

# Tennessee Technological University

## Miscellaneous Policies & Procedures

Revision 1.0.C  
TTU Business Office

## Table of Contents

<b>Miscellaneous Policies &amp; Procedures .....</b>	<b>5</b>
<b>Policy on Classified Information .....</b>	<b>5</b>
<i>1.1 Designation of the Security Officer.....</i>	<i>5</i>
<i>1.2 Access to Classified Material.....</i>	<i>5</i>
<i>1.3 .....</i>	<i>5</i>
<i>1.4 Obtaining Clearance.....</i>	<i>8</i>
<i>1.5 Responsibilities of Management .....</i>	<i>9</i>
<i>1.6 Responsibilities of the Security Officer.....</i>	<i>9</i>
<i>1.7 Responsibilities of Cleared Employees .....</i>	<i>10</i>
<i>1.8 Responsibilities of All Employees .....</i>	<i>11</i>
<i>1.9 Reproduction of Classified Material.....</i>	<i>11</i>
<i>1.10 Classifications and Marking .....</i>	<i>11</i>
<i>1.11 Emergency Procedures .....</i>	<i>12</i>
<b>Covert Taping Policy .....</b>	<b>13</b>
<i>2.1 .....</i>	<i>13</i>
<b>2.2 .....</b>	<b>13</b>
<b>2.3 .....</b>	<b>13</b>
<b>2.4 .....</b>	<b>13</b>
<b>Facilities Naming Policy .....</b>	<b>14</b>
<b>3.1 Qualifications of Individuals or Groups .....</b>	<b>14</b>
<b>3.2 Selection of Individual or Group .....</b>	<b>14</b>
<b>3.3 Dedication Ceremony and Plaque.....</b>	<b>15</b>
<b>Policy for Food Purchases .....</b>	<b>16</b>
<b>4.1 Employee Group Meals .....</b>	<b>16</b>
<b>4.2 Guest Meals.....</b>	<b>17</b>
<b>4.3 Non-Employee Group Meals .....</b>	<b>18</b>
<b>4.4 Reimbursement or Payment Requests .....</b>	<b>19</b>
<b>Key Control Regulations .....</b>	<b>20</b>
<i>5.1 The University has adopted the following policies, regulations and procedures to better protect the University's property and ensure that keys are issued to the proper persons.....</i>	<i>20</i>

5.2 Regulations ..... 21

5.3 Procedures for the Issuance of Keys..... 22

5.4 Procedures for Returning Keys..... 22

5.5 Procedures for Lost, Stolen or Recovered Keys..... 22

5.6 Exceptions to this policy may be approved by the president or a designee. .... 23

**Publications Policies and Procedures..... 24**

6.0 Introduction..... 24

**6.1 Definition of Publication ..... 24**

**6.2 Approval of Publications ..... 25**

**6.3 Graphic Standards..... 26**

**6.4 Design and Layout Services..... 28**

**6.5 Examples of Publications as Defined by Policy..... 29**

**6.6 Higher Education Publications Committee Advisory Committee Members ..... 31**

**No Smoking & Tobacco-Free Campus Policy ..... 32**

**7.1 Policy ..... 32**

**7.2 Compliance and Enforcement..... 32**

**Job Descriptions for Upper Management..... 34**

8.1 President ..... 34

8.2 Vice President for Academic Affairs..... 34

8.3 Vice President for Business and Fiscal Affairs..... 34

8.4 Vice President for Student Services ..... 35

8.5 Vice President for University Advancement ..... 35

8.6 Director of Internal Audit ..... 35

8.7 Coordinator of Special Projects ..... 35

**Telephone Services..... 36**

9.1 Introduction..... 36

9.2 Local Service and Long Distance for Landline Phones (1+) ..... 36

9.3 Calling Cards..... 36

9.4 Incoming 800 Lines..... 37

9.5 Cellular Phone Service ..... 37

9.6 Desk/Office Phones..... 43

9.7 Harassing or Threatening Phone Calls ..... 43

*9.8 Telephones and Miscellaneous Telecommunications Equipment* ..... 43

**Library Selection of Collections - Faculty Participation**..... 44

*10.1 Policy* ..... 44

**10.2 Definitions**..... 44

**10.3 Procedure - General**..... 44

**10.4 Procedure - Specific budget allocations**..... 44

**10.5 Withdrawals** ..... 45

**USA Patriot Act**..... 47

*11.1 Information Request from a Law Enforcement Officer Procedure/Policy*..... 47

*11.2*..... 47

*11.3 Policy Actions* ..... 48

**Web Publishing Policy** ..... 49

**Exhibits** ..... 50

# Miscellaneous Policies & Procedures

## Policy on Classified Information

This University has entered into a legal and binding agreement with the U.S. Government which makes us eligible to perform work on classified contracts for certain agencies of the government and for prime contractors doing business with the government. Work of this nature may involve information, material and knowledge which has a direct bearing on the defense of the nation.

The following rules, procedures and instructions have been prepared in an effort to assure that we, Tennessee Technological University, adhere to the aforementioned agreement by affording proper protection for all classified information entrusted to us.

### 1.1 Designation of the Security Officer

An accountant in the Business Office is the designated Security Officer for this University. The Alternate Security Officer is the Vice President for Business and Fiscal Affairs.

### 1.2 Access to Classified Material

No employee or official of this University will be granted access to classified information because of his/her position. Certain employees and officials will be officially cleared for access to classified information based on work they are expected to perform in conjunction with classified contracts or sub-contracts.

**1.2.1** Employees and officials who have been granted security clearances are the only individuals who will be granted access to classified information.

**1.2.2** No uncleared employee shall make any effort to gain knowledge of classified information and if such knowledge is made available he/she shall report such facts immediately to the University Security Officer.

### 1.3

Each cleared employee must be thoroughly familiar with the definitions of the following words, terms and phrases which are peculiar to the Industrial Security Program.

#### 1.3.1 Access, Accessibility

The ability and opportunity to obtain knowledge of classified information. An individual, in fact, may have access to classified information by being in a place

where such information is kept, if the security measures which are in force do not prevent him from gaining knowledge of the classified information.

### **1.3.2 Alien**

Any person who is not a citizen or national of the United States.

### **1.3.3 Authorized Persons**

Those persons who have a need-to-know for the classified information involved and have been cleared for the receipt of such information. Responsibility for determining whether a person's duties require that he possess, or have access to, any classified information and whether he is authorized to receive it, rests upon the individual who has possession, knowledge or control of the information involved, and not upon the prospective recipient.

### **1.3.4 Classified Contract**

Any contract that requires or will require access to classified information by the contractor or his employees in performance of the contract. (A contract may be a classified contract even though the contract document is not classified.)

### **1.3.5 Classified Information**

Official information, including foreign classified information, which requires protection in the interest of national defense and which has been so designated by appropriate authority.

### **1.3.6 Closed Areas**

A controlled area established to safeguard classified material which, because of its size or nature, cannot be adequately protected by the safeguarding prescribed in paragraph 16 and cannot be stored during non- working hours in accordance with paragraph 14, Section IV of the Industrial Security Manual.

### **1.3.7 Compromise**

A loss of security due to an unauthorized person obtaining knowledge of classified information.

### **1.3.8 Confidential**

Designation which will be applied to information or material, the unauthorized disclosure of which could reasonably be expected to cause damage to the national security.

### **1.3.9 Contractor**

Any individual, company, corporation or educational activity that has entered into a security agreement with the government or who has a contract to perform work, services or produce a product for the government or a prime contractor doing business with the government.

### **1.3.10 Declassify**

To cancel the security classification of an item of classified material.

### **1.3.11 Downgrade**

To assign a lower security classification to an item of classified material.

### **1.3.12 Facility**

A plant, office, college or commercial structure with associated warehouses, utility activities, etc. which constitutes a composition business operation with all elements being at the same operational site.

### **1.3.13 Information**

Knowledge which can be communicated either orally, visually, or by any other means.

### **1.3.14 Material**

Any document, product or substance on or in which information may be recorded or embodied. Material will include everything, regardless of its physical character or makeup. Machinery, documents, apparatus, devices, models, photographs, recordings, reproductions, notes, sketches, maps and letters, as well as all other products, substances or material, will fall within the general form of material.

### **1.3.15 Need-to-know**

A determination made by the possessor of classified information that a prospective recipient, in the interest of national defense, has a requirement for access to (See Access, Accessibility definition), knowledge of or possession of the classified information in order to perform tasks or services essential to fulfillment of a classified contract or program approved by a user agency.

### **1.3.16 Secret Information**

Defense information and material, the unauthorized disclosure of which could result in serious damage to the national security.

### **1.3.17 Security**

Refers to the safeguarding of information classified Top Secret, Secret or Confidential against unlawful or unauthorized dissemination, duplication or observation.

### **1.3.18 Standard Practice Procedure (SPP)**

Procedural instructions prepared by each cleared facility which spells out in detail specific inhouse procedures for the protection and control of classified material.

### **1.3.19 Unauthorized Person**

Any person not cleared and not authorized to have access to specific classified information in accordance with the provisions of the Industrial Security Manual.

