



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

AUDIT AND COMPLIANCE COMMITTEE	
Thursday June 23, 2022	Student Union Ballroom
2:45 p.m. (EST)/1:45 p.m. (CST)	Knoxville, TN

AGENDA

Public Session

- I. Call to Order and Roll Call
- II. Opening Remarks of the Committee Chair
- III. [Approval of Minutes from Last Meeting - Action](#)..... Tab 1
- IV. [Athletics Compliance Update – Information](#).....Tab 2
- V. [Title IX Update – Information](#)Tab 3
- VI. [Consent Agenda](#)..... Tab 4
 - Information Items
 - A. [2022 Audit Plan Update](#)..... Tab 4.1
 - B. [Outstanding Audit Issues](#)..... Tab 4.2
 - C. [Travel Exception Report](#) Tab 4.3
 - D. [Institutional Compliance Program Update](#)..... Tab 4.4
- VII. Other Business

[Note: Under the Bylaws, items not appearing on the agenda may be considered only upon an affirmative vote representing a majority of the total voting membership of the Committee. Other business necessary to come before the Committee at this meeting should be brought to the attention of the Committee or Board Secretary before the meeting.]
- VIII. Adjournment



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

Nonpublic, Executive Session

Following the public session, the Committee will convene in a nonpublic, executive session pursuant to Tennessee Code Annotated § 4-35-108 to review:

- Audits
- Investigations
- Litigation



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

MINUTES OF THE AUDIT AND COMPLIANCE COMMITTEE February 18, 2022

The Audit and Compliance Committee of The University of Tennessee Board of Trustees met at 2:00 p.m. (EST) on Friday, February 18, 2022. The meeting was held at the Joint Institute for Advanced Materials (Executive Conference Room) located at the UT Research Park, Knoxville, Tennessee.

Committee Members Present: Amy E. Miles, Committee Chair; John C. Compton, Board Chair; and Decosta E. Jenkins.

Others in Attendance:

Trustees: Lane Gutridge (Student Trustee)

University Administration: President Randy Boyd; Brian Daniels, Chief Audit and Compliance Officer; David Miller, Senior Vice President and Chief Financial Officer; Cynthia Moore, Board Secretary and Special Counsel; Ryan Stinnett, General Counsel; Chancellor Steve Angle (UT Chattanooga); Chancellor Peter Buckley (UTHSC); Chancellor Mark La Branche (UT Southern); and Chancellor Donde Plowman (UT Knoxville). In addition, other members of University staff were present.

Ms. Moore addressed the Open Meetings Act requirements for meetings conducted with members participating electronically and announced the presence of a quorum. The meeting was webcast for the convenience of the University community, the general public, and the media.

Committee Chair Miles welcomed everyone to the meeting. She announced that Crawford Gallimore was retiring from the Audit & Compliance Committee. Mr. Gallimore was initially appointed to the Board by Governor Bredesen in 2008 and reappointed by Governor Haslam in 2014. He was a long-standing member of the Audit and Compliance Committee, having served as a Board member from 2012-2018. Ms. Miles noted that Mr. Gallimore continued to serve the Board as an external member of the Committee since 2018 and that he was very helpful to her when she assumed the role of Committee Chair. Committee Chair Miles thanked Mr. Gallimore for his many years of dedicated service to the University.

Approval of the Minutes

Committee Chair Miles noted that the minutes of the October 22, 2021 meeting were included in the meeting materials (Tab 1). She asked for any corrections to the minutes. Hearing none, the minutes were approved.

2022 Internal Audit Plan

Mr. Daniels provided an overview of the proposed 2022 Internal Audit Plan, as required by the Committee's charter. He explained that the internal audit plan encompasses the following five categories: Risk-Based and Compliance; Annual; Special Projects; Prior Year; and Advisory Service.

Mr. Daniels discussed each of the areas in detail, noting that risk-based efforts are expected to account for approximately 38% of the total effort. The presentation outlined projected effort by University entity (system, campus, and institute). Mr. Daniels highlighted the inclusion of UT Southern and the additional advisory services being provided as part of the integration of the former Martin Methodist College into the UT System. He then reviewed certain audits and projects contemplated for the year, including information technology security, capital projects, athletics, faculty conflicts of interest, physical security, and minors on campus. Mr. Daniels also explained that additional hours have been allocated to advisory services in light of the DASH (enterprise resource planning) project, along with a business impact analysis assessment. Mr. Daniels answered questions from the members of the Committee pertaining to the consistency of allocation between categories from year-to-year, the level of effort associated with each of the campuses, and the audit staffing structure at the campuses/institutes.

Upon motion duly made and seconded, a roll call vote was taken, and the Committee approved the 2022 Internal Audit Plan (as set forth in Tab 2 of the meeting materials).

2022 Institutional Compliance Workplan

Committee Chair Miles introduced William A. Moles II, Director of Institutional Compliance, and extended her gratitude to Mr. Moles, who will also be retiring this year, for 36 years of service to the University.

Mr. Moles provided an overview of the 2022 Institutional Compliance Workplan. The areas of focus contained within the workplan include:

- Compliance Risk Assessments and Risk Mitigation Plans;
- UT Southern Integration into UT Institutional Compliance Program;
- Promote an Ethical Culture; and
- Collaboration.

Mr. Moles highlighted initiatives under each of the aforementioned areas, including updates from the last report to the Committee. It was noted that there are approximately 450 regulatory areas applicable to the University and its operations that are routinely reviewed and updated as part of the overall compliance function. Mr. Daniels commented on the coordination efforts between the institutional compliance team and the government relations office. In response to questions raised regarding external reviews of the compliance function,

Mr. Daniels noted that the internal audit team cannot independently review the compliance function as both areas report to him. Mr. Moles also indicated that external benchmarking is performed, but peer reviews are not routinely performed in this area as many institutions have widely different levels of maturities and sophistication in this particular area. Mr. Daniels noted that it is time to start considering when the next external review should be performed.

Upon motion duly made and seconded, a roll call vote was taken, and the Committee approved the 2022 Institutional Compliance Workplan (as set forth in Tab 3 of the meeting materials).

Consent Agenda

Committee Chair Miles outlined the items listed in the Consent Agenda, noting that the annual safety reports of the campuses, as required under the Clery Act, are contained in the Committee meeting materials as advance reading. The presentation will be made to the full Board at the Winter Meeting. Additionally, the NCAA agreed upon procedures will be addressed in connection with the full audit report. David Miller, Senior Vice President and Chief Financial Officer, provided an update on the status of the audit for the fiscal year ended June 30, 2021. No items were removed from the Consent Agenda for discussion. A complete list of the informational items included on the Consent Agenda appears at the end of these minutes.

With no further business to come before the Committee, the Chair adjourned the meeting.

Respectfully Submitted,



Cynthia C. Moore
Secretary and Special Counsel

Consent Agenda Items


- 2021 Audit Plan Update
- Outstanding Audit Issues
- Travel Exception Report
- Annual Safety Report Update
- NCAA Agreed Upon Procedures Report
- Tennessee Financial Integrity Act Report
- Compliance Program Update



Office of the Chancellor
 615 McCallie Ave., Dept. 5605
 Chattanooga, TN 37403
 Phone 423-425-4141
 Fax 423-756-5559
 utc.edu/chancellor

MEMORANDUM

TO: Ryan Stinnett, General Counsel

FROM: Steven Angle, Chancellor 

DATE: June 10, 2022

RE: Annual Report to the UT Audit and Compliance Committee

The University of Tennessee at Chattanooga is committed to integrity, transparency and the maintenance of high ethical standards. We are also committed to the principle of institutional control and maintaining all aspects of our intercollegiate athletics program in full accordance with all NCAA, Southern Conference and University rules and regulations, as well as the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC).

UTC's Athletics Compliance Office is comprised of two full-time professionals and a compliance intern dedicated to the day-to-day compliance process that assists the University in complying with all University, Conference, and NCAA rules and regulations governing the intercollegiate athletics operations as outlined in the PowerPoint slides accompanying this report. The Compliance Office is supervised by the Executive Associate Athletic Director/Senior Woman Administrator (a former Compliance Director) and the Vice Chancellor & Director of Athletics. The Chancellor is immediately notified and involved with any major Compliance improprieties. Additionally, the Chancellor meets annually with members from the Compliance Staff to discuss the University Compliance process that is outlined in the slides provided.

In 2021-22, UTC discovered and reported three minor (secondary or level III) violations to the NCAA. These violations were isolated and inadvertent in nature and did not result in any reprimands or fines from the NCAA. A brief summary of the violations are:

1. A violation of Bylaw 12 (Eligibility for Practice or Competition) occurred when a women's cross country & track student-athlete competed prior to receiving amateur certification in indoor and outdoor track. The violation was discovered when compliance staff reviewed the amateurism certification of cross country athletes in Compliance Assistant (the software package used for this purpose). The student-athlete had appropriately received amateurism certification for Cross Country but had failed to add the sports of Indoor and Outdoor Track on her eligibility center account.
2. A violation of Bylaw 13 (Recruiting – Off Campus Contact) occurred when the men's and women's cross country head coach instructed a UTC student-athlete to contact

(call/text) a 2022 prospective student-athlete (PSA). The head coach informed the student-athlete that the PSA would be in the area for the next few weeks and was looking for running partners. The student-athlete did not call or text the prospective student-athlete, but they did connect through a Facebook community page, via which they connected and ran together at a cross country trail.

3. A violation of Bylaw 17 (Playing and Practice) occurred when the women's golf head coach inadvertently exceeded the four-hour skill instruction limit by thirty minutes. The head coach made a mistake by miscounting her hours with the student-athlete. The head coach immediately reported the violation after discovering it.

The Athletics Department and University have developed and adopted processes and procedures that provide guidance to our staff, students and supporters regarding how to work within the rules and to discover, report and, where possible, correct any violations of the rules that might occur. The commitment to the principle of institutional control is both organizational and individual. In response to my review of the Annual Compliance Report and consultations with staff members, I hereby confirm all information provided is sufficient and consistent with the University's commitment to maintaining control of its athletics programs.

