and water
- Await the arrival of a command level supervisor

Probable Threat

If the item is a Probable Threat:

- Evacuate all persons out of the building, establish a perimeter -Turn off fans, air ventilators, and HVAC
- Request response of Local Fire Department
- Keep persons exposed to the item at the scene, in a secure location
- Coordinate decontamination process with fire department personnel
- Two-way radios and cell phones will not be used within 1,500 feet of the suspected device! All personnel cease use of radios.

COMMAND LEVEL PERSONNEL WILL:

- Make a determination of the threat level
- Contact the Director of Public Safety
- Establish a command post if threat is Possible or Probable Threat
- Ensure that personnel decontamination process is completed
- Ensure that no person goes into the perimeter without adequate protection
- Contact the Local Police Department for Hazmat assistance
- Arrange for Transportation of evidence for analysis
- Maintain area until analysis determination is made
- Contact Health Department, TBI, FBI, etc. if analysis reveals biological threat

2. Chemical Spills

Hazardous chemicals are utilized on campus in various locations. Trains, tractor trailers and other vehicles that may be traveling on or near the campus may have hazardous chemicals that could threaten the environment of the campus as well.

The following steps will be followed in the event of a chemical or radiation spill:

- Any spillage of a hazardous material will be immediately reported to the appropriate, designated personnel (e.g., institutional law enforcement or physical plant)
- When reporting, be specific about the material involved and approximate quantities. Personnel will initiate the response of appropriate hazardous material response teams to clean-up the spill effectively.
- The site should be evacuated immediately and seal it off to prevent further contamination of other areas. **AT NO TIME SHOULD ANYONE RE-ENTER THE AREA THAT HAS BEEN EVACUATED.**
- If the evacuation is required, the person on site should activate the building alarm and follow standard evacuation routes that do not cross the area where the spill is located.

APPENDIX O

HOSTILE INTRUDER / VIOLENT PERSON

Gunshots Heard

Institutions must establish methods to manage the circumstances when a hostile intruder is on campus.

- If a Hostile Intruder / Violent Person is discovered on the campus, the individual making the discovery shall immediately contact the institutional police department or local law enforcement agency and provide as much information as possible. Do not approach the intruder or intervene. At a minimum, the individual should provide a description of the intruder and any specific characteristics (height, weight, hair color, race, and type and color of clothing) and type of weapon(s), if any.
- If gunshots are heard within a building, faculty/staff will close and lock or barricade their room doors, turn off the lights, and stay away from doors and windows. Faculty/staff should remain calm and keep students/others as quiet as possible. Faculty/staff will stay in the locked/barricaded room until informed by law enforcement officials that it is safe to leave. Faculty/staff may wish to use their cell phones to notify law enforcement of the situation. If gunshots are heard within a residence hall or student apartment complex, residents should close and lock their room doors, turn off the lights, and stay away from doors and windows.
- Under no circumstances should any attempts be made to evacuate the building, unless in the room or immediate area where the shots are being fired.
- Should the fire alarm sound, do not evacuate the building unless:
 - o First hand knowledge that there is a fire in the building exists,
 - o Law enforcement officials advise evacuation from the building, or
 - o Imminent danger exists.
- Office personnel in the affected building will close and secure their office areas and immediately call the institutional police department or local law enforcement.
- The institutional police department or local law enforcement will be stationed to ensure no one enters the building(s) until the area is determined to be safe.
- Only trained law enforcement personnel should attempt to perform a search of the building or area in which a hostile intruder is located.
- Law Enforcement Officials will provide notice when re-entry can be safely made.

APPENDIX P

TERRORIST ATTACK

Institutions must establish methods to protect the personnel and students in response to terrorist attacks.

Weapon of Mass Destruction – Definition

A weapon of mass destruction includes biological, chemical, incendiary, nuclear or highly explosive material and any combination thereof.

General Guidelines

Emergency action steps will depend upon the type of device and/or agent used and whether it is used on-campus, in a campus building, or off-campus. The institutional or local law enforcement should develop plans to respond to such situations with established lines of communication to appropriate civil authorities to obtain current information.