### **1.3.20 User Agency**

The Office of the Secretary of Defense (including all boards, councils, staffs and commands), Department of Defense agencies and Department of the Army, Navy and Air Force (including all of their activities); National Aeronautics and Space Administration; General Services Administration; departments of State and Commerce; the Small Business Administration; the National Science Foundation; Departments of Treasury, Transportation, Interior, Agriculture and Health, Education and Welfare, Labor; and the Environmental Protection Agency.

## **1.4 Obtaining Clearance**

When work to be performed in conjunction with classified contracts or sub-contracts necessitates that an employee or official be officially cleared for access to classified information, the employee should initiate the clearance process by contacting the Security Officer.

### **1.4.1 Termination or Leave**

At the time of termination of employment (discharge, resignation or retirement) and at the beginning of a layoff or leave of absence for an indefinite period, or a period in excess of twelve (12) months, the cleared employee is required to execute part II of DISCO Form 482.

### **1.4.2 Returning from Leave**

Cleared employees who are away from the University, for any reason, in excess of twelve (12) months must execute part 1 of DISCO Form 482 before being permitted access to classified information.

## **1.5 Responsibilities of Management**

Management at every level is responsible for supporting and enforcing all aspects of this security program. All management decisions relating to security shall be coordinated through the appointed Security Officer. No unclassified official of this University shall have the authority to over-ride the appointed Security Officer on matters relating to the Security Program.

## **1.6 Responsibilities of the Security Officer**

The appointed Security Officer shall be responsible for all aspects and phases of the Industrial Security Program at Tennessee Technological University. In pursuit of this mission he will:

**1.6.1** Have unrestricted access to all company officials on matters relating to the security program;

**1.6.2** Become thoroughly familiar with the Industrial Security Manual and maintain close liaison with the Cognizant Security Office and specifically the Industrial Security Representative(s) who visit the University;

**1.6.3** Issue necessary updates and changes to these instructions to assure that they remain current at all times;

**1.6.4** Establish necessary procedures to assure that all reports required by paragraph 6 of Industrial Security Manual are submitted on a timely and accurate basis;

**1.6.5** Make periodic inhouse inspections and surveys to assure that our security program is effective and that employees' security education is at an acceptable level;

**1.6.6** Be responsible for the Security Clearance Program to include timely submission of clearance applications, appropriate security briefings and debriefings as well as proper maintenance of all security files and records;

**1.6.7** As appropriate, establish necessary procedures and techniques to assure that all classified material is properly recorded, stored, protected and accounted for;

**1.6.8** Conduct a self-inspection program for the purpose of evaluating all security procedures applicable to the facility's operations. Schedule a formal self-inspection so as to occur at a reasonable interval, i.e., midway between regularly scheduled government inspections conducted by the cognizant security office. Self-inspections shall consist of an audit of all of the facility's operations in light of its SPP and the requirements of the Industrial Security Manual for Safeguarding classified information. As a minimum, self-inspection will include

all elements normally inspected by the cognizant security office. Deficiencies identified as a result of self- inspections shall be corrected as expeditiously as possible. The University shall maintain a record of the dates upon which the self-inspection has been accomplished, and this record must be available for review during the next regularly scheduled inspection by the cognizant security office; and

**1.6.9** Submit in writing, to the nearest field office of the FBI a report regarding any information coming to his attention as described in Paragraph 6.C. of the Industrial Security Manual.

## **1.7 Responsibilities of Cleared Employees**

Each employee shall be responsible for insuring the integrity of the Security Program at Tennessee Technological University. In pursuit of this mission each employee will:

**1.7.1** Become thoroughly familiar with, and abide by the contents of this set of instructions;

**1.7.2** Seek guidance and assistance from the Security Officer on all doubtful matters relating to security and the protection of classified information;

**1.7.3** Notify the Security Officer immediately if any member of his/her immediate family, or his/her spouse's immediate family, through marriage gains a close relative who resides in a communist country;

**1.7.4** Immediately notify the Security Officer of all questionable or suspicious contacts with nationals or representatives of Communist countries. A questionable or suspicious contact in this regard is any personal exchange, encounter or relationship, which is determined to consist of an actual, probable or possible hostile intelligence collection effort;

**1.7.5** Notify the Security Officer at least 30 days in advance of any planned trip to, through or over a communist country or attendance at an international scientific, technical, engineering or other professional meeting regardless of geographic location when it can be anticipated that representatives of communist countries will participate or be in attendance. Contractor shall submit a report in accordance with Paragraph 5.u. to DISCO upon completion of travel to or through communist countries (see Paragraph 6.b.) (9) Industrial Security Manual; and

**1.7.6** Notify the Security Officer upon making a decision to take an extended leave of absence or to leave the employ of the University. Appropriate arrangements must be made for a termination interview.

## **1.8 Responsibilities of All Employees**

Any employee having knowledge of the loss, compromise or suspected compromise of classified material shall:

**1.8.1** If the situation becomes known while in our facility, report all available information immediately to the Security Officer.

**1.8.2** If the situation becomes known while outside the facility, report all available information immediately to the nearest office of the Federal Bureau of Investigation.

## **1.9 Reproduction of Classified Material**

No classified material shall be reproduced except under the personal supervision of the Security Officer or the Alternate Security Officer.

**1.9.1** All reproductions will be made in accordance with paragraph 18 of the Industrial Security Manual.

**1.9.2** Only the equipment located in the Business Office will be utilized.

**1.9.3** All other equipment will be posted "Reproduction of Classified Material is prohibited".

## **1.10 Classifications and Marking**

### **1.10.1 Classification Determination of Documents**

Classification determination and additional markings for documents generated at this facility will, except in unusual situations, be based on (1) the Classification Guidance (DD Form 254) furnished by a User Agency/Prime Contractor, or, (2) the already existing classification of source documents is involved the generated material shall contain the same classification and markings as the source item. In those cases where multi-documents and references are used, the provision of Appendix II, paragraph C.4B (1) (ISM) will apply.

### **1.10.2 Development of Classified Documents**

In very rare cases this facility may develop or generate a document, unsolicited proposal, etc. that we feel should be classified but for which we have no guidance or firm information on which to make a classification determination. In all such cases the Facility Security Officer will be immediately notified and the item will be processed in accordance with paragraph 10.g (2) of the Industrial Security Manual.

## **1.11 Emergency Procedures**

In case of any emergency which jeopardizes the safeguarding of classified information, the following actions, as appropriate based on existing conditions, shall be taken in the order listed: 1.11.1 Secure all classified material in the Security container;

**1.11.2** Assign personnel to protect security container;

**1.11.3** Request assistance from local law enforcement agencies;

**1.11.4** Notify Cognizant Security Officer, Defense Investigative Service, Atlanta, GA. Phone (404)432-0826; and

**1.11.5** Notify local Federal Bureau of Investigation Office at 526-8622.

# Covert Taping Policy

## 2.1

As a policy, covert taping (defined as audio or visual recording without the permission of all parties concerned) is prohibited at Tennessee Technological University.

## 2.2

Exceptions may be made in cases involving allegations of sexual harassment or similar circumstances, and for the regular operation of the Office of Safety and Security, but only with the prior written permission of the University's President or Affirmative Action Coordinator stating the purpose of the taping.

## 2.3

Students must obtain the instructor's permission before taping lectures or instructional activities.

## 2.4

Violation of this policy will result in a letter of reprimand being placed in the guilty party's file for the first offense. Subsequent offenses will result in the application of the provisions of the Tennessee Technological University [Policy on Academic Freedom, Responsibility, and Tenure](#), Section II.07 (Termination for Adequate Cause, Subsection III.15 (b)) for faculty members; of the [Student Handbook](#), Section 0240-3-6.04 (Disciplinary Sanctions) for students; or Tennessee Technological University Policies and Procedures, [Human Resource Services Policies and Procedures, Section 21.2.1.A](#) (Termination for Cause) for administrative or clerical/support staff.

## Facilities Naming Policy

The naming of buildings, facilities, grounds and organizational units of institutions for individuals or groups who have made significant contributions to society is an honored tradition of higher education. The prerogative and privilege of naming on the campuses of the Tennessee Board of Regents System is vested in the Board. Recommendations are developed by the campus presidents. The purpose of this policy is to establish criteria and process for the University campus.

This policy applies to all buildings. It also applies to other facilities, grounds and organizational units which the University wishes to dedicate in the name of an individual or group. For simplicity in this policy, all will be considered "buildings." Buildings designated by their general purpose or functions are not subject to this policy.

### 3.1 Qualifications of Individuals or Groups

**3.1.1** In general, individuals and groups for whom buildings are named must have made a significant contribution to the field of education, government, science or human betterment. To preserve the integrity of all buildings named at the University, this honor must be reserved for individuals of recognized accomplishment and character; no building may bear the name of an individual convicted of a felony. In naming a building, facility or organizational unit, special consideration shall be given to:

- A.** The historical significance of the contribution of the individual or group to the University;
- B.** The association of the individual or group with the unit being named;
- C.** Any financial contribution of the individual or group to the University;
- D.** State, regional, national or international recognition of the individual's or group's contributions and achievements.

**3.1.2** A given surname may be assigned to only one building at Tech. No building shall be named for a current employee.