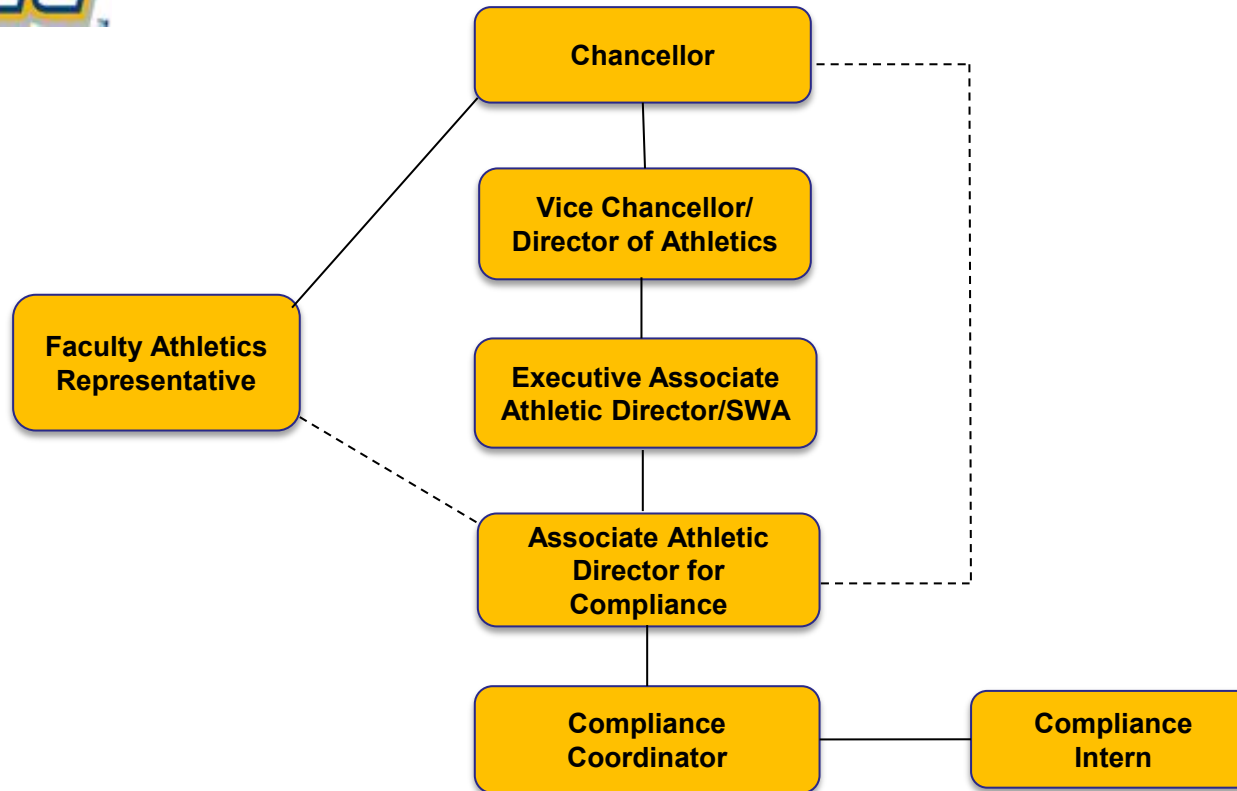
cc: Mark Wharton, Vice Chancellor and Director of Athletics
Yousef Hamadeh, Assistant General Counsel
David Steele, Chief of Staff

Peer Comparison of Compliance Staffing By Campus

Institution	Compliance Professionals	Athletic Conference	Conference Average	Conference Rank
UTM	1.5	OVC	1.8	T-7th of 12
UTC	2	SoCon	1.7	T-3rd of 10
UTK	7	SEC	6.7	T-4th of 14



Compliance Organizational Chart





2021-22 Violations

Bylaw 12	Eligibility for Practice or Competition	Administrative	Secondary/Level III Violation
Bylaw 13	Recruiting – Off Campus Contact	W. Cross Country	Secondary/Level III Violation
Bylaw 17	Playing and Practice	W. Golf	Secondary/Level III Violation



Conducting Investigation

Who Should be Interviewed

- Institution should interview any individual with potential knowledge of and/or involvement in potential NCAA violations (e.g., Staff members, student-athletes, former student-athletes).

Analysis of Information

- Review and analyze all information collected to determine whether additional interviews or documents are necessary.
- Review entire file and determine whether the factual information and relevant bylaws indicate that violations likely occurred.
- Identify the institutional staff responsible for analyzing the information and arriving at its findings.

Interview Logistics

- Identify who is responsible for conducting interview.
- Who may be present during interview.
- Where the interview will be conducted.
- Who may know about the interview.
- How the interview will be performed (e.g., in person, videoconference).

Reporting Institutional Findings to the NCAA

- Report using NCAA guidelines through Request/Self-Reports Online.



Reporting a Violation

If an alleged or rumored violation is communicated to any athletic department staff member, or individual other than an athletic department staff member, the individual has an obligation to report the alleged violation to any or all of the following persons in a timely manner:

- Any Compliance Staff Member
- The Director of Athletics
- The Faculty Athletics Representative
- Senior Women Administrator
- Online at [gomocs.com/Compliance Violation Reporting](http://gomocs.com/Compliance%20Violation%20Reporting)



June 10, 2022

University of Tennessee Board of Trustees
Audit and Compliance Committee
c/o C. Ryan Stinnett, General Counsel
719 Andy Holt Tower
Knoxville, TN 37996-0170

Re: Annual Report to the Audit and Compliance Committee (BT0033 – Policy on Oversight of Intercollegiate Athletics)

Dear Members of the Audit and Compliance Committee:

I am pleased to submit this annual written report to the Audit and Compliance Committee to ensure that the Board of Trustees has information sufficient to understand and monitor the university's compliance with the rules and regulations of the National Collegiate Athletic Association (NCAA) and determine the adequacy of the university's athletics compliance function.

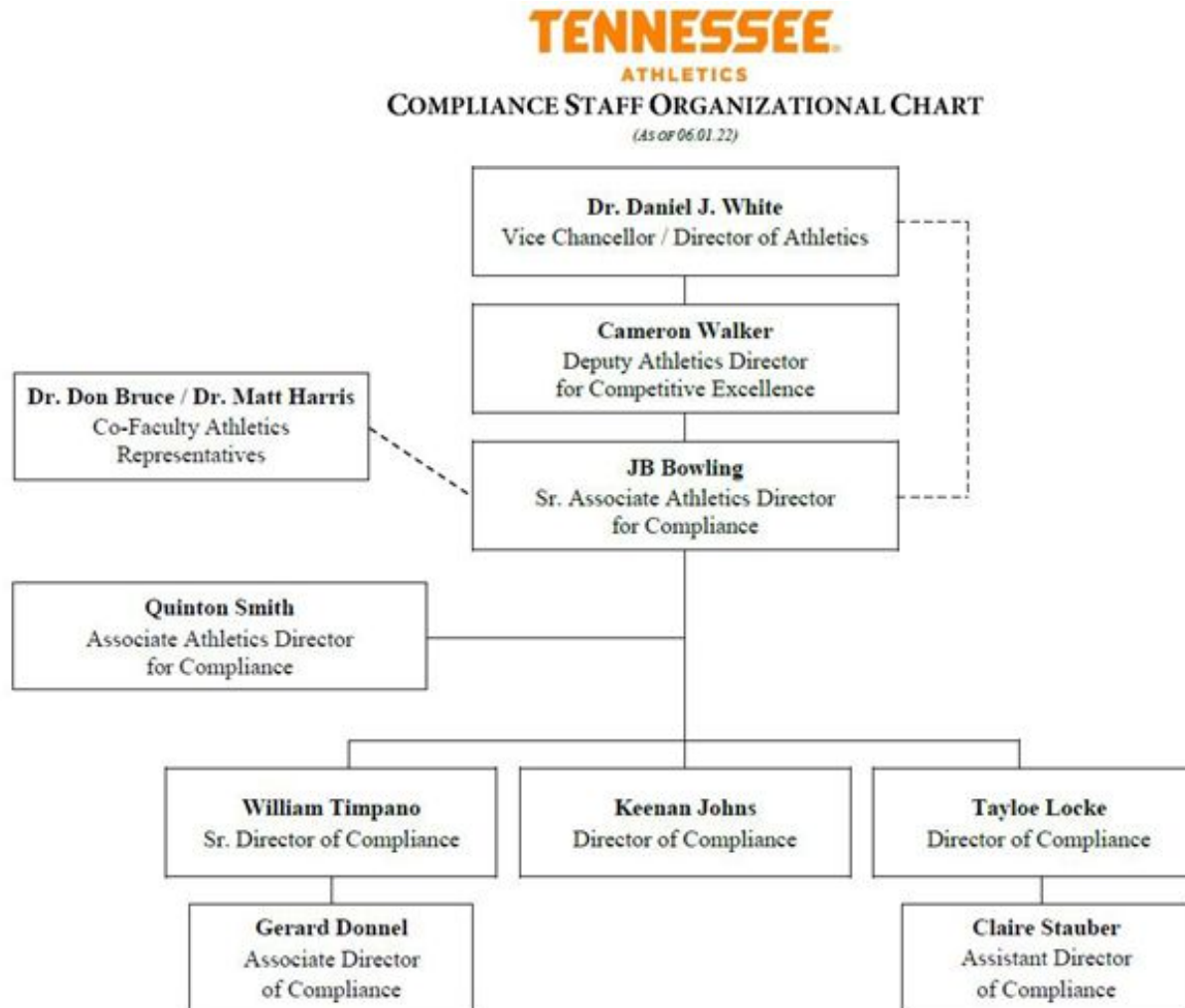
Commitment to compliance has been a part of the mission of Tennessee Athletics, and during this period of unprecedented change within intercollegiate athletics the compliance office will be assuming additional responsibilities, further increasing the importance of their role. We believe that the ongoing efforts by our administrators, coaches, and our compliance staff to adhere to NCAA requirements, identify opportunities to improve our compliance program, and not shy away from problems put us on track to be an example for other institutions.

Sincerely,

Donde Plowman
Chancellor

Office of the Chancellor
800 Andy Holt Tower 1331 Circle Park Drive Knoxville, TN 37996-0180
865-974-2444 chancellor.utk.edu

ATHLETICS COMPLIANCE STRUCTURE



SEC PEER COMPARISON OF COMPLIANCE STAFFING

AS OF JUNE 2022		
Rank	School	Full-Time Staff
1	Georgia	9
T-2	Ole Miss	8
T-2	Texas A&M	8
T-4	Alabama	7
T-4	Arkansas	7
T-4	Auburn	7
T-4	Tennessee	7
T-8	Florida	6
T-8	South Carolina	6
T-8	Vanderbilt	6
T-11	Kentucky	5
T-11	LSU	5
T-11	Mississippi State	5
T-11	Missouri	5



PROCESS FOR REPORTING A VIOLATION

Any coach, employee, student-athlete, or other individual associated with the UT athletics department or an employee of UT who has NCAA compliance responsibilities (including UT employees who work outside of the athletics department) must notify appropriate institutional officials immediately of any suspected or known violation(s) of NCAA legislation or UT or SEC policies or procedures. Notification must take place by contacting (in-person or by telephone or e-mail) an Athletics Compliance Office staff member, the AD or FAR. Reporting this information to the head coach of an involved sport does not meet this requirement.



INVESTIGATING A VIOLATION

- Upon being informed of a possible violation, the compliance office will conduct a preliminary investigation to ascertain the general facts surrounding the incident. The parties involved in the incident may be contacted directly and asked about the matter. The compliance office will communicate the preliminary findings to the AD and FAR. The compliance office, AD and FAR jointly shall have initial responsibility for determining whether the information indicates a possible violation.
- If the information indicates further investigation is warranted, depending on the level (I-IV) of the possible violation, the compliance office will notify the Chancellor, OGC, FAR, AD, Sport Administrator and head coach if applicable.
- For potential level III & IV violations, the compliance office in coordination with the FAR will investigate all facts and apply the appropriate governing rules. If a violation is determined to have occurred, the compliance office will submit a written report to the NCAA and SEC detailing the violation and any penalties that will be self-imposed.



INVESTIGATING A VIOLATION CONT'D

- For potential level I & II violations, the compliance office, in conjunction with the FAR, shall forward the information to the OGC and that office shall be responsible for directing the investigation. During the course of the investigation, the Chancellor shall receive regular reports regarding its progress. The compliance office shall inform the SEC of the inquiry. OGC will review and approve a final written report to be submitted to the NCAA at the conclusion of the investigation.
- The institution will not permit retaliatory actions against athletics staff or student-athletes who submit or are involved in a complaint or allegation concerning NCAA rules violations. Additionally, the institution will act in accordance with institutional procedures for alleged misconduct by an employee and applicable provisions of state legislation.



