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An Audit Report on

Campus Safety and Security Emergency Management Plans at Texas Public Universities

October 2008

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Overall Conclusion

Texas's 35 public universities (universities) have developed emergency management plans for various potential hazards. The concepts addressed in these plans and the implementation statuses of the plans differ among the universities. State requirements are unclear as to whether universities are required to adopt National Incident Management System (NIMS) standards, which are designed to provide a consistent approach to emergency management among differing agencies and institutions. Additionally, the State does not have emergency management requirements for higher education institutions or a central point of authority specific to emergency management at higher education institutions to standardize, coordinate, and monitor emergency preparedness at the institutions.

The 35 universities have identified dozens of potential hazards for which to plan a response, such as threats of violence, weather, health emergencies, and transportation accidents. Among the events affecting Texas public universities from January 2008 through August 2008 were a campus lockdown, a tropical storm, hurricanes, infectious disease cases, and a serious boating accident that resulted in a death.

The State's 35 public universities reported that 1,100 crimes were committed on or around their campuses in 2006. These reported crimes included 657 burglaries, 96 aggravated assaults, and 67 sex offenses. Because of the variety of potential hazards, it is important that universities take an all-hazard approach to emergency planning and perform campus-specific risk assessments, testing, and monitoring to increase the likelihood of an appropriate response in the event of an actual emergency.

Emergency Management

Emergency management is the continuous process of mitigating the effects of and preparing for emergencies and then responding and recovering from emergencies once they occur.

An emergency management plan outlines concepts of operations for coordinated efforts by all responders to perform emergency functions. According to the Governor's Division of Emergency Management, "It has been repeatedly demonstrated [that] pre-planning emergency operations saves time in getting operations underway, facilitates integrated effort, and helps ensure essential activities are carried out efficiently."

Texas Public Universities

For the fall 2007 semester, 497,195 students were enrolled at the state's 35 public universities, and 33,802 faculty were employed by these universities.

Sources: *Local Emergency Management Planning Guide*, Governor's Division of Emergency Management; and the Higher Education Coordinating Board.

This audit was conducted in accordance with Texas Government Code, Section 321.0134.

For more information regarding this report, please contact Sandra Vice, Assistant State Auditor, or John Keel, State Auditor, at (512) 936-9500.

Key Points

Key elements and implementation statuses of emergency management plans vary among universities.

The universities have developed emergency management plans that differ in terms of concepts addressed. Auditors evaluated the universities' emergency management plans using 11 broad categories of state planning standards most applicable to higher education institutions. The majority of the plans reviewed contained the recommended elements for three categories: concept of operations, organization and assignment of responsibilities, and direction and control.

However, universities could improve their emergency planning activities in four categories: emergency management plan approval and implementation, identification of situations and assumptions, development and maintenance of the emergency management plan, and consistent identification of emergency readiness levels. In addition, the universities are at various stages of implementing their emergency management plans. While 30 universities have completed emergency management plans, only 9 of these plans have been approved by university executive management. Five universities' emergency management plans were still in draft form. In the event of an actual emergency, an approved emergency management plan that includes a standardized set of elements would allow multiple entities to work together and coordinate a response.

Universities could improve their reporting of campus security and crime to better comply with the federal Clery Act.

The federal Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) requires higher education institutions to disclose campus crime statistics and security information to current and prospective students and employees. The Clery Act also requires higher education institutions to publish annual security reports that describe their campus security policies and contain statistics regarding crime that occurred on and around campus. Texas universities self-report this information to the U.S. Department of Education. There is no central reporting point at the state level to receive, analyze, and monitor this information. For calendar year 2007:

- Two universities did not produce and distribute these required annual security reports.
- Seventeen universities did not include all required information in their annual security reports.
- Daily crime logs that auditors reviewed at two of the six universities visited did not contain all the elements required by the Clery Act.

Universities could take additional steps to increase their preparedness for emergencies.

Universities have taken steps to prepare for emergencies such as reviewing and updating their emergency management plans and implementing emergency notification systems. However, universities could take additional measures to increase their ability to effectively prepare for emergencies. Specifically, universities could:

- Include risk assessments in their emergency management plans.
- Provide emergency training to all personnel with a role in emergency response.
- Increase the frequency of emergency plan exercises.

Universities have taken steps to mitigate their exposure to hazards.

To reduce the risk or potential loss from emergency events, universities have implemented a number of mitigation activities. These include providing mental health services to the campus community, offering education and outreach programs, and implementing physical security measures around their campuses. Universities could enhance their mitigation efforts by training faculty, staff, and students on emergency protocol and offering outreach programs on how to identify students exhibiting at-risk behaviors. Auditors reviewed 20 previous reports on campus safety produced by organizations and universities in other states; 90 percent of these reports included a similar recommendation.