### 3.2 Selection of Individual or Group

**3.2.1** The President shall charge an ad-hoc committee to consider and make recommendations to him/her for the naming of a specific building, facility or organizational unit. The committee shall be comprised of one student, two faculty and two administrative representatives, as a minimum; other representatives of the University community may serve on the committee, as deemed appropriate by the President. The President shall appoint the chairperson of the committee.

**3.2.2** The committee shall consider all suggested namings which satisfy the criteria cited above. Any individual or group associated with the University may suggest a name for consideration by the committee.

**3.2.3** The committee shall submit a report to the President, which includes a recommendation for naming, documentation of all suggestions considered and justification of its recommendation.

**3.2.4** The President shall submit his/her recommendation, along with the committee's report and any additional supporting information deemed appropriate, to the Board through the Chancellor.

**3.2.5** No publicity shall be given the recommendation for naming until it is considered by the Board.

### **3.3 Dedication Ceremony and Plaque**

**3.3.1** Upon approval on the naming by the Board, an appropriate dedication ceremony may be planned and conducted. A dedication plaque or comparable marking may be erected at that ceremony. All building plaques must comply with TBR guidelines adopted pursuant to the TBR policy and State Building Commission policy on building plaques. The plaque may be separate from the plaque required by state regulations. In addition to the individual or group for whom the building is named, the plaque should identify the President, the Chancellor and the Chairman of the Board at the time the naming was approved.

## **Policy for Food Purchases**

Tennessee Board of Regents policy requires specific approval for the purchase of meals other than those purchased by an individual in a state of travel. Food purchases requiring specific approval and the policies and procedures for obtaining such approval are listed below. Exceptions to this requirement may be granted only by the President of the University.

### **4.1 Employee Group Meals**

This includes both regular meals and refreshments for a group of University personnel not in a state of travel. The incidental presence of one or more guests will not change the classification if the occasion is primarily intended for the group of employees. The University may pay or reimburse properly documented meals whose primary purpose is a business discussion. The University, however, does not anticipate there will be many of these requested.

**4.1.1** Meals and refreshments for employee groups may be purchased only when unusual circumstances prevail. The President's or appropriate Vice President's approval must be secured before payment of any and all employee meals and is to be requested in advance of the event. IRS rules on substantiation of business expenses require documentation of time, date, place, specific topic of discussion and attendees at the meal. The detailed information should be maintained in the department, college or administrative office for periodic review.

**4.1.2** Food purchases for office or departmental retreats/workshops are considered to be personal expenses of the participants.

**4.1.3** Advance written approval must be secured from the President or appropriate Vice President and maintained in the department, college or administrative office for periodic review. The request must be routed through and have the concurrence of the appropriate dean/director and vice president.

**4.1.4** Contracted University Dining Services should be utilized when facilities can be scheduled. If other facilities or services are utilized, justification must be provided.

**4.1.5** No disbursement or reimbursement will be made from University funds for the cost of alcoholic beverages. Alcoholic beverages are not permitted on University property. The President of each four- and two-year institution is authorized to, and may from time to time designate a place on property owned or controlled by the institution where alcoholic beverages may be served by alumni and foundation organizations at a function or event sponsored by said organization.

**4.1.6** Retirement events will be allowed in accordance with University policies. Departmental accounts may fund up to \$100.00 per event. This amount may be spent with contracted University Dining Services only. Any excess expenditures must be paid as personal expenses by sponsoring individuals.

## **4.2 Guest Meals**

This applies when one or more University employees purchase meals or refreshments for a University guest or guests. The University may pay or reimburse properly documented meals whose primary purpose is a business discussion.

**4.2.1** These provisions for guest meals apply when a University official is being reimbursed for meals purchased for a guest and do not apply when a guest will be reimbursed for meals which are purchased by the guest. Please note that the cost of meals for persons performing services under a contract with the University should ordinarily be included in the terms of the contract. "Guest meals" include both the guests and University personnel in the same party.

**4.2.2** The approval of the appropriate academic or administrative officer must be secured before reimbursement of any and all guest meals. The approval may be secured in advance or after the fact as noted below.

**4.2.3** Contracted University Dining Services should be utilized when facilities can be scheduled. Meals provided by contracted dining services may be approved by the appropriate academic or administrative office. No Request for Food Purchase form is necessary when using contracted University Dining Services. IRS rules on substantiation of business expenses require documentation of time, date, place, specific topic of discussion and attendees at the meal. The detailed information should be maintained in the department, college or administrative office for periodic review.

**4.2.4** Advance written approval may be secured for a non-contracted dining services meal by submitting a properly completed Request for Food Purchase form (Exhibit A-14) routed through and have the concurrence of the appropriate academic or administrative officer. IRS rules on substantiation of business expenses require documentation of time, date, place, specific topic of discussion and attendees at the meal. The detailed information should be maintained in the department, college or administrative office for periodic review.

**4.2.5** After-the-fact written approval may be secured by routing the request through appropriate channels to the appropriate academic or administrative officer. When advance written approval is not received, the purchaser assumes the risk that the reimbursement may be disallowed.

**4.2.6** Reimbursement for meals purchased off-campus will not exceed actual costs. (Maximum reimbursement will be limited to twice the rate provided for

regular travel reimbursement in-state.) Receipts and a Request for Food Purchase form must be provided.

**4.2.7** Costs for guest meals purchased off-campus may not be charged directly to the University without the specific advance approval of the Vice President for Business and Fiscal Affairs.

**4.2.8** No disbursement or reimbursement will be made from University funds for the cost of alcoholic beverages. Alcoholic beverages are not permitted on University property. The President of each four- and two-year institution is authorized to, and may from time to time designate a place on property owned or controlled by the institution where alcoholic beverages may be served by alumni and foundation organizations at a function or event sponsored by said organization.

### **4.3 Non-Employee Group Meals**

This applies when meals or refreshments are purchased for a non-employee group, such as conference or institute participants. The incidental presence of one or more University employees will not change this classification if the occasion is primarily for a non-employee group.

**4.3.1** This provision applies to meals and refreshments purchased for participants in conferences, institutes, and similar non-employee group activities where the food is provided as a part of the regular planned program and funding is specifically provided as a part of a separate approved program budget. Food items may not be purchased from departmental funds for participants in a regularly scheduled credit class.

**4.3.2** Approval of these meals must be granted by the appropriate supervisor.

**4.3.3** Advance written approval may be secured for non-contracted dining services by submitting a Request for Food Purchase form (Exhibit A-14) through proper channels to the appropriate approving official. IRS rules on substantiation of business expenses require documentation of time, date, place, specific topic of discussion and attendees at the meal. The detailed information should be maintained in the department, college or administrative office for periodic review.

**4.3.4** Contracted University dining services should be utilized when facilities can be scheduled. An explanation should be provided if other facilities are utilized. Approval for contracted dining services should be documented with the appropriate approving official. No Request for Food Purchase form is necessary when using contracted University dining services. IRS rules on substantiation of business expenses require documentation of time, date, place, specific topic of discussion and attendees at the meal. The detailed information should be maintained in the department, college or administrative office for periodic review.

**4.3.5** No disbursement or reimbursement will be made from University funds for the cost of alcoholic beverages. Alcoholic beverages are not permitted on University property. The President of each four- and two-year institution is authorized to, and may from time to time designate a place on property owned or controlled by the institution where alcoholic beverages may be served by alumni and foundation organizations at a function or event sponsored by said organization.

**4.3.6** The request for reimbursement or payment should include the identification of all persons being served, but need not necessarily include specific names. For example, those served can be identified as "30 registered conference participants and guests," subject to there being available for audit a roster, registration list or other information which could be used to identify the persons being served. Reimbursement for refreshments also does not require the listing of individual names, but does require identification of the function and the estimated number of people served. The approving official is responsible for ensuring adequate documentation exists to support payment under this provision.

#### **4.4 Reimbursement or Payment Requests**

All reimbursement or payment requests for non-contracted dining services events must be submitted with a properly approved Request for Food Purchase form (Exhibit A-14). All sections of the form must be completed.

**4.4.1** Vendor receipts or invoices must be attached. The receipt form may vary depending on what the vendor will provide. The receipt must clearly support the dollar amount, identify the vendor and indicate payment. In addition to an itemized receipt, IRS rules on substantiation of business expenses require documentation of time, date, place, specific topic of discussion and attendees at the meal. The detailed information should be maintained in the department, college or administrative office for periodic review. Individual receipts, for each occasion, are required. The listing of "restaurant charge" on a hotel folio will not be adequate.

**4.4.2** The approved Request for Food Purchase form, the receipt(s), a request for payment or travel claim and a requisition should be submitted to the Business Office for processing. The name of the employee to whom reimbursement should be made or the vendor to whom payment should be made must be entered under "Make Payment or Reimbursement to:".

**4.4.3** When Contracted University Dining Services are utilized, the approved documentation should be maintained in the department, college or administrative office for periodic review. In addition to an interdepartmental transfer, IRS rules on substantiation of business expenses require documentation of time, date, place, specific topic of discussion and attendees at the meal.

## Key Control Regulations

**5.1** The University has adopted the following policies, regulations and procedures to better protect the University's property and ensure that keys are issued to the proper persons.