LEVEL III VIOLATIONS 2021-22

PER SPORT		PER BYLAW	
Baseball	0	Bylaw 5	0
Men's Basketball	1	Bylaw 10	0
Women's Basketball	0	Bylaw 11	0
Football	2	Bylaw 12	0
Men's Golf	0	Bylaw 13	3
Women's Golf	1	Bylaw 14	0
Rowing	0	Bylaw 15	0
Soccer	0	Bylaw 16	0
Softball	1	Bylaw 17	1
Swimming & Diving	0	Bylaw 18	0
Men's Tennis	0	Bylaw 20	0
Women's Tennis	1	Bylaw 31	0
Track & Field	0		4
Volleyball	1		
	4		





Office of the Chancellor
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554 University Street
Martin, TN 38238
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June 13, 2022

University of Tennessee Board of Trustees
Audit and Compliance Committee
c/o Ryan Stinnett, General Counsel
1169 UT Tower
505 Summer Place
Knoxville, TN 37902

RE: Annual Report to the Audit and Compliance Committee (BT0033 – Policy on Oversight of Intercollegiate Athletics)

Dear Members of the Audit and Compliance Committee:

I am pleased to provide this written statement outlining UT Martin's commitment to athletics compliance from a larger campus perspective and providing an overview of the information contained in UT Martin's annual report.

May this letter serve as my request for the Office of General Counsel to submit this annual report to the Audit and Compliance Committee of the UT Board of Trustees. Athletics compliance is considered of utmost importance at the University of Tennessee at Martin. The Athletics department devotes a significant amount of time to ensuring that all employees and constituents are educated on NCAA, OVC, and institutional regulations that could impact the institution, and specifically, our compliance within athletics.

While the institution employs a single full-time employee in the office of compliance, the Athletic academic staff and other members of Athletics administration are responsible for compliance duties to help facilitate monitoring of activities on campus and the actions of campus members that could impact compliance. Cross training is both intentional and vital to maintaining compliance on campus due to the limited full-time staff members devoted solely to compliance. However, the reporting of violations is handled by the compliance officer, as to ensure that the party most well-versed in legislation is responsible for reporting off-campus. These reports are also provided to the Athletics Director, Faculty Athletics Representative, and the Chancellor, in the event that the report is serious enough to warrant such reporting.

The Chancellor's oversight and support of the compliance office's efforts helps stress the importance to the rest of the campus. This statement and my corroborating actions shall serve as my attestation of commitment to athletics compliance on UT Martin's campus, and I will continue to act in a way that will further campus compliance.

Sincerely,

Keith S. Carver, Jr.
Chancellor

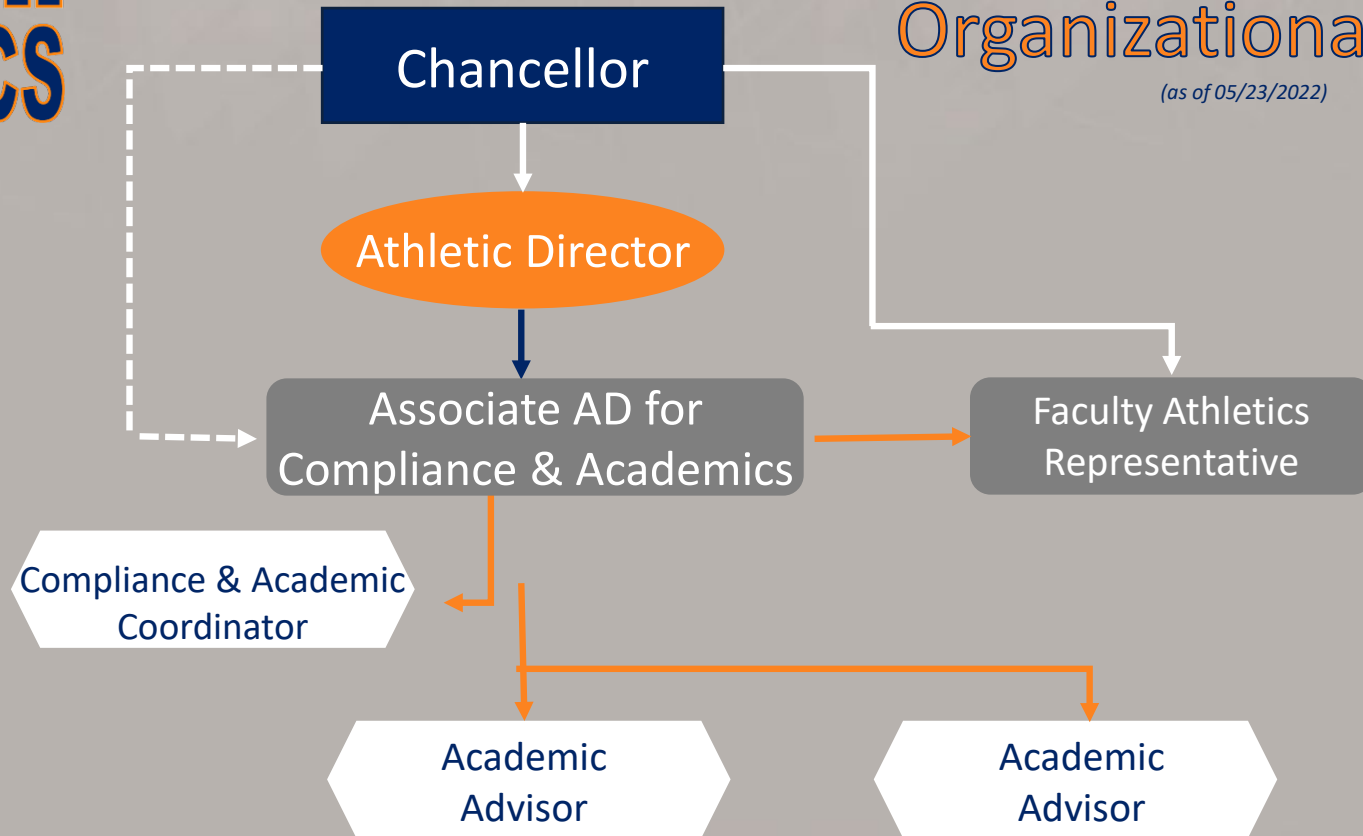
Peer Comparison of Compliance Staffing By Campus

Institution	Compliance Professionals	Athletic Conference	Conference Average	Conference Rank
UTM	1.5	OVC	1.8	T-7th of 12
UTC	2	SoCon	1.7	T-3rd of 10
UTK	7	SEC	6.7	T-4th of 14



Compliance Staff Organizational Chart

(as of 05/23/2022)



VIOLATIONS

BYLAW	SPORT	Case Type	MONTH
Bylaw 13	Women's Basketball	Recruiting: Telephone Calls	October 2021
Bylaw 13	Football	Recruiting: Publicity	October 2021
Bylaw 12 Bylaw 14 Bylaw 16	Men's Track	Certification of Eligibility	January 2022
Bylaw 13	Men's Basketball	Recruiting: Extra Benefit	April 2022
Bylaw 13 Bylaw 16	Football	Extra Benefit: Enrolled SA	May 2022



Process of Violation Investigations

- The process of taking reports of violations and investigating potential NCAA violations starts with a report to the Associate AD for Compliance/Academics. All staff members within the athletics department knows that if there is a report made to them, that the information should be relayed to the compliance office.
- Rules education is a key tool in this process, as keeping staff informed on the regulations is necessary in order for them to identify a possible violation.
- Once the information is initially obtained, the compliance office will write up a report and begin an investigation.
- Depending on the level of the violation, the compliance office will notify the Athletics Director, the Faculty Athletics Representative, and possibly the Chancellor. The majority of violations are Level III violations that are reported to the Athletics Director and the Faculty Athletics Representative upon intake of the report. Level II violations require notification to the Athletics Director, the Faculty Athletics Representative, and the Chancellor. Level I violations will be reported to all three parties upon initial intake of the report as well. The last party that could possibly be notified would be the Title IX Coordinator if the possible violation is in any way associated with gender inequity or assault that requires reporting to the abovementioned party.

Process of Violation Investigations cont.

- Once the initial report is taken and the proper parties are notified, the compliance office will begin interviewing any parties that were possibly involved in the violation. Upon completion of the interview process, the compliance office will confer with the Athletics Director on the plan of action for the particular situation.
- This can range from a determination that no violation occurred to the requirement that the report be forwarded to the conference office and/or the NCAA.
- Regardless of the actions taken after the initial investigation, additional rules education will be provided to the staff members in question. Even if there is no violation, the education provides a preventative measure that allows for the parties in question to avoid any future reports of possible violation in the same realm.
- Once a decision is handed down from the NCAA, if reported, the compliance office will ensure that the staff complies with any punishment that is assessed.



2022 REPORT



TITLE IX



CONTENTS

Introduction

Title IX Turns 50. 6

Pat Summitt's Title IX Legacy 10

Our Mission 14

Our Histoy 14

Our Model 16

Our Work

Compliance and Evaluation 17

Policies and Procedures 19

Mandatory Reporter Training 22

Prevention and Education

UT Knoxville 25

UT Chattanooga. 32

UT Martin 35

UT Southern 36

UT Health Science Center 37

UT Space Institute 39

Our Team

Title IX Team 40

An electronic version of this report
can be accessed online:

titleix.tennessee.edu

INTRODUCTION

“No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving federal financial assistance.”

Title IX of the Education Amendments of 1972

The UT System Office of Title IX spent the last year committed to continuing its work supporting and enhancing Title IX compliance across the University of Tennessee System. As the U.S. Department of Education's Office for Civil Rights issued a new federal Title IX regulation with an implementation date in August of 2020, the Office of Title IX spent much of 2021 collaborating with Title IX Coordinators across the system to ensure both compliance with the new regulation and effective implementation of newly revised campus policies and procedures. While the new regulation and the ongoing impacts of COVID-19 presented new and unique challenges, they also provided opportunities to interact with and support campus community members in new and innovative ways. The Office of Title IX embraced the “United and connected” pillar of the “Be One UT” shared values statement to draw upon the depth of experiences and ideas of our individual campus Title IX staff members for the collective benefit of all the campuses.

4

The Office of Title IX publishes a Title IX annual report each year to provide a transparent summary of our work, increase awareness of education, prevention, and support initiatives, highlight the dedicated work of our campus staff members and their community partners, and ensure ongoing accountability to those we serve. This year, the practice continues, with the added goal of celebrating Title IX's 50th anniversary. Not only did the landmark legislation increase access to higher education from coast to coast, but it also set the stage for the state of Tennessee to play a starring role in the evolution of women's collegiate sports. Pat Summitt, a University of Tennessee Martin graduate and legendary head coach of the University of Tennessee Lady Volunteers basketball team, found in Tennessee the opportunity to not only meet, but to far exceed the expectations others set for her, her athletes, and her athletic program. Title IX provided Coach Summitt the necessary legal foundation upon which to build a program that, with the support of the university and a strong fanbase across the state, continues to serve as a national model of success in women's athletics.



Coach Summitt

This year's report is dedicated to Coach Summitt's memory, and to all those who volunteer to carry a torch to light a new path for others.

Respectfully,

Ashley Blamey, Title IX Coordinator

5

TITLE IX TURNS 50

50 YEARS OF TITLE IX

June 23, 2022, marks 50 years since President Richard Nixon signed Title IX of the Education Amendments of 1972 into law. For the first time, federal law barred federally funded institutions from discriminating on the basis of sex in their education programs and activities. At the time, male undergraduate students outnumbered women, graduate programs (especially medical schools and law schools) routinely refused admission to women, and universities did not offer athletic scholarships or end-of-season tournament opportunities for female athletes.