Action Steps for Initial Responders

1. Notify the institutional Police Department or local law enforcement authority and evacuate the area.
2. Avoid contamination by staying upwind of the hazard, away from the point of the release, and exposed individuals.
3. Do not touch or move any suspicious objects.
4. Minimize the use of cell phones.
5. Physical Plant / Facilities should determine if the use of ventilation systems should be suspended.
6. Affected individuals should quarantine themselves at a safe location, upwind of the hazard.
7. If a hazardous release occurs at the campus perimeter or off-campus, remain indoors until further instruction is given.

APPENDIX Q

FLOOD, SNOW, AND ICE

In addition to procedures that are established specifically for the response to actual or predicted flood, snow, and/or ice, the institution should adhere to the evacuation procedures outlined in its Emergency Response Plan to evacuate campus during a flood, snow, or ice storm, as necessary.

Snow, ice or flooding can make travel to and from campus hazardous. When the potential or conditions develop that would make travel to and from the campus hazardous, the following steps will be followed:

1. Institutional personnel will monitor the National Weather Service broadcasts and local reports and/or contact the Department of Transportation Road Condition Office. Upon receipt of information that would or has the potential to make travel hazardous, the appropriate administrators will initiate the notification of the Director of Public Safety, Chief of Police, or designee.
2. The appropriate administrators will contact the President and other members of the EMRT as directed.
3. The President or designee will determine if institutional operations are to be suspended. If they are to be suspended, the senior staff will be notified.
4. The appropriate notifications to the campus community will be initiated.
5. The appropriate administrators will initiate steps to secure the facilities and grounds, preventing entry to the campus under hazardous conditions.
6. Appropriate personnel will continue to monitor the weather conditions as well as conditions on campus.

APPENDIX R

HOSTAGE

Institutions must establish methods to respond to hostage situations on campus.

If taken hostage or witnessing another person being taken hostage or contained in a specific area:

1. Appear as calm as possible.
2. The initial 45 minutes are often the most dangerous. Follow instructions, be alert, and stay alive. Captors are emotionally disturbed: it is difficult to predict their response to a given situation.
3. Don't speak unless spoken to and then only when necessary. Don't talk down or attempt to rationalize with the captor.
4. Avoid appearing hostile.
5. Maintain eye contact with the captor at all times, if possible, but do not stare.
6. Do not make quick or sudden moves. Ask your captors before going to the bathroom, taking medication, or receiving first aid.
7. Be observant and try to remember as many details about the captors as possible. In the event of release or escape, the personal safety of others may depend on facts remembered about the situation.
8. Displaying some fear may work to one's advantage.
9. Be prepared for action in the event entry by police is made. Often they will shout instructions. Follow them immediately.

If not taken hostage:

1. Immediately evacuate the building, using the established evacuation route. Carefully avoid the attention of those taking hostages.
2. Take no action to intervene.
3. Call the appropriate law enforcement agency at 911. Provide as much accurate information as possible, if it is safe to do so, stay on the line with the dispatcher.

APPENDIX S

PROTESTS / DEMONSTRATIONS

Institutions must establish procedures to manage protests and demonstrations on campus.

Civil Disturbance or Demonstration

Most campus demonstrations such as marches, meetings, picketing and/or rallies will be peaceful and non-obstructive. Demonstrations in a designated "Free Speech" area, if one exists, will not be stopped unless one or more of the following conditions exist:

- a) INTERFERENCE with normal institutional operations,
- b) PREVENTION of access to offices, buildings, or other institutional facilities,
- c) THREAT of physical harm to persons or damage to institutional grounds or facilities.