**5.1.1** University personnel or others permanently assigned to University buildings may be issued keys to University buildings upon the recommendation and approval of the proper authority in accordance with established procedures. Personal responsibility is assigned to individual key holders. Students may have access to keys; however, responsibility for keys remains with the academic or administrative unit to whom they are assigned. Issuance, control and recovery of all keys assigned to an academic or administrative unit shall be the responsibility of the academic or administrative officer.

**A.** Keys will be issued for entry to University buildings for conducting University business only.

**B.** An authorized individual entering or leaving a locked building shall not permit any individual to enter who would not normally be permitted to enter the building during the hours that it is locked. Guests may be permitted to enter with an authorized individual. The authorized individual assumes full responsibility for the presence of guests.

**C.** An individual entering or leaving a locked building shall be responsible for securing the door.

**5.1.2** All keys remain the property of Tennessee Technological University and shall be returned to the assigned academic or administrative unit if any of the following conditions exist:

**A.** For University personnel or others permanently assigned to University buildings:

1. Upon termination of employment;
2. Upon transfer to another department or building; or
3. Upon the request of the academic or administrative officer.

**B.** For students (non-housing with key access):

1. Upon the request of the Director of Housing or academic or administrative officer; or

**2. Upon separation from the University.**

**C. Housing students are to follow Housing Key Policies and Regulations while utilizing dorm areas.**

**5.1.3** Individuals transferring to another department or building may be issued new keys upon the approval of the proper authority.

**5.1.4** In no case is a key to be obtained or duplicated from any source than Facilities and Business Services.

**5.1.5** All locks shall be keyed to the University lock system to maintain system integrity. Any combination lock shall have a key bypass to the University lock system.

**5.1.6** If a department desires to have a lock re-keyed, that department shall pay for the change.

**5.1.7** All key and lock changes are to be made through Facilities and Business Services.

**5.2 Regulations**

**5.2.1** Keys to University-owned cabinets, lockers, drawers, closets, etc., within buildings (including Housing facilities) are not covered under these policies. Keys shall be furnished upon request when available; but the issuance, control and recovery shall be the responsibility of the academic or administrative officer.

**5.2.2** Keys are divided into the following types and shall be supplied only when approved by the proper authority: A. Great Grand Master approved by president or designee; B. Building master, sub-master, classroom, laboratory, office or outside door approved by academic or administrative officer; and C. Housing room or apartments approved by the Director of Housing.

**5.2.3** Applications for keys must be made on either the New Key Request Form or the Key Transferal Form (See [Exhibits M-1](#) or [M-2](#)).

**5.2.4** Before the end of each academic year, each department will be provided a list of individuals and their assigned keys. Each academic or administrative officer will be required to certify annually the accuracy of this list. Any discrepancies shall be fully explained for inventory adjustments.

**5.2.5** New keys issued because of a cylinder change shall be distributed using the same procedures as those for original key requests.

### **5.3 Procedures for the Issuance of Keys**

**5.3.1** To request new keys, the individual shall initiate the New Key Request Form ([Exhibit M-1](#)), obtain authorization and forward the form to Facilities and Business Services.

**5.3.2** All keys shall be picked up and signed for by the applicant in the Office of Facilities and Business Services. Facilities and Business Services will forward the completed form to the responsible academic or administrative unit.

**5.3.3** Existing keys may be re-issued by the responsible academic or administrative unit upon the completion of a Key Transferal Form ([Exhibit M-2](#)).

**5.3.4** All completed New Key Request Forms and Key Transferal Forms are to be maintained by the responsible academic or administrative unit and are subject to audit.

### **5.4 Procedures for Returning Keys**

**5.4.1** All keys shall be returned to the responsible academic or administrative unit.

**5.4.2** At the time a key is returned, the key return section of the Request for Transferal Form is to be completed.

**5.4.3** When leaving the University, each individual is required to present a completed copy of the Request for Transferal Form during the exit interview in Human Resource Services.

**5.4.4** Final paychecks may be held by Human Resource Services until documentation is presented that keys have been returned.

### **5.5 Procedures for Lost, Stolen or Recovered Keys**

**5.5.1** Individuals shall report lost or stolen keys by forwarding a memorandum to the responsible academic or administrative officer with a copy going to Safety and Security.

**5.5.2** Safety and Security shall investigate each incident of lost or stolen keys.

**5.5.3** Safety and Security shall direct lock changes needed because of a breach in security.

**5.6 Exceptions to this policy may be approved by the president or a designee.**

# Publications Policies and Procedures

## 6.0 Introduction

The Tennessee state legislature mandated in 1977 that certain controls be placed on publications produced by state agencies and directed the various branches of state government to establish policies and procedures to carry out that function. A Higher Education Publications Committee (HEPC) composed of the heads of the Tennessee Higher Education Commission, the State University and Community College System, and the University of Tennessee system was established in accordance with the legislation (Tennessee Code Annotated 12-7-106-8).

In 1979, the HEPC established rules and regulations which require Tennessee Technological University and other state universities, community colleges and technical institutes to review publications prior to their production. The intent is to ensure that these publications are produced economically, are consistent with the publication's goals and are appropriate for the projected audiences of the publication. These rules and regulations were revised in 1990.

In 1979, Tennessee Tech established minimum graphic standards to ensure that all printed material by any entity associated with the University and that represents the University reflect a desirable image in a clear, consistent, and forceful manner. A logo was adopted for use on letterhead and publications.

Tennessee Tech has established a publication policy that meets the requirements of the HEPC and the Tennessee Board of Regents (TBR) and enables the University to monitor its graphic standards while providing assistance to faculty and staff in their publication efforts. This policy was revised in 1991, 1995, 1999 and 2001.

For each publication, the HEPC requires the Office of Public Affairs to 1) review it, 2) determine if its printing is justified, 3) maintain information about it, 4) assign it an authorization number, and 5) ensure that it is affixed with Tennessee Tech's affirmative action statement.

## 6.1 Definition of Publication

Materials defined as "publications" by the HEPC which are subject to these policies and procedures are: (1) any University printed material which is intended to be seen by any off-campus person, group or organization, whether the material is used on campus or off campus, and (2) any University material intended to be seen by either on-campus or off-campus groups if it is printed by a commercial printer.

Forms are considered publications under HEPC guidelines if they meet the other criteria for publications. Excluded from the policy are student publications and

materials which are produced on campus for on-campus use only, including research project reports, research survey materials, classroom testing materials and instructional materials.

## **6.2 Approval of Publications**

All publications, whether new or revised, must be reviewed, approved and assigned a publication number by the Office of Public Affairs. The Purchasing Office cannot issue a requisition for the printing of any Tennessee Tech publication without the approval of the Office of Public Affairs (TCA 12.7.106 [d]).

The graphic artist and the Assistant Director-Publications work with the originator of the publication to ensure that the publication is produced economically, fulfills its intended use, and is consistent with University graphic standards. Minimally, this involves assigning an authorization number; ensuring proper use of logo, affirmative action statement and TBR identifier; writing and printing specifications; and designating the publication for printing either by Printing Services (preferred and generally least expensive) or an off-campus printer. All publications should be produced on campus when economically feasible.

Specifications and the assignment of the publication to Printing Services or an off-campus vendor are recorded by the graphic artist and/or the Assistant Director- Publications on a Publications Authorization Form. One copy is retained by the graphic artist to serve as a record of University publications, and one copy is delivered to either Printing Services or Purchasing, depending on where the publication is printed. The completed form indicates the publication has been reviewed and approved by the Office of Public Affairs and the originator, as required, and also provides printing and/or bid specifications. Printing Services will not print publications as defined in Miscellaneous Policies and Procedures, Section 6.1, nor will Purchasing and Accounts Payable process a requisition for off-campus printing unless it has been reviewed and approved by the Office of Public Affairs.

In the event that a publication does not require review by Public Affairs, and Printing Services has approved the publication's printing by an off-campus printer, Printing Services will provide an authorization form to be delivered to Accounts Payable or Purchasing with the publication's requisition.

In order to demonstrate proper authorization prior to printing, the HEPC requires that the Office of Public Affairs assign a number to each publication as part of the approval process. Records of assigned numbers are maintained on campus and periodic reports may be requested by the HEPC or TBR. The numbering system incorporates institutional identification, a sequential number from the Office of Public Affairs, a Printing Services job number, and the year of printing. The number must appear as part of the printed publication. (See Miscellaneous

Policies and Procedures, Section 6.5 for examples of publications that do and do not require authorization numbers.)

In addition, the TBR also requires an appropriate identifier on publications (See Miscellaneous Policies and Procedures, Section 6.3.3), and Tennessee Tech requires that publications include affirmative action statements, as follows:

Tennessee Technological University is a Constituent University of the Tennessee Board of Regents. TTU is an EEO/AA/Title IX/Section 504/ADA University.

## **6.3 Graphic Standards**

### **6.3.1 Logo**

The main element of the University's visual identity is the official logo, represented by the interlocking TTU. The official logo must appear on all University publications. Other logotypes are not authorized for use on University materials, with the exception of the University's athletics symbols and the University Seal, which is discussed in Miscellaneous Policies and Procedures, Section 6.3.2.