Title IX's enactment broadly impacted higher education, but it did not happen overnight. On Title IX's 50th anniversary, the UT System highlights the Title IX trailblazers who dedicated their time and energy to tirelessly promoting and advocating for equal opportunity for all in education.

1969



Bernice "Bunny" Sandler

Bernice "Bunny" Sandler, known by many as the "Godmother of Title IX," is denied several faculty positions because of her sex. She begins gathering information about discrimination against women by universities, including arbitrary limits on the number of women hired, discrimination based on a woman's marital status, and the practice of only hiring males for positions in departments like math and science. Sandler then begins filing lawsuits against more than 250 universities, basing her suits on a previously unenforced amendment to an executive order issued by President Lyndon B. Johnson that prohibited federal contractors from discriminating on the basis of sex.

6

1970



Edith Green

Representative Edith Green (OR), serving as Chair of the House Special Committee on Education, holds hearings during the summer to examine discrimination against women in higher education. Green introduces legislation to amend Title VI of the Civil Rights Act of 1964 (which barred discrimination based on race, color, or national origin by recipients of federal funds) to include sex-based discrimination. She is unsuccessful, but is encouraged by colleagues to pursue a separate law banning sex-based discrimination in education. Green joins Representative Patsy Mink (HI) and Senator Birch Bayh (IN) in pursuit of such legislation.

1971



Patsy Mink

Representative Patsy Mink (HI), who was previously rejected by more than ten medical schools based on her gender before graduating from law school, joins forces with Representative Green in the House. As the House considers possible amendments to the Higher Education Act of 1965, Mink and Green draft a provision banning sex-based discrimination in education. Originally called Title X, the provision moves to the full House for review in October of 1971.

At the same time, Senator Birch Bayh (IN) introduces a similar amendment in the Senate without success.

7

TITLE IX TURNS 50

1972

*Birch Bayh*

Senator Birch Bayh (IN), undeterred by the Senate's rejection of his previous amendment, again introduces an amendment prohibiting sex-based discrimination in education when the Senate revisits the topic of higher education. The amendment passes after the addition of an exemption for admissions at private and single-sex institutions. The Senate and House reconcile their bills and the provisions banning sex-based discrimination (in all educational institutions receiving federal funds except for private and single-sex institutions) make it into the final version of legislation, becoming Title IX of the Education Amendments of 1972. Congress approves the bill on June 8, 1972 and sends it to President Nixon's desk.

*Richard Nixon*

President Richard Nixon, himself a longtime proponent of equal opportunity for women, including the advancement of women in executive roles within the federal government, signs Title IX of the Education Amendments into law on June 23, 1972.

8

1988



Congress enacts the Civil Rights Restoration Act of 1987, over President Ronald Reagan's veto, to make clear that if any education program or activity receives federal funds, all of the institution's education programs and activities must comply with Title IX, including athletics.

9

PAT SUMMITT'S TITLE IX LEGACY

CELEBRATING PAT SUMMITT

While Title IX impacted the entire nation, the state of Tennessee stands out with its rich history of championing the abilities and successes of female athletes. That history is inextricably intertwined with the history of the legendary University of Tennessee Lady Volunteers basketball coach, Pat Head Summitt. Coach Summitt used the frustrations she experienced firsthand as a female high school and college basketball player to fuel a career spent showcasing the new heights female athletes could achieve when barriers and discouragement were replaced with opportunity and support.

1966-1970

Coach Summitt, then known as Trish Head, spent years playing basketball with her older brothers in a makeshift court her father erected inside a barn on the family property. When the time came for Coach Summitt to move from middle school to high school, her father moved the family across the county line to support her athleticism, as her would-be high school did not have a women's high school basketball team.

When Coach Summitt played high school basketball at her new school, the Tennessee Secondary School Athletic Association (TSSAA) only permitted female athletes to play six-on-six "split-court" basketball. This meant that three players were positioned on one half of the court, playing offense, while three different players were positioned on the other half of the court, playing defense. Players could not pass the half-court line, meaning a defensive player could not cross the court to score, even when an opportunity for a quick breakaway arose. Ideas about the physical health of women influenced the TSSAA's view that running up and down a full court might cause irreparable injury to Coach Summitt and her female teammates.

10

1970-1974



Coach Summitt enrolled in the University of Tennessee at Martin, where she joined the UTM women's basketball team. The team still played "split-court" basketball, there were no athletics scholarships for women, and the women's athletics director only received a budget of \$500 to support three separate women's sports teams. In 1972, the Olympics announced that full-court women's basketball would be included in the 1976 Olympics, so Coach Summitt quickly learned the full-court game with the hopes of making the 1976 team.

1974



After graduating from UT Martin, Coach Summitt joined the University of Tennessee Knoxville as a physical education teacher and women's basketball coach. Though the university played full-court basketball (as did many other schools in the wake of the 1972 Olympics announcement), she struggled to recruit in-state athletes, as Tennessee high schools were still playing "split-court" basketball (while high schools in many other states had made the switch to the full-court game).

11

PAT SUMMITT'S TITLE IX LEGACY

1976



Coach Summitt made the United States Women's Basketball Olympic team in 1976. The team competed in Montreal, where they took home the silver medal.

1976-1979

Coach Summitt supported efforts in Tennessee to compel the TSSAA to transition high school basketball programs to full-court play for female athletes, including by serving as an expert witness in a prominent court case challenging the TSSAA rules in 1976 and by meeting with high school coaches across the state in an effort to rally support.

In 1979, with her program attracting national attention after earning a national first-place ranking, Coach Summitt announced she would no longer recruit within the state of Tennessee. She clarified that her decision was not based on the talent of Tennessee female athletes, but on the fact that even the best Tennessee athletes were at a disadvantage when compared to out-of-state athletes who had already transitioned to full-court play. The TSSAA, within a month of Coach Summitt's statement, voted to allow full-court play for female high school athletes.

12

1984

Coach Summitt shifted from player to coach to lead the United States Women's Basketball Olympic team to a gold medal in 1984.

2012

Coach Summitt retired after coaching for 38 seasons, leaving a nationally known, and much-beloved, program in her wake. In her time overseeing her program, she advocated for parity with male programs in terms of funding, facilities, and travel accommodations. Coach Summitt and her athletes made 31 consecutive NCAA appearances and won eight national championships, and she saw 39 of her Lady Vols join the Women's National Basketball Association (WNBA).



13

OUR MISSION

Our Mission

Our mission is to serve the University of Tennessee community through our comprehensive Title IX Commitment by ensuring access to education programs and activities free of sex-based discrimination.

Our History

Since Title IX's enactment in 1972, the University of Tennessee has worked to ensure institutional compliance with its federal requirements. Each campus and institute has established systems, policies and processes that have evolved over time, in accordance with revised federal guidance and court rulings. Additionally, as expectations for how institutions of higher education address, respond to, and remedy instances of sex-based harassment have grown, the University has worked both proactively and responsively to meet those expectations.

- In September 2016, then UT President Joe DiPietro appointed an independent commission to review and address Title IX compliance across the UT System. The commission released observations and recommendations in June 2017 for university review.
- In November of 2018, the Department of Education published proposed Title IX regulations.
- The Title IX regulations went into effect on August 14, 2020. In preparation of complying with the new regulations, the System Office of Title IX worked collaboratively with campuses to incorporate the regulatory requirements into existing campus policy and respond to both campus needs and community expectations for compliance.
- The System developed a templated Policy on Sexual Harassment, Sexual Assault, Dating and Domestic Violence, and

Stalking with shared definitions and a common framework while allowing for customization and localization by each campus and institute as required by its own resources and jurisdiction.

- The 2020 regulation, in addition to the independent commission's report, served to guide the Office of Title IX's strategic plan to enhance Title IX compliance across the UT System. Enhancements include:
 - *Creation of a UT System Office of Title IX in 2017 to provide a system-wide Title IX coordinating presence and support cross-system Title IX compliance*
 - *Campus Title IX staffing and resource enhancements*
 - *Case management and care and support enhancements*
 - *Enhanced education, prevention, and training*
 - *System-wide Title IX employee training*
 - *System-wide guidance and support for conducting federally compliant Title IX Hearings*
- The Department of Education indicates a revised draft of the Title IX regulation will be published for public comment in May 2022, repeating the 2020 process. The UT System Office of Title IX anticipates the proposed revisions and remains prepared to collaborate with the system campuses to re-revise campus policies, practices and procedures as necessary to ensure continued compliance with any updated federal requirements.

OUR MISSION

Our Model

Utilizing the commission's report, national benchmarking and current research, UT has identified our Title IX commitment. Grounded in the Social Ecological Model, the University's Title IX commitment emphasizes five key areas:

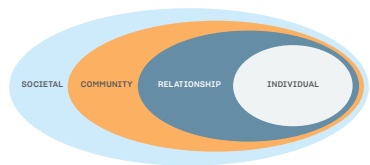
Policy: Our foundation is in the policy and procedures we follow.

Prevention and Education: Our goal is to prevent sexual misconduct, relationship violence, stalking and retaliation before they happen.

Support and Interim Measures: Our promise is to provide support and appropriate interim measures to individuals involved in the Title IX process.

Investigation and Resolution: Our commitments to due process, campus safety and encouraging reporting guide how we investigate and resolve reports.

Patterns and Trends: Our responsibility is to use the best available research, evidence-based practice and our own campus and institute trends in our prevention and response efforts.



16

OUR WORK

Compliance and Evaluation

The University is engaged in an ongoing effort to improve its Title IX compliance activities. The Title IX coordinator implements and uses a collaborative and proactive approach to seeking continuous improvement and supports the utilization of best practices throughout the UT system. This past year, the Office of Title IX primarily focused on continued support for compliance under the 2020 Title IX regulation.

The Office of Title IX supported system-wide Title IX compliance through the following ongoing and completed objectives:

- i. Developing a **templated Policy on Sexual Harassment, Sexual Assault, Dating and Domestic Violence, and Stalking** with shared definitions and a common framework that allows for campus localization and customization as needed.
- ii. Continuing support for campus **implementation of the 2020 Title IX policies** via weekly meetings, ongoing legal updates, and guidance documents.
- iii. Providing **system-wide Title IX training** addressing the required elements of the 2020 Title IX regulation.
- iv. Updating terms and definitions associated with the collection of Title IX data across the UT System to **ensure internally consistent compliance assessments** and compliance with the 2020 Title IX regulation.
- v. **Enhancing the Office of Title IX website** to include links and information regarding 2020/2021 training materials, campus Annual Title IX reports, definitions of prohibited conduct, and campus Title IX policies.

17

OUR WORK

- vi. **Creating Title IX compliance documents, templates, and resources** for system-wide use. The resources created included formal complaint forms, intake checklists, notices and letters to complainants and respondents, process flow charts, and guidance documents for hearing officers and advisors.
- vii. **Drafting a Title IX Hearing manual for Hearing Officers.** The manual is available for use and localization across all system campuses.
- viii. Facilitating campus **compliance with Title IX notification requirements** for websites, handbooks, and catalogs for students and employees.

In the spring of 2019, UT developed a standard format for reporting and tracking Title IX-related data across the System. This fall, the University updated their recordkeeping systems to comply with the terms and definitions under the new Title IX policies. The information collected by each campus is published in an annual campus Title IX report. Campus Title IX annual reports can be accessed online via the following campus links:

[UT KNOXVILLE](#)

[UT CHATTANOOGA](#)

[UT MARTIN](#)

[UT SOUTHERN](#)

[UT HEALTH SCIENCE CENTER](#)

[UT SPACE INSTITUTE](#)

Policies and Procedures

The University's Title IX-related policies provide guidance for specific activities and transactions so that the institution acts in accordance with applicable laws, and in a way that supports the mission and core values of the University. Each campus implemented new Title IX-related policies in response to 2020's new federal Title IX regulation.