If any of these conditions exist, immediately contact the institutional law enforcement or local law enforcement. Law Enforcement will make notifications depending on the nature of the demonstration; the appropriate procedures listed below should be followed:

1. Peaceful, Non-obstructive Demonstration

- a. Generally demonstrations of this kind will not be interrupted. The demonstrations will not be obstructed or provoked, and efforts should be made to continue normal operations.
- b. If demonstrators are asked to leave but refuse to leave by regular facility closing time(s):
 - i. Arrangements will be made by law enforcement to monitor the situation during non-business hours or
 - ii. Determination will be made to treat the violation of regular closing hours as a disruptive demonstration

2. Non-violent, Disruptive Demonstrations

In the event that a demonstration blocks access to facilities or interferes with operations:

- a. Demonstrators will be asked to terminate the disruptive activity.
- b. The appropriate administrator will have a photographer/videographer with him or her to document the proceedings.
- c. Key institutional personnel and student leaders may be asked to go to the areas to persuade the demonstrators to desist.
- d. An official will go to the area to ask the demonstrators to leave or to discontinue the disruptive activities.
- e. If the demonstrators persist in the disruptive activity, they will be advised that failure to discontinue within a determined length of time may result in disciplinary action, including suspension or expulsion or possible intervention by the police. Except in extreme emergencies, the President / Director will be consulted before such actions are taken.
- f. Efforts should be made to secure positive identification, including photographs, of demonstrators in violation for later testimony.
- g. Legal Counsel will be consulted to determine the need for an injunction of civil authorities.
- h. If a court injunction is obtained, the demonstrators will be so informed. Those demonstrators who refuse to comply will be warned of the intention to arrest.

3. Violent Disruptive Demonstrations

In the event that a violent demonstration, one in which injury to persons or property occurs or appears imminent, the President / Director will be immediately notified.

a. During Regular Operational Hours

1. The appropriate senior administrator and necessary institutional or local police will be summoned to the scene.
2. Law enforcement will ensure sufficient officers are present to contain the violent/disruptive demonstrators.

b. After Regular Operational Hours (Be consistent with the use of capital letters.)

1. Institutional or local police should be immediately notified of the demonstration,
2. The appropriate official (s) will be notified to determine the following actions (only one is listed) to be taken: (This could be one sentence—The appropriate official(s) will be notified to determine which, if any, institutional official(s) shall respond to the scene.)
 - a. Determine which, if any, institutional official (s) shall respond to the scene.

The institutional police department / security officers should manage a violent protest. Any witnesses to violent, hostile or criminal behavior, should immediately contact the appropriate institutional or local law enforcement agency. In addition,

1. Leave the immediate area, whenever possible, and direct others to do so.
2. If the offender has weapons or is suspected of having weapons, take cover immediately using all available concealment. Close and lock doors, when possible, to separate everyone from any armed offender.

NOTE: Law enforcement will respond to the incident without counsel from others if an immediate response is of paramount importance to the safety and security of persons and/or property.

APPENDIX T

EXPLOSION, TRAIN OR AIRCRAFT CRASH ON OR NEAR CAMPUS

Institutions must implement procedures to respond to an explosion or aircraft crash on or near campus.

In the event an incident occurs involving the explosion or a downed aircraft on campus the following action will be taken:

1. Immediately take cover under tables, desks, and other objects for protection against falling glass or debris that may result from secondary explosions or facility damage.
2. Institutional police or local law enforcement should be notified as soon as possible.
3. If necessary, or when directed to do so, activate the building fire alarm. **CAUTION: THE BUILDING ALARM RINGS ONLY LOCALLY INSIDE THE BUILDING – REPORT THE EMERGENCY TO THE CAMPUS POLICE OR LOCAL POLICE AS SOON AS POSSIBLE.**
4. Assist individuals with disabilities in exiting the building. Do not use the elevators in case of fire.
5. Once outside, move to a clear area that is at least 1,000 feet away from the affected area. Keep streets and walkways clear for emergency vehicles and crews.
6. If requested, assist emergency personnel as necessary.
7. Do not return to an affected area unless instructed to do so. Stay clear of the emergency area and/or affected buildings to reduce the chances of interference with responding emergency personnel.