The logo may not be altered. It must remain in the proportion as originally designed. Embellishments such as stars, borders, type (other than authorized logo/wordmarks) or drawings constitute alterations and are not permitted. The logo may not be used as a background for surprinting. Placement of the logo next to another organization's logotype or another stylized graphic device is allowed only in special circumstances.

It is preferred that the logo be printed in black or in the University's colors--either purple (PMS 266) or yellow (PMS 109). In four-color publications, process color approximating PMS 266 or PMS 109 is permissible. If a publication is printed in a single color other than black, purple or yellow, the logo may be printed in the alternate color as well.

Camera-ready reproductions of the logo and wordmarks are available from the graphic artist and must be used for printed or paper-based publications so that technical quality is maintained. To aid in Internet, video, multimedia and computer presentations, digital files of the logo and wordmark are also available through the Office of Public Affairs. The use of other computer-generated recreations of the logo (photocopied, cut out of an existing publication or scanned) is prohibited.

### **6.3.2 University Seal**

The University Seal is used only on official documents on formal occasions. It is not to be used in place of the logo. Its use on publications requires approval of the President.

### **6.3.3 Stationery**

Only letterhead stationery in the format specified can be used. Letterhead is to be printed on 24-pound white bond, 8 1/2 by 11 inch paper with the logo/wordmark and the campus user's address in black ink. Text is Times. The width of the logo is 3/4 of an inch. It is placed one inch from the left edge of the sheet and 3/4 of an inch from the top of the sheet. The name of the campus unit, users' address and telephone and fax numbers are separated from the wordmark by a hairline rule and are aligned with the left edge of the wordmark. Office street addresses, building locations, internet usernames and World Wide Web urls are optional. (Only department or unit e- mail usernames are permitted on letterhead; no individual accounts are permitted. Only department or unit urls--those that are linked to the University's web site--are permitted; no personal sites are permitted.) An academic unit's specific programs, limited to two lines, are optional. Directory information shall not exceed five lines.

TBR guidelines require that all 8 1/2 by 11 letterhead include the following identifier:

Tennessee Technological University is a Constituent University of the Tennessee Board of Regents.

Less expensive inter-office memoranda stationery is for internal and informal correspondence. The overall size of memoranda stationery shall be one-half or one-fourth that of regular letterhead and shall follow the same design format as regular stationery. Individuals' names may not be printed on either regular stationery or inter-office memoranda stationery. Note cards or other stationery items must be approved and produced by Public Affairs.

Style Sheet examples are available in the Office of Public Affairs.

### **6.3.4 Envelopes**

Envelopes in various sizes are printed on white wove, 24-pound stock, with the logo/wordmark and the campus user's address in black ink. The width of the logo on standard No. 10 envelopes is 3/4 inch. It appears 1/2 inch from the left edge of the envelope and 1/2 inch from the top. Campus users' addresses appear 1/8 inch to the right of and in line with the top of the logo's interlocking Ts. Text is Times.

### **6.3.5 Business Cards**

Business cards are printed by Printing Services on white 80-pound cover stock or equivalent, 2 x 3 1/2 inches, in black ink or in the University's colors, purple (PMS 266) and yellow (PMS 109), plus black. The width of the logo on business cards is 1/2 inch. The logo and wordmark appear in the top left corner. The logo/wordmark is positioned 3/16 inch from the left side and top of the card. A campus user's name, title and office or department name are aligned flush left with the wordmark, 3/4 of an inch from the top of the card. Style Sheet examples are available in the Office of Public Affairs.

Directory information is separated from the user's name/title/office by a hairline rule printed in a 50 percent screen and aligned with the wordmark. Directory information can include campus address and/or street address, office phone and fax numbers, electronic mail address, web site url, and home telephone and fax numbers. Text is Times. Business cards in other designs or containing graphic devices other than the logo, or text other than specified above, are not authorized. Name/title/office and directory information shall not exceed eight lines.

### **6.3.6 Exceptions**

There are times when special events warrant the temporary use of artwork replacing the University's official logo. Tennessee Tech's recent capital campaign is an example of a special situation. The Sharing the Vision capital campaign was five years in duration; after its conclusion, its art was no longer used in place of the University logo.

Any deviation from the use of the official University logo must be approved through the Office of Public Affairs.

## **6.4 Design and Layout Services**

The Publications Office in the Office of Public Affairs is required by the HEPC to review publications before printing to ensure economical reproduction, compliance with University graphic standards, and quality control in content and design. The graphic artist and Assistant Director- Publications are available to design and/or layout and write publications for faculty and staff members. The graphic artist and Assistant Director-Publications may suggest ways in which time and money can be saved in the production of publications, but early consultation is necessary in order to take advantage of such savings.

The Publications Office will produce a design that satisfies both the originator of the publication and the Office of Public Affairs, but mechanical limitations of the printing process, appropriateness of time and cost, consideration of the publication's audience, and consistency with professional design standards and University graphic standards will have a bearing on the final design.

All copy submitted for use in a publication will be read and checked for accuracy in spelling, grammar and punctuation. Changes may be made to clarify, reduce repetition, avoid ambiguity, correct factual errors or smooth out rough passages. Questions about the content or suggestions for major textual revisions will be directed to the author. The Office of Public Affairs may provide assistance with the initial copy preparation, although originators of publications are generally responsible for producing complete, accurate and grammatically correct copy. Final copy must have the approval of both the originator and Public Affairs.

## **6.5 Examples of Publications as Defined by Policy**

**6.5.1** For purposes of complying with Public Chapter 563 of 1982, publications may be defined as any printed matter which is produced for general distribution outside the campus or unit. Examples of publications which require an authorization number are:

**6.5.1.1** Student recruiting brochures, pamphlets, posters, fliers, etc.

**6.5.1.2** Undergraduate and graduate catalogs

**6.5.1.3** Admissions applications (if printed not as part of a catalog)

**6.5.1.4** Residential applications

**6.5.1.5** Financial aid applications

**6.5.1.6** Brochures, posters, calendars, pamphlets, fliers, programs, etc., promoting cultural or athletic events

**6.5.1.7** Alumni and development solicitation materials

**6.5.1.8** Seminar and workshop registration forms, brochures, etc.

**6.5.1.9** Research project reports (if printed for general distribution to other than institutional officials and the sponsoring agency)

**6.5.1.10** Community service informational brochures, pamphlets, etc.

**6.5.1.11** Treasurer's reports and other financial documents provided to parties outside the institution

**6.5.1.12** Campus telephone directories

**6.5.1.13** Employee benefits booklets, posters, etc.

**6.5.1.14** Purchasing requests for bids

**6.5.1.15** Purchase orders

**6.5.1.16** Employment applications

**6.5.1.17** Placement forms

**6.5.1.18** Athletic ticket applications

**6.5.2** Other publications which must have an authorization number, but are not as a rule produced for the general public, are:

**6.5.2.1** Campus, college and department newsletters, tabloids, magazines, etc.

**6.5.2.2** Faculty and student handbooks

**6.5.2.3** Employee training manuals

**6.5.3** Certain printed materials which are intended solely for internal use may be excluded from the requirement that an authorization number be affixed. Examples of such internal use publications are:

**6.5.3.1** Work processing forms for internal use, e.g., work orders, requisitions, transfer vouchers, voucher authorizations, vehicle requests, personnel action forms and similar documents used solely for the internal processing of work.

**6.5.3.2** Research project reports (if printed for distribution solely to institutional officials or the sponsoring agency) **6.5.3.3** Research survey instruments

**6.5.3.4** Classroom testing instruments

**6.5.3.5** Instructional materials, e.g., workbooks, laboratory manuals, etc., even if sold on consignment at a campus bookstore

**6.5.3.6** Personnel policy manuals

**6.5.3.7** Fiscal policy statements

**6.5.3.8** Grade reports

**6.5.3.9** Tickets for cultural and athletic events (whether distributed internally or externally)

**6.5.3.10** Student newspapers

**6.5.3.11 Student yearbooks**

**6.5.3.12 Meal tickets**

**6.5.3.13 Traffic citations**

**6.6 Higher Education Publications Committee Advisory Committee Members**

Charles Holmes, Chair  
Director of University/Community Relations  
Memphis State University

Jim Bennett  
Assistant Vice President for University Relations  
University of Tennessee System

Dennie Burk  
Director of Public Affairs  
Austin Peay State University

Martha Henegar  
Director of Marketing and Public Relations  
Nashville State Technical Institute

Fred Sauceman  
Director of Alumni and University Relations  
East Tennessee State University

George Walker  
Director of Publications  
Shelby State Community College

Ann Whiteside  
Coordinator of Community Relations, Information and Publications  
Volunteer State Community College

## **No Smoking & Tobacco-Free Campus Policy**

Tennessee Tech University (TTU) agrees with the US Surgeon General that tobacco use in any form, active and/or passive, is a significant health hazard. TTU further recognizes that environmental tobacco smoke has been classified as a Class-A carcinogen, and that the State of Tennessee is actively dissuading its employees from smoking. TTU supports the American College Health Association Position Statement on Tobacco on College and University Campuses ([www.acha.org](http://www.acha.org), Feb 2005). Due to these health risks, TTU has adopted a NO SMOKING & TOBACCO-FREE CAMPUS policy.