Campus policies outline the rights and responsibilities of faculty, staff and students as they pertain to Title IX.

Key provisions of the University's response to the 2020 regulations include:

- **Definition of Sexual Harassment**
Campuses adopted the regulation's definition of Sexual Harassment.
- **Jurisdiction**
Campuses have applied the Title IX regulation jurisdiction in their policy on sexual harassment, sexual assault, dating and domestic violence and stalking. Campuses will address both Title IX and Non-Title IX prohibited conduct in the same policy.
- **Training Requirements**
System-wide training for Title IX officials completed in 2020 and 2021. The training materials are [posted](#) online and uploaded in K@TE.
- **Standard of Evidence**
Campuses continue to use the preponderance of the evidence standard.

OUR WORK

- **Informal Resolution**

Campuses offer and facilitate informal resolution options as allowed by the regulation.

- **Supportive Measures**

Campuses continue to provide support resources to individuals who report Title IX and Non-Title IX Prohibited Conduct.

- **Investigation and Grievance Process**

Title IX Prohibited Conduct is addressed through the newly developed Title IX hearing process. All other Prohibited Conduct (Non-Title IX) is addressed using the existing options prior to the regulatory transition.

Complaints regarding discrimination based on sex are addressed in the following campus' discrimination complaint policy and procedures.

Campus policies and procedures can be accessed via the following links:

[University of Tennessee, Knoxville / Institute of Agriculture / Institute for Public Service / UT System](#)

[University of Tennessee at Chattanooga](#)

[University of Tennessee at Martin](#)

[University of Tennessee at Southern](#)

[University of Tennessee Health Science Center](#)

[University of Tennessee Space Institute](#)

In addition to the policies referenced above, the University's Chattanooga and Knoxville campuses have dedicated Student Pregnancy Accommodations policies. The policies can be found online:

[UTK - Student Pregnancy Accommodations](#)

[UTC - Student Pregnancy Accommodations](#)

OUR WORK

Mandatory Reporter Training

Federal law requires UT System campuses to designate at least some employees as officials with the authority to respond to known reports of sexual harassment. UT policy refers to such officials as “Mandatory Reporters,” and nearly all campus employees (generally only excluding employees deemed confidential by licensure) serve as Mandatory Reporters when reports concern students. The policy requires Mandatory Reporters to forward reports or information about alleged sexual harassment or sexual violence under the policy to the campus’ Title IX Coordinator for review. Such referrals provide the Title IX Coordinators the ability to contact alleged complainants with care and support resources, safety information, and options for reporting to police or a university investigator. Providing annual training to Mandatory Reporters is critical, as referrals from Mandatory Reporters to campus Title IX Coordinators account for a large number of campus reports.



UT campuses clearly communicated training requirements for the 2021 – 2022 academic year and routinely encouraged employees to complete the training. Such efforts resulted in the following exceedingly high training completion rates:

22

UT Knoxville



UT Chattanooga



UT Martin



UT Southern



UT Health Science Center



UT Space Institute



23

PREVENTION AND EDUCATION

The University facilitated system-wide Title IX training for a second year in a row. The virtual, self-paced training included the following:

- *The definitions of prohibited conduct included in the University's policy;*
- *The scope of the University's education program or activity;*
- *How to conduct the grievance process outlined in the policy and appendices (including investigations, hearings, appeals and informal resolution processes);*
- *How to serve impartially (including avoiding conflicts of interest, personal biases and prejudgment of the facts of a matter).*

2021 training materials can be accessed [here](#).

PREVENTION & EDUCATION - UTK

UNIVERSITY OF TENNESSEE, KNOXVILLE

Athletics Prevention Programming and Wellness Plan

Throughout 2021 the student-athlete wellness program continued to grow. Prevention, training, and mental health and wellness support for student-athletes expanded as the Athletics Department hired an Assistant Director of Mental Health and Wellness in the fall. The assistant director is a licensed mental health therapist, and their role is to provide student-athletes with educational programming each semester and meet with student-athletes for counseling sessions.

Since beginning with the university, the assistant director has gained feedback from student-athletes to enhance wellness programming. This has allowed wellness sessions to be tailored to meet team-specific needs. Wellness sessions covered topics including, but not limited to: consent, being an ACTIVE Bystander, healthy relationships, sexual well-being, trauma, substance-use reduction, healthy social media use, and domestic and dating violence. During all programs, student-athletes were provided information and resources available for both on and off-campus support and reporting options.

The Athletics Department continued to partner with the Office of Title IX, the Thornton Athletics Student Life Center, and the Center for Health and Education and Wellness. Through the support of the Office of Title IX, Athletics has also begun a relationship with the Office of Sorority and Fraternity Life to collaborate on prevention resources and opportunities for student engagement.

14 Teams 62 Wellness Sessions 518 Student-Athletes Trained

When asked for feedback on suggestions via an anonymous survey in Fall 2021, athletes had the following to say regarding the enhancements made to student wellness programming:

PREVENTION & EDUCATION – UTK

"I really enjoyed the session. I liked how engaged you were with us and how open we were able to be with you. I may be coming to see you in the future." - Women's Golf

"I thought the program was great. The program was great and informative." - Baseball

"I thought she did really well and this is my 5th year in the meeting." -Track & Cross Country

"I think it was helpful and spot on. Very fun and informational." - Softball

Tennessee Athletics Celebrates Sexual Assault Awareness Month

During Sexual Assault Awareness Month (SAAM), Tennessee student-athletes participated in the SAAM Day of Action. The purpose of the SAAM Day of Action was for members of the UT community to take action to raise awareness and start a conversation about sexual assault through a [tabling event](#). Lead by the student-athlete development staff in the Thornton Center, student-athletes assembled 100 AfterCare Kits for the Sexual Assault Center of East Tennessee that included a t-shirt, sweat pants, socks, journal, pen, and a toothbrush and toothpaste. Members of the Student-Athlete Advisory Council (SAAC) also created a [video](#) that was shared on social media to raise awareness about SAAM and the ways in which student-athletes can take action. The video, which was viewed over 3,500 times, depicted student-athletes stating they will take action by:

- *actively listening*
- *being respectful to others*
- *educating myself with resources*

- *being judgment free*
- *setting an example with my behavior*
- *supporting survivors*
- *using my voice on social media to help spread awareness*
- *believing with others speak up*
- *offering support*
- *validating others' experiences*
- *empowering others to speak up*

Office of Sorority and Fraternity Life Highlights

In the summer of 2021 the Office of Sorority & Fraternity Life (OSFL) created and filled a coordinator for harm and risk reduction position, which focuses on harm and risk reduction education, executes the Health and Safety Summit, develops and facilitates organizational risk management training, and chairs the hazing prevention team and OSFL prevention team, as well as serves on the Title IX prevention team. With the addition of this position, in the fall of 2021 alone, OSFL had 20 health and safety programs and reached 6,909 students. These programs covered topics related to hazing education, alcohol and substance abuse, bystander intervention, decision making, and safe event planning.

The new coordinator for harm and risk reduction's role chaired the OSFL prevention team [OSFL staff, the Office of Title IX, the Center for Health Education and Wellness (CHEW), and the Office of Student Conduct and Community Standards (SCCS)], which met on a monthly basis. The team discussed current health and safety trends within the sorority and fraternity community and executed programmatic collaborations. One such program included the semesterly OSFL Health and Safety Summit. This summit aims to increase sorority and fraternity members knowledge around alcohol,

PREVENTION & EDUCATION – UTK

drugs, hazing, sexual misconduct, bias education, and mental health. Members of the prevention team all served as breakout session facilitators and developed health and safety scenarios for the 2021 programs. 310 students attended the summit, doubling the attendance from the previous year.

OSFL, along with the Office of Title IX, Office of Information Technology (OIT), SCCS, and the Office of Assessment and Strategic Initiatives for Student Life (OASI) worked together to review and update the new member orientation module that was created in 2020 for new members of the Interfraternity and Panhellenic communities. In total, 2,841 students completed the module. The following were some key takeaways from the fall 2021 data (2,522 participants):

There was a 91.16 percent increase pre- to post-evaluation in acknowledging that the Office of Title IX can support students in health and safety along with an increased awareness in all other offices that support these topics.

Additionally, the qualitative data about what students gained from the module revealed the following:

- "It showed me how committed everyone at UTK is to making sure all students stay safe and there are several resources. It also showed me that it is important to check up on your peers as well as yourself."*
- "It really made me understand how important it is to speak up and always watch out for our fellow Vols! Never be afraid*



to speak up if something is wrong. I learned about all of the amazing ways UTK offers support and help for their students, and also how the students can take charge and watch out for their classmates."

- "It helped me to better understand my options and resources when in a difficult situation. Now if I am ever in a situation like that I will have a better idea of what to do instead of just panicking."*

Office of Title IX

In the month of October, the Office of Title IX hosted three "Support with Sweets" tabling events on campus to share information about the role of Title IX on campus, supportive measures offered by Title IX, and other campus resources and community partners. Tabling locations included Fred Brown lawn, the pedestrian walkway, and Hodges library. During these events, resource cards and information pamphlets were provided to students, faculty, and staff. Visitors were also able to answer trivia questions to win prizes such as candy, pumpkins, and VOLS A.C.T. mugs. During the three events, Title IX staff spoke with 112 students, faculty, and staff.



VOLS HELP ALL: Creating Care Packages for Survivors of Sexual Violence – Evaluation Report

In spring, the Office of Title IX was awarded a \$1,990 sponsorship from the Division of Diversity and Engagement. Sponsorship grants are provided for individuals and teams to support programs that address UT's land-grant mission of teaching, research, and service and public engagement. The awarded project was named VOLS

PREVENTION & EDUCATION – UTK

HELP ALL: Creating Care Packages for Survivors of Sexual Violence, and the events were scheduled as part of the university's Sexual Assault Awareness Month in partnership with the Center for Health Education and Wellness, the Office of Sorority and Fraternity Life, the Department of Child and Family Studies, and the Sexual Assault Center of East Tennessee.

The first portion of VOLS HELP ALL, which involved creating aftercare packages for survivors of sexual violence, was held in April. Before the event, the following items were ordered: bags, bag labels, shampoo, conditioner, soap, toothbrushes, toothpaste, journals, pens, sweatpants, shirts, and hand sanitizer. Students involved in leadership positions within the Greek community were invited to participate, and all activities were held in accordance with COVID-19 guidelines set by the university. Aftercare package items were set up in an assembly line fashion, with fact sheets regarding topics such as consent, available resources, and statistics at each station. Representatives from the Office of Title IX, the Office of Sorority and Fraternity Life, and the Sexual Assault Center of East Tennessee were available throughout the duration of the event. Of the nine students that attended, 100 percent strongly agreed that following the event, they: (1) had a greater understanding of consent; (2) had a greater understanding of the available on- and off-campus resources; (3) had a better understanding of the prevalence of sexual violence and the impact that it can have on individuals; (4) had a better understanding of the steps to take when supporting a friend who has experienced sexual harassment; and (5) felt gratitude for being able to support the Sexual Assault Center of East Tennessee. In total, 100 aftercare packages were assembled at the event and were delivered to the Sexual Assault Center of East Tennessee.