APPENDIX U

EMERGENCY TELEPHONE NUMBERS

(INSERT CAMPUS POLICE / SAFETY DEPARTMENT NUMBER)

(INSERT NECESSARY* CITY EMERGENCY CONTACT NUMBERS)

(INSERT NECESSARY* COUNTY EMERGENCY CONTACT NUMBERS)

(LOCAL HOSPITALS / CLINICS)

(LOCAL RED CROSS OFFICE)

* Fire, police, ambulance / paramedics, animal control, poison control, etc.

TENNESSEE BOARD OF REGENTS

Central Office (615) 366-4400

STATE OF TENNESSEE

Division of Water Control

Central Office-Nashville..... (615) 741-2275

Highway Patrol

Nashville..... (615) 741-2069

Nashville..... (615) 741-0001
1-800-262-3300

Tennessee Division of Occupational Safety and Health

Nashville..... (615) 741-2793

Southern Poison Control Center..... (800)-288-9999

Tennessee Emergency Management Association..... (615) 741-0640

National Weather Service (Nashville, TN Office).....(615) 754-4633

Tennessee Department of Public Health..... (615) 741-7305

TENNESSEE NATIONAL GUARD

If a determination is made that the Tennessee National Guard is needed on campus during the recovery, the President or Director will initiate their arrival by requesting the Chancellor to ask The Governor of Tennessee for the National Guard to be deployed to institution’s campus or campuses.

APPENDIX V

BUILDING CONTACT TELEPHONE NUMBERS

(INSERT THE NAME AND OFFICE TELEPHONE NUMBER OF ANY DESIGNATED INSTITUTIONAL EMERGENCY CONTACT PERSONS FOR CAMPUS BUILDINGS)

APPENDIX W

LOCAL UTILITY COMPANY TELEPHONE NUMBERS

1. **GAS SERVICE** (insert telephone number of local gas service company)

_____ has the responsibility of turning off main gas lines. During an emergency, these gas lines will be closed off as quickly as possible, when necessary, to prevent fire. Disruption of service could be complicated by broken or damaged gas lines, in which case reinstating service would take longer.

2. **WATER SERVICE** (insert telephone number of local water service company)

_____ has the responsibility of turning off main water valves to the campus. Any campus swimming pools or ponds can be used as reserve water sources. It is not advisable to use these water sources for drinking water purposes because of the accumulation of salts and acids in pool water and unknown contaminants in the pond; however, these water sources can be used for bathing, fire fighting or sanitary needs.

3. **ELECTRICITY** (insert telephone number of local electricity service company)

During a power outage there (are or are not) emergency lights located strategically throughout the campus buildings. These battery-operated lights should operate a minimum of two hours before beginning to lose power. _____ Electric System has (underground and/or above ground lines) running through the campus.

4. **SEWER / WASTE REMOVAL** (insert telephone number of local sewer / waste removal company)

APPENDIX X

EMERGENCY RESPONSE CAMPUS RESOURCES

1. **FIRE FIGHTING EQUIPMENT**

(Describe the location and type of campus fire fighting equipment (e.g. sprinklers, extinguishers, kitchen / cooking facility fire preventative equipment, dorm room sprinklers, etc.))

2. **MEDICAL SERVICES**

(Describe any on campus health services clinic, including the location, hours, and staff (e.g., nurse, doctor, etc.). Describe local clinics and hospitals. Describe how to access local paramedics.)

3. **HOUSING PERSONNEL**

(Describe the number of housing personnel (including full-time housing staff and student resident assistants. Describe their roles in emergency response services.)

4. PRINTS AND SITE MAPS OF CAMPUS FACILITIES

The prints of all campus facilities are stored at the _____. The prints are in (insert the specific location of the blueprints – e.g., file cabinet, safe, etc.).

5. GENERATORS

(Describe all on campus generators and portable generators. Describe the specific location of the generators.)

6. EMERGENCY EQUIPMENT

Listed below are emergency equipment and their locations:

(List all emergency equipment – tents, fork lifts, jack hammers, torches, chainsaws, etc.)