### **No Smoking & Tobacco-Free Campus**

#### **7.1 Policy**

Effective January 1, 2010, TTU is a No- Smoking & Tobacco-Free Campus, with all smoking ('herbal' and tobacco) and all other tobacco usage permitted only in private vehicles. This policy applies to all university buildings and grounds; TTU-affiliated off-campus locations and clinics; and any buildings or properties owned, leased or rented by TTU in all other areas. Smoking & tobacco use continues to be prohibited in all state vehicles. This no smoking & tobacco-free campus policy is in effect 24 hours a day year-round.

#### **Background**

The university promotes a healthy, sanitary environment free from all smoke ('herbal' and tobacco) and tobacco-related debris. The TTU community acknowledges that long-term health hazards may accrue to people who use tobacco products or who are subjected to second-hand smoke. The failure to address the use of tobacco products on campus would constitute a violation of the Americans with Disabilities Act, the Vocational Rehabilitation Act and Tennessee law.

#### **Support**

Understanding the addictive nature of tobacco products, TTU will make every effort to assist those who may wish to stop using tobacco. TTU Human Resources, Health Services and Counseling Center offer current information about available resources. The State offers toll-free assistance at 1-800-QuitNow (1-800-784-8669). The American Cancer Society offers free counsel to individuals wanting to quit.

#### **7.2 Compliance and Enforcement**

It is the responsibility of all members of the TTU community and visitors to comply with this no smoking & tobacco-free campus policy. Violations of the policy will be dealt with in a manner that is consistent with university procedures. There shall be no reprisals against anyone reporting violations of this policy.

## **No Smoking & Tobacco-Free Campus Enforcement Policy**

All employees and students are encouraged to remind visitors to the campus who violate this policy that TTU is a no smoking & tobacco-free campus. Visitors who refuse to abide by the policy will be asked to leave the campus.

Student violations of this policy should be reported to Residential Life or the Office of Student Affairs. Students continuing in violation of this policy will be subject to the Student Disciplinary Process of the TTU Student Handbook, administered by the Dean of Students.

Faculty, staff and administrator violations are to be reported to their supervisors, who will provide the initial reprimand and counsel to that person. Further violations will be handled through the progressive discipline process.

University Police will handle anyone refusing to comply or who becomes abusive toward the reporting party.

*Approved by Buildings & Grounds Committee, November 17, 2009*

*Approved by Administrative Council, November 18, 2009*

## **Job Descriptions for Upper Management**

It has been recommended by the Southern Association of Colleges and Schools that the following job descriptions be available to the campus.

### **8.1 President**

The President is the chief executive officer of the University and assumes general responsibility for the general operation of a large complex comprehensive state university and is deemed such powers, not otherwise prescribed by law, as are necessary and appropriate for the efficient administration of the institution and its programs; directs establishment and has an understanding of and demonstrates a commitment to the university's mission, strategic goals and objectives, and affirmative action; directs formulation plans for and administration of five academic colleges and one school of nursing and all support services; directs the administration of and approves fiscal and physical planning, such as development of the university budget, which exceeds \$75 million, program expansions, etc.; gives direction in administration in educational, research, and public service objectives and policies of the institution; and acts as the campus representative to the governing board and staff.

### **8.2 Vice President for Academic Affairs**

Reporting to the President of the university, the Vice President for Academic Affairs is the chief academic officer. He/she administers the university's instructional, research, and extension programs; the graduate school; the library; the military science program; and a number of academic support offices. The Vice President for Academic Affairs is responsible for developing the academic budget, for allocating and managing academic resources, for developing long-range plans, and for service as liaison with the Tennessee Board of Regents and the Tennessee Higher Education Commission. He/she also plays a major role in the governance of the university, in curricular development, and in the selection, promotion, and tenure of the faculty; and provides support for and/or serves on University councils and committees as appointed by the President.

### **8.3 Vice President for Business and Fiscal Affairs**

The Vice President for Business and Fiscal Affairs is the chief business and fiscal officer of the University, responsible to the President for the administration of all University fiscal matters. These responsibilities include supervision of budgeting, accounting (including receipting and disbursement of University funds), human resources; fiscal management of all auxiliary enterprises; supervision of facilities, telecommunications, business services (including purchasing and property control), printing and campus security; serves as liaison between contracted vendors and the University; serves as treasurer of University foundation; and provides support for and/or serves on University councils and committees as appointed by the President.

#### **8.4 Vice President for Student Services**

The Vice President for Student Services is responsible to the President of the University for support services including University Housing, Student Activities/Campus Life, Student Activities/University Center, Recreation and Fitness Center, Financial Aid, Health Services, Counseling Center, Black Cultural Center, Athletic Advisement, and Safety and Security. He/she provides general supervision relative to Student Services publications, serves as an advisor to the Student Government Association, and keeps informed of current and anticipated trends in Student Services relative to compliance with state and federal regulations, publications, etc. The Vice President for Student Services reviews residency re-classifications, student traffic court appeals, and student conduct appeals; and provides support for and/or serves on University councils and committees as appointed by the President.

#### **8.5 Vice President for University Advancement**

The Vice President for University Advancement is responsible for managing a comprehensive university advancement program to include Fund Raising, Alumni Relations, Public Affairs, Photographic Services, and Printing Services. He/she serves as Vice Chairman and Secretary of the University Development Council and provides support for and/or serves on University councils and committees as appointed by the President.

#### **8.6 Director of Internal Audit**

The Director of Internal Audit plans, supervises, conducts, and prepares reports for financial, compliance, and operational audits of various University operations and departments. Determines each area's degree of compliance with the University's and Tennessee Board of Regents' policies and state and federal laws and regulations. Evaluates internal control and management practices and recommends improvements. Evaluates the economy, efficiency, and effectiveness of financial, administrative, and academic management. Plans and conducts special investigations. Performs administrative and budget functions. Serves as University Consultant to the Financial Integrity Act Committee.

#### **8.7 Coordinator of Special Projects**

The Coordinator of Special Projects plans, organizes, and coordinates special projects, various programs, and ceremonies for the President and for the University; serves as liaison between the University and students, parents, the Tennessee Congressional Delegation, members of the Tennessee General Assembly, and other government officials. He/she researches, composes, and edits speeches for the President; coordinates preparation of the University's annual report to the Tennessee Board of Regents; coordinates membership and activities related to University standing and ad hoc committees; and provides support for and/or serves on University councils and committees as appointed by the President.

# Telephone Services

## 9.1 Introduction

This policy provides guidelines for the acquisition and application of landline and wireless telephone services, equipment and accessories for Tennessee Technological University. Procurement of any equipment peripherals or services shall be in accordance with the University's [Purchasing Policies and Procedures](#), and will be acquired by the Telecommunications Office.

## 9.2 Local Service and Long Distance for Landline Phones (1+)

All University landline telephones have the capacity for both local and long distance service. Academic and administrative officers may determine which departmental phones have access to direct dialed long distance or restricted access enabling local and on-campus dialing only. Bills are processed and distributed monthly to each department. It is the responsibility of the academic or administrative officer to review the monthly telephone bills to insure that all 1+ calls are initiated for the purpose of conducting University business only. All employees should be informed that personal long distance calls are prohibited.

All residential units have on-campus and local telephone service. Students are required to obtain an authorization code from Telecommunications to access long distance from the residence hall room or apartment.

**9.2.1** Local service is provided on all departmental and residential phones to enable immediate access to 9-1-1. Students and employees may dial 911 from any phone on campus and the call will go directly to Putnam County Emergency Services. Simultaneously, a screen will pop up on a computer in the University Police Office. The University Police will respond immediately to the emergency, while Putnam County Emergency Services are in route to the University.

## 9.3 Calling Cards

Telephone calling cards are assigned to University faculty and administrative staff for the purpose of conducting University business while traveling. These calling cards are to be used for University business only. Telecommunications personnel will assign a calling card upon receipt of a written request from the appropriate academic or administrative officer. Requests submitted by departmental chairpersons or directors must include the signature of the appropriate academic or administrative officer. Employees will be required to sign an acknowledgement stating that calling cards will be used for University business only at the time of issuance.

## 9.4 Incoming 800 Lines

Incoming 800 lines have been installed in various departments on campus for the purpose of expanding students' educational opportunities by increasing our accessibility. Other incoming 800 lines were installed to facilitate the business communication needs. Personal calls to an employee on the 800 incoming lines are prohibited.

## 9.5 Cellular Phone Service

To enable certain employees to complete specific work related assignments and responsibilities, Tennessee Tech University will provide wireless communication devices to facilitate those requirements. Rapid growth and changes in the technology industry will necessitate that all equipment and accessories are routinely evaluated and replaced as needed to meet an acceptable standard of service and reliability. In order to procure and maintain fully functional equipment and appropriate cellular plans, the Telecommunications Office will be responsible for establishing the contracts for service plans, procurement of equipment and accessories, and all billing issues as related to wireless communications.