The second portion of the event, which included a presentation entitled "I didn't want to, but I did it anyway: The power of gendered roles and sexual scripts," was held on April 20. The presentation was moderated by Bilqis Amatus-Salaam with the Center for Health Education and Wellness and was facilitated by Dr. Megan Haselschwerdt, an associate professor in the Department of Child and Family Studies. Presentation topics included defining consent,

what drives conscious and unconscious decisions regarding consent, gender roles, sexual scripts, and intersectionality theory. Of the 28 participants that attended, 11 completed the evaluation form: six faculty/staff members, three undergraduate students, and two graduate students. 100 percent of the respondents agreed or strongly agreed that following the presentation, they: (1) had a deeper understanding of what does and does not determine consent as it is related to sexual activity; (2) understood the impacts of gender roles in a sexual relationship; and (3) understood the impacts of sexual scripts in relationships. Further, 90.9 percent of survey respondents also strongly agreed or agreed that following the presentation, they had a greater understanding of what intersectionality theory entails. Additional feedback from respondents included statements such as,

- *"The overall presentation was very informative. I appreciated the discussion about acquiescence and the many scenarios in which it occurs."*
- *"I felt like you created a comfortable environment for a not-so-comfortable topic to be discussed."*
- *"I was familiar with consent and the roles gender and race can play in sexuality, but I learned so much more about the intersection of all of these."*



PREVENTION & EDUCATION - UTC

UT CHATTANOOGA

Prevention, Education and Training

The COVID-19 pandemic necessitated a different approach to prevention education in 2020, and the vast majority of events were held via Zoom or other online platforms. UTC also utilized online training modules to educate students, faculty, and staff about Title IX.

Student Education

• **Orientation:** UTC's new student orientation continued to be online for the summer of 2021. Incoming freshman and transfer students were provided with a short video that included an appearance by UTC's Title IX Coordinator and information about Title IX, consent and resources. In addition, fourteen 45-minute Campus Safety, Title IX, and Emergency Management sessions were held throughout June and July. During the sessions, the Title IX Coordinator, UTPD, Safety and Risk Management staff, and the Associate Dean of Students provided short presentations and then answered questions from attendees. As in 2020, UTC's Title IX Coordinator and the Director of the Center for Women and Gender Equity also created a short, narrated PowerPoint that new students could view in UTC's learning platform, Canvas. The PowerPoint gave more detailed information about consent and UTC's support and resources. New graduate students completed a mandatory reporting video and quiz that was created by the Title IX Coordinator.

• **Online modules:** Freshmen and transfer students were required to complete Sexual Assault Prevention for Undergraduates (SAPU), an online module created by training provider Everfi. The module includes information about sexual assault, relationship violence, stalking, bystander intervention, consent, and other important topics. Incoming graduate students were required to complete Everfi's Sexual Assault Prevention for Graduate Students, which

includes information on all of the same topics as SAPU, but is geared toward graduate students.

• **Events and workshops:** The Center for Wellbeing (CWB) and the Center for Women and Gender Equity (WaGE) held many prevention events throughout the year. January: Stalking Awareness Month Social Media Takeover (CWB); February: Can We Talk? Envisioning Your Healthy Relationship; March: Can We Talk? Breaking Up (CWB), Consent-a-thon (CWB) ; April: Dear Survivor Letters Display (CWB, WaGE), Can We Talk? identifying and Communicating Boundaries (CWB), Sexual Assault and Rape Culture (WaGE); August: Consent-a-Thon (CWB); September: Red Zone Carpet (CWB), Can We Talk? First Dates (CWB); October: Take Back the Night (CWB, WaGE); November: Can We Talk? Accountability (Healthy relationships) (CWB), Home for the Holidays (Healthy relationships) (CWB)

• **Online modules:** UTC utilized Everfi's Building Supportive Communities to educate both new and ongoing faculty and staff about sexual misconduct, relationship violence, stalking, bystander intervention, and how to support a student who reports an incident. 1,376 UTC employees (84%) completed this module in 2021.

• **New faculty orientation:** UTC's Title IX Coordinator conducted an hour-long session during New Faculty Orientation in August 2021. Topics included Title IX, resources and support available for students, faculty and staff, and mandatory reporting.

• **Mandatory Reporter training:** UTC's Title IX Coordinator conducted Zoom training sessions about employee mandatory reporter responsibilities with different groups and departments across campus in 2021, including: Aquatic and Recreation Center student and professional staff; First Year Experience instructors; Graduate Teaching Assistants; MucUp Mentors; Resident Assistants; Resident Directors; University



PREVENTION & EDUCATION - UTC

Center student and professional staff; and Veteran Student Services.

Campus Events Highlights

Below are some of the on-campus events provided for students, faculty and staff:

- **Can We Talk? Series:** UTC's Center for Student Wellbeing held five different Can We Talk? healthy relationship workshops in 2021. The topics included beginning and ending relationships, accountability, and improving communication.
- **Consent Workshops:** UTC's Center for Student Wellbeing hosted several consent workshops and tabling events throughout 2021, including Consent-a-thon and Consent and Cocoa.



- **Healthy Relationships Week:** UTC's Center for Student Wellbeing hosted several events during Healthy Relationships Week (February). Events included Healthy Relationships 101, Step Up! Against Dating Violence Training, Healthy Relationship Craft Night w/ Housing, and Queering Healthy Relationships.



34

PREVENTION & EDUCATION - UT MARTIN

UT MARTIN

Education, Training and Prevention Highlights

The Center for Women and Gender Equality, Healthy Hawks, UTM CARE Team, and the Women's Resource and Rape Assistance Program (WRAP) held several events during Sexual Assault Awareness Month, including a Survivor and Policy Panel, a Proclamation Signing designating April as Sexual Assault Awareness Month, and a Walk the Quad event with Chancellor Carver, Monte Belew, and the CARE team. 100 students, faculty, and staff participated in the "Rock Out Against Rape" event. Participants were given bags containing supplies to paint rocks with affirmative messages to place throughout the community.



35

PREVENTION & EDUCATION - UT SOUTHERN

UT SOUTHERN

Education, Training and Prevention Highlights

On October 13, the Office of Title IX hosted a tabling event to mark Domestic Violence Awareness Month in October. Partnering with a local survivor-advocacy shelter, Center of Hope, the tables were staffed by professional counselors, survivor advocates, and court escorts. Students and community members had the opportunity to read testimony from domestic violence survivors and engaged in conversations about spotting red flags early in relationships. Participants were invited to sign a pledge to prevent domestic violence, paint one fingernail to show solidarity with survivors, and make a sign about the #1thing they will do to prevent domestic violence in our community. 66 students, plus a variety of faculty and staff members, visited!



36

PREVENTION & EDUCATION - UTHSC

UT HEALTH SCIENCE CENTER

Education, Training and Prevention Highlights

Stalking and Technology – The Office of Inclusion, Equity, and Diversity published an article to UTHSC news to identify what can be done if stalking is identified. This article also lists safety-planning tips and resources for those who have experienced stalking to explore options with an advocate on what to do in this situation. **Stalking and Sexual Assault** – The Office of Inclusion, Equity, and Diversity published this article to UTHSC news which highlights the ways in which trauma is experienced by those of whom who've faced these issues. Along with this, campus resources and counseling support/assistance information is listed to help victims find support.



Trauma-Informed Yoga Class – In April 2021, The Office of Inclusion, Equity, and Diversity, in

partnership with Block and Bolster, offered a Trauma-informed Yoga class.

• **RAINN Day Consent Conversations Boundaries** – On April 6, OIED announces an Instagram live conversation was facilitated by RAINN college intern Emma Clary and clinical director Ebonique Bethea on how we can support survivors on campus.

37

PREVENTION & EDUCATION - UTSI

• **RAINN Day Consent Conversations Survivors Share – On April 7**, OIED shares campus sexual assault survivors from the RAINN Speakers Bureau held a Facebook and YouTube panel discussion.

• **Won't Stay Quiet: A RAINN Day Celebration for Survivors – On April 8**, OIED promotes the RAINN network held a celebration in honor of survivors and student leaders fighting for change on college campuses. This event was held on Facebook and YouTube with special guests and musical performances. Denim Day – Students, faculty, and staff made a statement by wearing denim in support of survivors of sexual violence.

• **Purple Selfies** – OIED held a drawing for UTHSC students, faculty, and staff who submitted a selfie wearing purple to win a free shirt!

• **Shelter Donations** – Students, faculty, and staff were asked to donate items found on the YWCA Shelter Wish List. Those who contributed received a free DVAM/NSAAM mask and entry to win a free shirt!

• **Bystander Intervention training** was offered to students, faculty and staff for HR128 credit.

• **Mandatory Reporting Training** – 2,500 WUTHSC faculty and staff completed the 2021 Mandatory Reporter/Responsible Employee Training. This online training was available from January 1 – December 31, 2021.

UT SPACE INSTITUTE

Prevention, education, and training are a cornerstone of the UT Space Institute's efforts to create a climate that is safe and supportive for all. The UTSI Office of Human Resources and Equity & Diversity offered training covering the policy and mandatory reporter responsibilities for all new employee and faculty orientation sessions. Other employee and faculty workshops included training on mandatory reporter responsibilities, sexual harassment, Title IX, and gender discrimination. The Safety, Security and Emergency Management Coordinator is involved in developing training sessions that will occur throughout the year for designated personnel that may be primary contacts for sexual misconduct, relationship violence, and stalking complaints. The headcount for new employees and students during 2021 is as follows:

- *New faculty and staff orientation: 45 new hire individual orientation sessions.*
- *New student orientation: Group orientation session at the beginning of the academic semester for all 15 new students.*



Dr. Simonton, Associate Executive Director of Academic Affairs

TITLE IX TEAM

**Ashley Blamey**

TITLE IX COORDINATOR
UNIVERSITY OF TENNESSEE SYSTEM ADMINISTRATION AND
UNIVERSITY OF TENNESSEE, KNOXVILLE
ashleyblamey@utk.edu

Ashley Blamey serves in a dual role as Title IX coordinator for the UT system and UT Knoxville.

Serving in both capacities, Blamey is able to facilitate critical communication between officials with UT system and all UT campuses. Enhanced communication and interaction across the University system enables more informed decision making and evaluation of practices by all UT campuses.

As system-level coordinator, Blamey is responsible for tracking best practices and legal developments; collaborating with other UT Title IX officials in policy evaluation and development; measuring program effectiveness; identifying optimal training, prevention and awareness building efforts and resources for implementation; and overseeing annual reporting on the frequency and nature of incidents and complaints.

As UT Knoxville coordinator, Blamey is responsible for coordinating campus efforts to comply with and carry out Title IX responsibilities including promptly, thoroughly and equitably investigating and resolving reports of prohibited conduct to eliminate prohibited conduct, prevent its recurrence and remedy its effects.

Blamey has a bachelor's degree in special education from East Tennessee State University and both master's and doctoral degrees in social work from UT Knoxville. She joined UT Knoxville in 2008 as its inaugural student case management specialist. She has served the campus as the director for the Center for Health Education and Wellness and assistant vice chancellor for student life. Blamey is currently the University's representative on the National Academies of Sciences, Engineering, and Medicine Action Collaborative to prevent sexual harassment in higher education. Under her leadership, UT Knoxville was awarded a grant from the U.S. Department of Justice to develop best practices related to education about and prevention of sexual assault, domestic violence, dating violence and stalking.

40

**Michelle Buck**

DEPUTY TITLE IX COMPLIANCE COORDINATOR
UNIVERSITY OF TENNESSEE SYSTEM ADMINISTRATION
michellebuck@tennessee.edu

Michelle Buck joined the University of Tennessee System in November of 2021 as the deputy Title IX compliance coordinator. Buck's role serves the system campuses by tracking legal developments, collaborating with other UT Title IX officials in policy evaluation and development, providing investigative and case adjudication support, and serving as a general resource for UT System Title IX compliance.