### 9.5.1 Compliance

All wireless equipment and service purchases made on behalf of the University shall be in compliance with the University's [Purchasing Policies and Procedures](#) and all state and federal regulations. To meet requirements stated in the Internal Revenue Code section 61, the University will report a taxable fringe benefit adjustment to the earnings of all personnel who are furnished a University owned cellular phone for voice communication. The amount reported will be the base plan for each employee.

If an exception is requested to allow a department to obtain a cellular phone for University business only, negating the IRS requirement for taxing the plan as a fringe benefit to an individual, it must be made in writing to the Vice President for Business and Fiscal Affairs. A detailed explanation must be given to support the justification for an exception to be granted. All other request for cellular plans to be used by individuals should follow the procedures outlined in section 9.5.3 and be submitted through the appropriate vice president.

If an exception is granted, IRS guidelines require that a monthly call log be maintained for each incoming and outgoing call, including but not limited to specific documentation as to the identity of the caller or recipient of the call and the nature of the call as it relates to company business. The call log must coincide with the call detail provided on the monthly cellular bill.

IRS guidelines require that all non-business calls be reimbursed at the average cost of all calls, (i.e. the total of the cellular bill divided by the total number of minutes), plus any applicable taxes. A non-business call must be documented and

the University must be reimbursed at the average rate per minute, calculated as the total bill divided by the total minutes billed. Employees may reimburse the University by paying the appropriate amount at the cashier's window in the Business Office. A copy of the cashier's receipt must be attached to the corresponding documentation in the departmental records. Excessive and continuous personal use of the business cell phone will result in the service being declared as an employee taxable benefit.

### **9.5.2 Eligibility**

In order for the University to issue an employee with a wireless communication device, one or more of the following criteria must be met:

**9.5.2.1** The job requires the employee to be immediately accessible to receive and/or make business calls on a 24-hour basis. This requirement includes, but is not limited to, the President, Vice Presidents, all individuals who serve at the request of the President on the University Emergency Committee, and certain maintenance and support employees as determined necessary by the Director of Facilities and Business Services.

**9.5.2.2** Employee's in administrative or management level positions whose responsibilities require that a considerable amount of time be spent outside of the office, during which time, the employee is required to make and/or receive a large number of business calls to conduct University business.

**9.5.2.3** Other employees, whose job responsibilities are crucial to security, including the Director of Environmental Services & Campus Safety, the University Police Chief and designated officers, the Associate Vice President for Information Technology and designated network administrators.

**9.5.2.4** Administrative faculty or staff whose primary responsibility includes the recruitment, safety, transport, or supervision of students for academic or athletic purposes, (i.e. Admissions Counselors, the Athletic Director, coaches, coaching staff, and trainers).

In certain instances, restricted funding or budgetary cutbacks may override other provisions for eligibility, when determined necessary by the appropriate vice president.

### **9.5.3 Procedures for Obtaining Approval**

A Cellular Service Agreement form must be completed, signed by the requestor and submitted to the academic or administrative officer for approval. The academic or administrative officer will then forward the agreement form to the appropriate vice president for consideration. If the request is approved, the form will be forwarded on to Telecommunications for processing.

All cellular service plans will provide nationwide coverage (nationwide wireless service is defined as coverage within the continental U.S.) and a standard package with an allowance of approximately 450 to 550 anytime minutes. Additional features such as unlimited nights and weekends or unlimited in-network calling may be included according to the terms of our current contract with a cellular provider.

The standard service plan allowance may be increased to 900 minutes per month or higher for any member serving on the University Emergency Committee. This will also pertain to all athletic coaches or coaching staff, and network security administrators. These individuals have been given prior approval to increase the number of minutes in the monthly plan allowance, if the appropriate academic or administrative officer determines the request to be within the scope of the departmental budget.

Employees requesting service plans with an allowance above the lowest standard base minutes must submit a written request with the Cellular Agreement Form. The request must provide ample and clear justification for an exception to be made by the appropriate vice president. The employee shall explain in detail the reason a larger plan allowance is required to fulfill the requirements of the position.

If an exception is made to increase the plan allowance above the standard plan, the approving vice president may request a copy of the monthly call detail at any time to re-evaluate the necessity of a higher plan. Upon review, a vice president has the authority to recommend a reduction in the monthly plan, at his or her sole discretion, in an effort to insure fiscal responsibility.

#### **9.5.4 Cellular Service Agreement Form**

The Cellular Service Agreement Form must be completed in full, before it is sent to the Telecommunications Office. Requests for plans above the standard plan allowance must be accompanied by the written request and approval of the Vice President.

In addition to requests for new service plans, the agreement form must be completed and submitted through the appropriate channels for all individuals who will be assigned existing equipment and service plans. It is the responsibility of the department to submit these forms prior to the new employee accepting responsibility for the wireless cellular device. It is also the responsibility of the department to notify Telecommunications when an employee, who is assigned a wireless device, terminates active employment.

Telecommunications will be responsible for notifying the Payroll Officer in Human Resources of the new assignment. Due to IRS requirements, it is imperative that the University maintains accurate records for reporting a taxable

fringe benefit for each employee who carries a University owned cellular phone. Copies of the Cellular Service Agreement Form will be maintained in the Telecommunications Office and in the Human Resources Office.

### **9.5.5** Applicable Wireless Equipment

Standard cellular phone equipment will be provided for employees to use for wireless communications. All phones shall be equipped with a speakerphone, camera, and rechargeable battery. A car charger and a carrying case with a belt clip will also be included. Other accessories shall be considered as optional equipment and must be requested individually. Ex: Headsets are not included with the phone, but may be ordered at an additional cost. All cellular equipment and accessories must be purchased through the Telecommunications Office.

Employees are not authorized to purchase cellular equipment or accessories at the local retail store; however, there is a provision that will allow Telecommunications to make purchases at the retail store on behalf of other departments. Charges for purchases made for another department will be passed on with the next monthly bill sent to the department. Personal purchases are the sole responsibility of the individual. The University will not provide, loan or sell any cellular or wireless equipment to an individual for personal use.

A PDA Smartphone may be requested when necessary for an employee to carry out specific duties and responsibilities associated with his or her job. The academic or administrative officer for the department requesting the PDA Smartphone should make this request through the appropriate vice president. The request must include clear and specific reasons to justify the substitution. Due to the significantly higher cost of the PDA equipment and the additional monthly charges to be incurred, the academic or administrative officer must identify the source of funding to support the purchase and verify the availability of funds to cover both the purchase of the PDA phone and monthly data plan. If approval is granted, the request should then be forwarded to the Telecommunications Office for processing. Any requests received in Telecommunications that do not include the signature of a Vice President shall be returned to the originating department.

The Telecommunications Office will place an order for the purchase of the PDA and correlating accessories (belt clip and car charger). Upon receipt of the equipment, the employee will be notified to make an appointment to obtain and activate the new equipment. After the new device is activated, it will be the responsibility of the employee to contact the vendors technical support personnel, at an 800 number provided by Telecommunications, for any questions regarding data, usage, and/or service and repair issues.

All PDA phones shall have the unlimited data plan, in addition to the monthly minute allowance for voice communications. The purchase price of PDA

equipment will be billed to the departmental account, and the monthly charge for unlimited data will be added to the monthly plan charge.

PC Air Cards are also available to enable wireless connectivity to the internet from a laptop. The employee must follow the same procedures for requesting a cellular phone service plan to request a PC Air Card. The Air Cards have an individual cellular number assigned to them for billing purposes, and the department is responsible for the monthly cost, as well as the purchase price of the card if applicable. The requestor must submit a written request to the approving vice president, providing justification for the need to obtain a PC Air Card and a wireless service plan and a Cellular Service Agreement form. If approved, both documents should be forwarded to Telecommunications for the order to be processed.

#### **9.5.6 Reimbursement for Overage Charges**

Overage is defined as any usage above the plan allowance that results in an additional charge above the base plan. It is the University's policy that the employee, who is assigned a designated cellular phone number, shall reimburse the University for any amount that is billed as overage on the University's monthly cellular bill for that number. The total amount paid at the Business Office should include all applicable state or federal sales tax. A copy of the receipt should be attached to the departmental copy of the bill for future audits.

#### **9.5.7 Early Termination Fees**

Early termination fees, if any, for University provided cellular phones or PDA Smartphones are the responsibility of the department. Departments should contact Telecommunications, in advance, for information regarding early termination fees prior to submitting a request to terminate a cellular plan.

#### **9.5.8 Lost or Stolen Equipment**

It is the responsibility of the employee to report a lost or stolen cellular device immediately. During normal business hours, the employee may contact the Telecommunications Office to report the incident. The Telecommunications Office will immediately suspend the service to avoid fraudulent charges being made to the cellular number.

If the incident occurs after hours, the employee must contact the local retail store or the 1 + 800 number for the provider immediately. The employee should ask the provider (i.e. Verizon Wireless) to suspend the service temporarily. The employee is responsible for notifying the Telecommunications Office the next business day about the incident.

Telecommunications will obtain a replacement device for the employee and have the cellular number activated on the new device. This action will completely remove the University's cellular number from the lost or stolen equipment. It will be the responsibility of the department to pay any costs associated with replacing the wireless device.

### **9.5.9 Repairs**

All service problems should be reported to the Telecommunications Office during normal business hours. Most repair issues will wait until the next business day; however, an employee may be out of town or in an emergency situation that requires immediate attention. If immediate attention is required, the employee may go to the local retail store to see if the phone can be repaired.

If the phone is not repairable, but still under the one-year warranty period (one year from the purchase date), the local retail store should replace the cellular phone at no cost. Since we have a corporate account, the local store cannot apply charges to our corporate account. If an expense is incurred to repair the phone, the employee should wait until the next business day and contact Telecommunications. Telecommunications tries to maintain a small inventory of phones for the purpose of replacing damaged phones. If a phone is not readily available, Telecommunications will order a replacement to be shipped overnight to the University. The user's department will be responsible for any repair or replacement charges not covered under warranty.

The local retail store will not replace a PDA Smartphone. The user is required to contact the vendor's technical support number (current vendor number 1+800+922+0204) to report a service issue with a PDA Smartphone. Technical support will require the user to provide specific information. They may also ask the user to follow certain procedures, as directed, to aid them with diagnostic testing to determine what the problem may be and how it might possibly be corrected. If the PDA Smartphone is determined to have an issue that cannot be repaired or corrected over the phone, technical support will send a replacement to the Telecommunications Office. The employee must notify Telecommunications to anticipate the arrival of a replacement PDA phone. Upon receipt of the new PDA, the employee will be contacted to exchange the old equipment for the new equipment. Any charges incurred for repairs or replacement of equipment that is no longer under warranty will be the sole responsibility of the department.

**9.5.10** Services or features that are considered as non-covered applications for conducting University business, and for which one-time or recurring charges may be assessed, shall not be provisioned on cellular phones or data devices. Specific examples of non-covered applications include but shall not be limited to the following: ringtones, games, music downloads, VZ Navigator, Visual Voicemail, premium text messages, etc. Should any of these applications appear on the University's cellular bill, the employee to whom that device is assigned will be

responsible for immediately removing the application and reimbursing the University for the charges associated with that application.

## **9.6 Desk/Office Phones**

Personal calls should be held to a minimum, with the acceptable minimum determined by the appropriate academic or administrative officer in each division of the University.

## **9.7 Harassing or Threatening Phone Calls**

Should any individual (faculty, administrator, staff or student) become the recipient of harassing or potentially threatening telephone calls, the University Police Department should be notified. An officer will complete a report and contact Telecommunications for required assistance to obtain the originating number. If the incoming call(s) originate from an off-campus location, the individual reporting the incident must complete a form provided by the University Police Officer and deliver it to the Cookeville Police Department. If the University's Telecommunications Office is unable to provide the originating number, the Telecommunications Office will work with the Cookeville Police Department and the University Police Department to obtain the originating number of the call. Once the originating number and any additional information is obtained, the Cookeville Police Department and the University Police Department will provide the threatened individual with the necessary information to proceed further.

## **9.8 Telephones and Miscellaneous Telecommunications Equipment**

All telephones and miscellaneous telecommunications equipment must be purchased through the Telecommunications Office. For specific equipment or apparatus other than that which is provided as standard equipment, the Telecommunications Office is responsible for determining compatibility with the University's telephone switch and communications systems. The department must submit a request to Telecommunications stating the type of equipment needed. If the equipment meets the appropriate specifications, Telecommunications will procure the optional equipment or peripherals on behalf of the department and re-bill any associated charges back to the department.

## **Library Selection of Collections - Faculty Participation**

### **10.1 Policy**

Librarians, faculty, and researchers participate in the development of the Library's collections by selecting materials for addition to and withdrawal from the collections.

### **10.2 Definitions**

**10.2.1** Faculty: as defined by the Tennessee Board of Regents Policy No.5:02:01:00 in TTU Faculty Handbook II-1, page 1.

**10.2.2** Librarians: professional Library staff with faculty rank and status.

**10.2.3** Library Liaisons: person or persons selected by each academic department, school, or college for communications with the Collection Development Division of the Library about budgeting and selecting library materials.

**10.2.4** Library Materials: books, periodicals, serials, audiovisuals, electronic materials, federal government publications, and maps.

**10.2.5** Research Faculty: as defined in 1" above and having a research appointment.

**10.2.6** University Serials List: a number of serial subscriptions selected by academic departments as the titles most necessary to the integrity of the department's programs. The cost of these titles is paid from the Library's materials budget before allocations to colleges are made.

### **10.3 Procedure - General**

The policy is implemented:

**10.3.1** By allocating the Library's materials budget to the colleges and to the Library and

**10.3.2** by the communications between the faculty and the Library through the Library liaisons.

### **10.4 Procedure - Specific budget allocations**

**10.4.1** Library faculty - the Library retains 20 percent of the materials budget allocated to the Library by the University. Adjustments are made to meet budget shortfalls.

- A.** The Library faculty individually recommends selections to the Coordinator of Collection Development.
- B.** The Library's Collection Development Committee makes selections.
- C.** The Library faculty in the Reference and Information Service department make selections for the Reference collection.

#### **10.4.2 University faculty**

- A.** The materials budget allocated to the University faculty is the amount remaining after three deductions are made from the amount budgeted by the University. The three are:
  - 1.** The 20 percent allocated to the Library
  - 2.** The cost of the University Serials List for the previous year.
  - 3.** The inflation fund to pay for the increases in the cost of serials during the budget year.
- B.** The amount remaining is allocated to the Colleges according to a formula developed by the University Library Committee.
- C.** The Colleges make the internal allocations to the academic departments, and notify the Library's Coordinator of Collection Development. Requests by the departmental faculty are forwarded to the Acquisitions Department..
- D.** Requests for publications of the Federal Government are sent to the Government Documents Librarian by the liaison.
- E.** Yearly, each unit reviews its periodical titles on the University Serials List and on its department serials list for possible additions and deletions. This activity is coordinated by the liaison.

### **10.5 Withdrawals**

**10.5.1** Library faculty participates in the selection of materials to withdraw or to discontinue in two ways:

- A.** Individual faculty recommended titles to be withdrawn to the Coordinator of Collection Development.
- B.** The Collection Development Committee participates in withdrawal decisions when large numbers of items are involved.

**10.5.2** Teaching faculty participates in the selection of materials to withdraw or to discontinue in two ways:

**A.** Academic units act collectively to determine which serials to add to or to delete from the University or Department lists.

**B.** Decisions about materials to withdraw are made in consultation with the faculty members of academic units most directly concerned with the possible future use of the resources.

# USA Patriot Act

## 11.1 Information Request from a Law Enforcement Officer Procedure/Policy

The U.S.A. Patriot Act was designed to broaden the surveillance capabilities of law enforcement agencies to enhance the detection and suppression of terrorism. This Act is Federal Law and TTU must comply with it. The procedures below outline TTU's response to receipt of a court order (i.e., a search warrant or subpoena) from a law enforcement agency for release of information, records, documents or data. Such information may include, but not be limited to, records of borrowed print materials (library records), records of internet access, e-mail communication records, and telephone usage records.

## 11.2

Upon receipt of a request for information by a law enforcement officer presenting a court order issued pursuant to the USA Patriot Act, the following should occur:

### 11.2.1 The person receiving the request –

- A.** Should take the officer to the administrative head of the unit or the person in charge when the administrative head is absent.
- B.** In the absence of both the administrative head and the person in-charge in the administrative head's absence, follow the procedures below in 11.2.B. Administrative Head.

### 11.2.2 Administrative Head

- A.** Contact the Chief of University Police – 372-3234.
- B.** If the Chief is not on-campus, tell the dispatcher the situation and request that the Chief be contacted immediately.
- C.** Follow the directions of the Chief. The Chief will normally ask that the requesting officer be brought to Police Headquarters – University Services Building, Room 110.

### 11.2.3 Chief of University Police

- A.** Contact TBR legal counsel, 615/366-4438, and fax the court order to legal counsel, 615/366-3910.
- B.** Validate requesting officer's identification and, in consultation with TBR legal counsel, determine the legality of papers presented.

**C.** In consultation with TBR legal counsel, instruct the University office that has responsibility for the relevant information the action the office is to take to meet, but not exceed, the parameters of the court order. Gag orders may be imposed by the court order.

**D.** File detailed incident report with TTU President including the contents of the request and the complete nature of the response.

**11.2.4** Administrative head of affected office

**A.** Provide information as directed by Chief of University Police.

**B.** Inform Chief when actions pursuant to the papers presented are complete.

**11.3 Policy Actions**

**11.3.1** TTU will retain records according to TBR policy. Records not governed by TBR policy will be retained in the same manner, as they were when the guidelines governing them were put in place.

**11.3.2** TTU will provide copies of this policy to all TTU faculty, staff, and students who might receive a court order. TTU will also publish the policy.

**11.3.3** TTU will provide notice to its faculty, staff and students that “The Patriot Act authorizes law enforcement agencies, acting pursuant to a valid court order, to compel University personnel to disclose previously confidential information about person’s use of library materials and the Internet.” TTU will also publish this notice.

# Web Publishing Policy

[\[Click Here for Web Publishing Policy\]](#)

## **Exhibits**

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