Before joining the UT System, Buck spent five years serving the UT Knoxville campus, first as a Title IX investigator, and later as an associate director in the Office of Equity in Diversity. Before moving to Tennessee, Buck served as the assistant director of academic success and student affairs the Mercer University Walter F. George School of Law in Macon, Georgia. Buck is licensed to practice law in Illinois and Georgia. She earned her Bachelor of Arts degrees in English literature and political science from Miami University in Oxford, OH, and her Juris Doctor at Temple University's Beasley School of Law in Philadelphia, PA.

**Stephanie Wood Rowland**

TITLE IX COORDINATOR
UNIVERSITY OF TENNESSEE AT CHATTANOOGA
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Stephanie Rowland became Title IX coordinator at UT Chattanooga in March 2015 and served through November of 2021. Rowland focused her work on prevention, mandatory reporter education, and developing campus processes and structures that would ensure that complainants and respondents were supported throughout the Title IX student conduct process. Prior to joining UT Chattanooga,

Rowland was director of student conduct and integrity and Title IX coordinator at Longwood University in Farmville, Virginia. She has also served as a deputy county attorney for Pima County, Arizona. Rowland earned a bachelor's degree from Virginia Tech and a law degree

41

TITLE IX TEAM

from the University of Arizona. She is licensed to practice law in Arizona, Ohio and Virginia. The UT System Title IX team thanks Rowland for her commitment to Title IX work during her time at UTC.



James (Jim) Hicks

ASSISTANT VICE CHANCELLOR FOR STUDENT AFFAIRS AND DEAN OF STUDENTS,
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UNIVERSITY OF TENNESSEE CHATTANOOGA
Jim-Hicks@utc.edu

The team welcomes Jim Hicks, assistant vice chancellor for student affairs and dean of students, who began serving as interim Title IX coordinator in November of 2021. Hicks has served UTC for more than twenty years, before which he worked as an assistant dean of students at Radford University. Hicks earned a degree in English from the

University of Alabama and a Master's degree in education from Virginia Tech.



Margaret Toston

INTERIM DIRECTOR OF EQUITY AND DIVERSITY,
INTERIM TITLE IX COORDINATOR
UNIVERSITY OF TENNESSEE MARTIN
mtoston@utm.edu

Margaret Toston joined UT Martin in 2008 as vice chancellor for student affairs. She served previously as vice president for student affairs at Central Connecticut State University, dean of student life and development at Maryville University of Saint Louis, Missouri, and director for minority student retention and enrichment, among

other positions. Toston earned a Ph.D. in higher education Leadership from the University of Mississippi, a M.Ed. in guidance/counseling from University of Louisiana at Monroe, and a B.S. in speech education from Grambling State University. The UT System Title IX team thanks Toston for her dedication to her work as she transitions out of her role.



Dominique Crockett

TITLE IX COORDINATOR AND DIRECTOR OF THE OFFICE OF EQUITY,
AND DIVERSITY
UNIVERSITY OF TENNESSEE AT MARTIN
dcrock12@utm.edu

The team welcomes Dominique Crockett, who began her service as UTM's Director of Equity and Diversity, and Title IX Coordinator, in February of 2022. Prior to joining UTM, Crockett spent more than three years at UTHSC as an Assurance Officer, and more than four years working for the Louisiana Department of Health. Crockett earned a Bachelor of Science in biology at Southern University and

A&M College and a Master's of health administration at Louisiana State University.



Sarah Catherine Richardson

TITLE IX COORDINATOR AND DIRECTOR OF STUDENT LIFE
UNIVERSITY OF TENNESSEE SOUTHERN
scrigh@utsouthern.edu

Sarah Catherine Richardson became Title IX Coordinator at the former Martin Methodist College in October 2019, and, upon the creation of UT Southern, continued in that role beginning in July 2022. Richardson also serves UT Southern as Director of Student Life and Chief Diversity Officer, and in all these roles works to provide students with the most supported, personalized education possible. Her approach to Title IX at UT Southern hinges on her accessibility to all members of the community to encourage prompt reports and thoughtful dialogues across campus. Richardson works closely with Athletics, HR, and Academic Affairs to ensure compliance, in addition to student-facing efforts to provide education focused on prevention, healthy relationships, and consent.

Prior to joining UT Southern, Richardson worked at Saint Anselm College in Manchester, New Hampshire and Boston College in Chestnut Hill, Massachusetts. Originally from Mississippi, she obtained both her bachelor's and master's degrees from Boston College before relocating back down south.

TITLE IX TEAM



Michael Alston

TITLE IX COORDINATOR, ASSOCIATE VICE CHANCELLOR,
AND CHIEF DIVERSITY OFFICER
UNIVERSITY OF TENNESSEE HEALTH SCIENCE CENTER
malston1@uthsc.edu

Michael Alston is the associate vice chancellor, chief diversity officer, and Title IX coordinator at UTHSC. His career at UTHSC spans 20-plus years in various roles within the Office of Inclusion, Equity, and Diversity (OIED). Previously, he served as employee relations specialist, student conduct officer, and Title IX coordinator.

In leading the Office of Inclusion, Equity, and Diversity at UTHSC, Alston also chairs the Diversity and Inclusion Advisory Council (DIAC) and serves as the Title VI coordinator and Americans with Disabilities Act coordinator for the campus. His OIED team has implemented several popular programs around diversity and inclusion and social justice including the Diversity Certificate Program (DCP), Inclusive Engagement Program (IEP) the IMPACT Awards and the Diversity and Inclusion Book Club.

Alston came to UTHSC from UT Knoxville where he served as associate director for admissions in the Memphis office. In that role, Alston led UT Knoxville's student recruitment efforts in Memphis and West Tennessee. Prior to UT Knoxville, Alston worked at UT Martin in the areas of admissions and residence life, respectively.

Alston earned a Master of Science in educational psychology from UT Martin, a Doctor of Education from Peabody College at Vanderbilt University, and a Bachelor of Science in psychology from UT Martin.



Patricia Burks-Jelks

TITLE IX COORDINATOR, DIRECTOR OF HUMAN RESOURCES,
AND EQUITY AND DIVERSITY OFFICER
UNIVERSITY OF TENNESSEE SPACE INSTITUTE
pjelks@utsl.edu

Patricia Burks-Jelks has been employed with the University of Tennessee Space Institute (UTSI) in Tullahoma for more than 30 years where she serves as Title IX coordinator, director for human resources and equity and diversity officer. She is a graduate of Middle Tennessee State University where she earned a Bachelor's Degree in Social Work and a Master's Degree in Professional Studies, with an emphasis in strategic leadership. She is also a graduate of the UT Leadership Institute.

For a second stint, Burks-Jelks has recently been elected as president of Women in Higher Education in Tennessee (WHET). In conjunction with this appointment, the organization awarded her the "June Anderson Award" recognizing her "outstanding contributions in promoting equality for women in higher education." She received this same award from the organization in 2012. Patricia is the past president of the Highland Rim Chapter of the Society for Human Resource Management (SHRM) and continues to serve on this board in an advisory capacity. She is also a past president of the Tennessee Chapter of the College and University Professional Association for HR (CUPA-HR). During her CUPA-HR leadership, she was awarded the "Meritorious Service Award" from Southern Region CUPAHR recognizing her leadership and recognizing her as a pioneer for being the Tennessee chapter's first African American President.

In her community, Burks-Jelks serves as executive director for the Franklin County Faith Based Recovery Coalition, a non-profit that supports individuals and families in recovery.

PHOTO CREDITS

Many thanks to UT Athletics and UT Martin Public Relations for generously providing images for this report. Complete credit and citation information for images and historical content in order of appearance:

Page 5:

- Coach Summitt photo courtesy of UT Athletics

Page 6:

- Bunny Sandler photo – American Institute of Physics' Niels Bohr Library & Archives
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- Birch Bayh photo – U.S. Library of Congress
- Birch Bayh historical information – [IndyStar](#) and the Congressional Record

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- Richard Nixon historical information – Richard Nixon Foundation and the [U.S. Library of Congress \(Law Library\)](#)

Page 9:

- Logo – UT Athletics

Pages 10 – 13:

- Coach Summitt historical information - Full Court Press: How Pat Summitt, a high school basketball player, and a legal team changed the game, by Bill Haltom and Amanda Swanson (The University of Tennessee Press, 2018)
- Photo (page 11) – UT Martin Public Relations
- Logo (page 11) – UT Athletics
- Photos (pages 12 and 13) – UT Martin Public Relations



To learn more or become involved with our work visit: titleix.tennessee.edu or contact Title IX Coordinator Ashley Blamey at ashleyblamey@utk.edu.

Campus Title IX annual reports can be accessed online via the following campus links:

UT KNOXVILLE

UT CHATTANOOGA

UT MARTIN

UT SOUTHERN

UT HEALTH SCIENCE CENTER

UT SPACE INSTITUTE



THE UNIVERSITY OF
TENNESSEE
SYSTEM

<https://titleix.tennessee.edu>



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

4

AGENDA ITEM SUMMARY

Meeting Date: June 23, 2022

Committee: Audit and Compliance

Item: **Consent Agenda**

Type: Information

Presenter: Amy Miles, Committee Chair

There are no action items on the Committee Consent Agenda for approval; however, certain information items have been placed on the Committee Consent Agenda. These items will not be presented or discussed in the Committee unless a Committee member requests removal of an item from the Consent Agenda. The Bylaws provide that an item will not be removed from the Consent Agenda solely for the purpose of asking questions for clarification. Those questions should be presented to the Chief Audit and Compliance Officer before the meeting. Unless there is a request to remove an information item for review or discussion, the information items will be deemed to be accepted.

**The University of Tennessee
May Audit Plan Status
For the Year Ending December 31, 2022**

4.1

Audits		Status
Prior Year	System Access Life Cycle	In Progress
Prior Year	System Background Checks	In Progress
Prior Year	System I-9 Compliance	In Progress
Prior Year	System Online Student Fees	In Progress
Prior Year	UTK Lab Safety	In Progress
Prior Year	HSC Vendor Management Program	In Progress
Prior Year	UTC Academic Policy Compliance Review	In Progress
Prior Year	IPS Policy Compliance Review	In Progress
2022	Systemwide 2021 Complete College Tennessee Act	Scheduled
2022	Systemwide Capital Projects	Scheduled
2022	Systemwide IT: Department Managed IT Security	Scheduled
2022	Systemwide IT: Vulnerability Management	Scheduled
2022	UTSA President	Scheduled
2022	UTK Academic Policy Compliance Review Haslam College	Scheduled
2022	UTK Athletics	Scheduled
2022	UTK Chancellor	Scheduled
2022	UTK Faculty Conflict of Interests	In Progress
2022	UTK HR Background Checks	Scheduled
2022	UTK Physical Security	Scheduled
2022	HSC Administrative Policy Compliance Review	In Progress
2022	HSC Cash Controls	In Progress
2022	HSC College of Dentistry Controlled Substances and Cash	In Progress
2022	HSC IT: Change Management	In Progress
2022	HSC Office of Research and Sponsored Programs	Scheduled
2022	UTC Administrative Policy Compliance Review	Scheduled
2022	UTC Athletics	In Progress
2022	UTC Cash Controls	Scheduled
2022	UTC Chancellor	Scheduled
2022	UTC Minors on Campus	Scheduled
2022	UTC Vendor Insurance	In Progress
2022	UTM Administrative Policy Compliance Review	Scheduled
2022	UTM Athletics	Scheduled
2022	UTM OVC Special Assistance Funds	Scheduled
2022	UTS Administrative Policy Compliance Review	Scheduled
2022	UTS Athletics	In Progress
2022	UTS Chancellor	Scheduled
2022	UTIA Extension Regional and County Offices Western Region	In Progress

Advisory		Status
Prior Year	System Business Manager's Guide Refresh	In Progress
Prior Year	HSC Graduate School of Medicine Phase 2	In Progress
2022	Systemwide Business Impact Analysis Assessment	In Progress
2022	Systemwide DASH System Implementation Review	Scheduled
2022	Systemwide Departmental Management Guide	Scheduled
2022	Systemwide Self Assessment of Controls	In Progress
2022	UTK Operational Efficiency	Scheduled
2022	UTK Purchasing	Scheduled
2022	UTK SWORPS Grant Procurement and Travel Cards	In Progress
2022	UTC Emergency Management Accreditation	Scheduled
2022	UTC Lab Fee Utilization	Scheduled
2022	UTC WUTC Radio Station	Scheduled
2022	UTS Safety	Scheduled
2022	UTIA Extension Money Handling	In Progress
2022	UTIA Hiring Process	In Progress

Investigations		Status
Prior Year	HSC Conflict of Interest	In Progress
Prior Year	HSC Parking Services	In Progress
2022	Systemwide Miscellaneous Fraud Allegations	Scheduled
2022	UTK Dean of Students Office	In Progress
2022	HSC Graduate Medical Education Expenses	Scheduled
2022	IPS Center for Industrial Services Amazon Purchases	In Progress

The University of Tennessee
May Audit Plan Status
For the Year Ending December 31, 2022

Completed Projects		Status
Prior Year	System Department Managed Systems	Complete
Prior Year	UTK Student Fees	Complete
Prior Year	UTC Vivature Contract	Complete
Prior Year	UTM Conflict of Interests	Complete
Prior Year	UTM Athletics Concessions Operations	Complete
Prior Year	UTM Interdisciplinary Studies	Complete
Prior Year	UTIA Plant Sciences Gift Funds	Complete
2022	Systemwide Direct Deposit Enrollment/Change Process	Complete
2022	UTM College of Business and Global Affairs	Complete
2022	UTIA Extension TNCEP program	Complete

4.1



Outstanding High-Risk Audit Issues

As of May 31, 2022

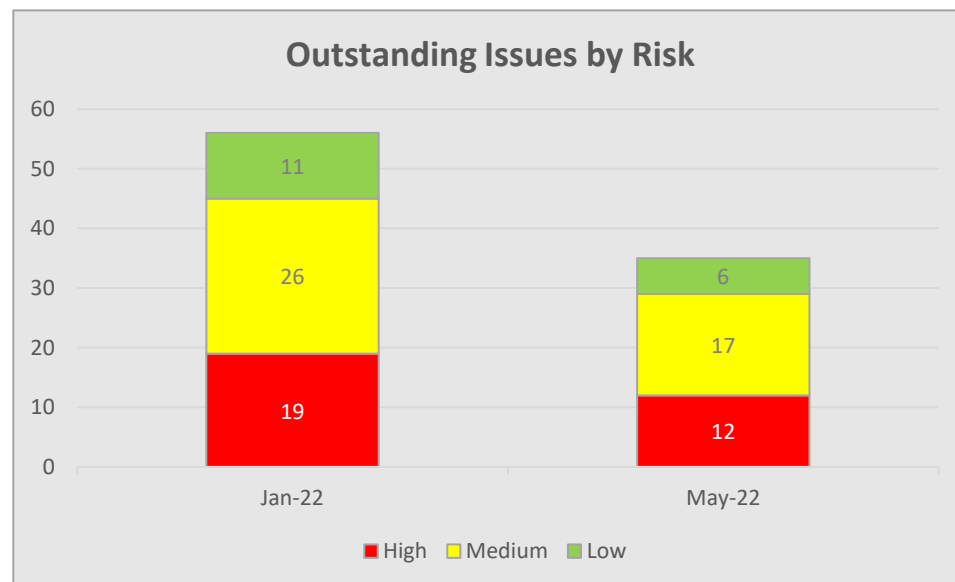
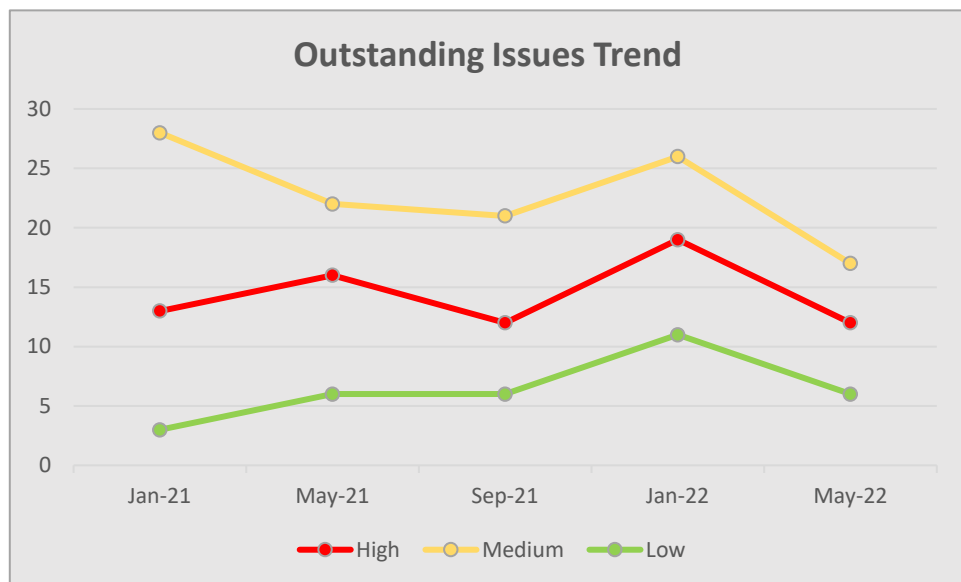
	Campus	Audit	Issue	Report Date	Expected Remediation Date*	Revised Remediation Date*
1	UTSA	Phishing Security Controls	Workstation Administrative Access	11/30/2017	7/2/2018	7/31/2022
2	UTM	Summer Camps Cash Receipts	Cash Receipts	11/21/2019	8/31/2020	8/31/2022
3	UTSA	IT Security: Controller Office	Access Control	1/27/2021	7/31/2021	7/31/2022
4	UTK	IT Security: College of Arts & Sciences	Additional Security Training	2/10/2021	12/31/2021	6/30/2022
5	UTK	IT Security: College of Arts & Sciences	Vulnerability Management	2/10/2021	12/31/2021	6/30/2022
6	UTK	IT Security: College of Arts & Sciences	System Security Plan	2/10/2021	12/31/2021	6/30/2022
7	UTM	Academic Policy Compliance Review	PCard Approval Limits & Review	12/20/2021	3/31/2022	8/31/2022
8	System-wide	Ransomware Prevention & Response	IT Managed User Admin Access	10/1/2022	7/31/2022	N/A
9	System-wide	Ransomware Prevention & Response	Business Impact Analysis	10/1/2022	3/31/2023	N/A
10	UTSA	Ransomware Prevention & Response	Disaster Recovery Procedures	10/1/2022	3/31/2023	N/A
11	UTM	Athletic Concessions Operations	Cash Sales	5/5/2022	1/15/2023	N/A
12	UTM	Athletic Concessions Operations	Inventory Control	5/5/2022	1/15/2023	N/A

*For issues with expected remediation dates on or before May 31, 2022, Internal Audit and Management discussed remediation progress and identified revised remediation dates. For issues with expected remediation dates after May 31, 2022, Internal Audit will follow up with management to confirm status when due.



Issues by Risk Rating

As of May 31, 2022





MEMORANDUM

TO: Audit and Compliance Committee
Mr. John Compton, Chair of the Board of Trustees
Ms. Amy Miles, Chair, Audit and Compliance Committee
Mr. Bill Rhodes, Chair, Finance and Administration Committee

FROM: Mr. Luke Lybrand *LL*

DATE: June 9, 2022

SUBJECT: Travel Exception Report

The Board of Trustee's policy on travel requires the university to report to the Audit and Compliance Committee any travel exceptions approved on behalf of the President, employees in the President's Office, senior-level administrators, or the Sr. Vice President and Chief Financial Officer. For the quarter ended March 31, 2022, there were no exceptions requested or approved in accordance with the Board's policy.

If you have any questions, please let me know.

c: Mr. Randy Boyd
Mr. David Miller
Mr. Brian Daniels
Ms. Cindy Moore

Institutional Compliance Key Developments

June 2022

4.4

UT System- The 2022 risk assessment has been completed. Key risk mitigation plans under development include: Clery Act, Dept. of Defense Cybersecurity, Civil Rights, Federal subcontracting, Intellectual Property.

UTK- 63 risk mitigation plans have been developed from the 2021 compliance risk assessment. Key areas include: Research, Safety, Data Protection, Civil Rights, Title IX, and Export Control. Plans have been implemented in the areas of: suicide prevention plan, commercial contracts, textbook data collection, Federal prior approval rules, and sponsored projects technical reporting.

UTC- 42 out of 47 risk mitigation plans been implemented from the 2020 risk assessment. Recently implemented plans include: new bloodborne pathogen and chemical training; UTC IRB added requirements to ensure Human Subject research information is protected.

UTM- UTM has completed all 22 risk mitigation plans. UTM recently implemented an interface between CITI training and K@TE learning management system to better track the completion of required training. UTM also completed the annual BioSafety inventory and implemented an annual survey process. In addition, the BioSafety Administrator confirmed that UTM is handling all biological agents and toxins appropriately.

UT Southern- Establishing a UT Southern Institutional Compliance Committee is planned for 2022.

UTHSC- 21 out of 55 risk mitigations plans from the 2020 risk assessment have been fully implemented. UTHSC has recently implemented additional hazardous waste management and chemical safety training. The UTHSC committee is also developing ways to incentivize completion of mandatory training.

UTIA- 9 of 26 risk mitigation plans from the 2018 risk assessment have been implemented. Some plans and compliance officer assignments are in the process of being amended due to the UTK-UTIA reunification.

IPS- A new compliance risk assessment is scheduled for the second half of 2022.

UTSI- The new 2022 compliance risk assessment has been completed and will be reviewed by the campus compliance committee.

Compliance Risk Management Progress

	Risk Assessment	Plan Development	Plan Implementation	Number of Plans	Key Action Areas
UT System 2022	→			24	Key plans under development: Cybersecurity, HIPAA, Civil Rights, Intellectual Property, Clery
UTSI 2022	→			?	Results of the risk assessment have not been reviewed by the campus compliance committee
UTK 2021	→	→		63	Research, Safety, Data Protection, Civil Rights, Export Control, Title IX
UTHSC 2020	→	→	→	55	Safety, Scientific Misconduct, Export Controls, Sponsored Projects, Data Protection, Environmental
UTC 2020	→	→	→	47	Safety, Sponsored Projects, Equity & Inclusion, Export Control, IT Security, Privacy
UTM 2019	→	→	→	22	Sponsored Projects, Animal Care, Financial Aid, NCAA, Safety, IT Privacy/Security, Biosafety
UTIA 2018	→	→	→	26	Sponsored Projects, Title IX, Fair Labor Standards, Animal Welfare, IT Privacy/Security
IPS 2017	→	→	→	6	Sponsored Projects, Tenn. Open Records Act, Emergency Management