Universities are not fully accessing emergency management resources currently available to them.

A number of federal, state, and other resources are currently available to assist universities in their emergency planning efforts; however, some universities are not aware of or fully using these resources. For example, the U.S. Department of Homeland Security and the Governor's Division of Emergency Management provide tools and checklists for developing emergency management plans. Additionally, the Texas Engineering Extension Service and the Law Enforcement Management Institute of Texas provide emergency operations training, while the Texas School Safety Center acts as a clearinghouse for higher education-related safety information. However, emergency management personnel at the universities were not always aware of these resources.

Other states have recommended or mandated new campus security measures.

A number of universities, task forces, and state legislatures have reviewed the status of campus security and recommended or enacted a variety of different measures to improve campus safety at higher education institutions. Among the most common recommendations are recommendations for higher education institutions to:

- Establish campus-specific emergency management plans.
- Conduct regular training and exercises of their emergency management operations.
- Implement emergency notification systems to alert the campus community during an emergency.

Explanation of Management Response

The recommendations in this report are not directed to the 35 public universities included in this audit; as a result, auditors did not request management responses. To ensure the accuracy of reported information, auditors provided each university an opportunity to review the information about its emergency management plan, annual security report, and significant incidents. Auditors also requested and incorporated, as appropriate, technical comments from the Governor's Division of Emergency Management.

The recommendations in this report require legislative action to enact and could potentially affect all Texas higher education institutions. Therefore, the recommendations are directed to the Legislature for its consideration.

Summary of Objective, Scope, and Methodology

The objective of the audit was to determine if the State's public universities have designed and implemented campus safety and security emergency management plans that include ongoing risk assessment, monitoring, and testing of the plans to ensure an appropriate response in the event of an actual emergency.

The scope of the audit covered the current emergency management plans for Texas's 35 public universities and on-site reviews of emergency management programs at six universities.

The audit methodology included reviewing emergency management plans, surveying university personnel about their emergency management practices, reviewing annual security reports, conducting site visits at six public universities, reviewing recommendations from other reports about campus safety, and reviewing other states' laws regarding campus safety.

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Detailed Results

Chapter 1

Texas Public Universities' Safety and Security Record

What is NIMS?

In February 2003, *Homeland Security Presidential Directive 5, Management of Domestic Incidents* directed the Secretary of Homeland Security to develop and administer a **National Incident Management System (NIMS)**.

NIMS is designed to provide a consistent nationwide approach for federal, state, and local governments to work together effectively and efficiently to prevent, prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

Adoption and implementation of NIMS standards is a condition for receiving federal preparedness grants, contracts, and other assistance from the U.S. Department of Homeland Security and for receiving some preparedness grants from the U.S. Department of Health and Human Services.

Texas's 35 public universities (universities) have developed emergency management plans for various potential hazards. State requirements are unclear as to whether universities are required to adopt National Incident Management System (NIMS) standards, which are designed to provide a consistent approach among differing agencies and institutions to emergency management. In addition, the State does not have university-specific emergency management requirements or a central point of authority specific to emergency management at higher education institutions to standardize, coordinate, and monitor emergency preparedness at the universities. As a result, the concepts addressed in the universities' plans and the implementation statuses of the plans differ among the universities.

The 35 universities have identified dozens of potential hazards for which to plan a response, such as threats of violence, weather, health emergencies, and transportation accidents. Among the events affecting Texas public universities from January 2008 through August 2008 were a campus lockdown, a tropical storm, hurricanes, infectious disease cases, and a serious boating accident that resulted in a death.

The state's 35 public universities reported that 1,100 crimes were committed on or around their campuses in 2006.¹ These reported crimes included 657 burglaries, 96 aggravated assaults, and 67 sex offenses (see Table 12 on page 45 for detailed crime data). Because of the variety of potential hazards, it is important that universities take an all-hazard approach to emergency planning and perform campus-specific risk assessments, testing, and monitoring to increase the likelihood of an appropriate response in the event of an actual emergency.

Chapter 1-A

Although Many Universities Have Incorporated NIMS Standards, It Is Unclear Whether Universities Must Adopt These Standards

In February 2005, Governor Rick Perry issued an executive order adopting NIMS as the emergency management standard for the State (see textbox for information on NIMS and Appendix 2 for a copy of the executive order). The executive order described the importance of standardization of emergency

¹ This is the most recent year for which data is available.

management among federal, state, local, and tribal organizations; however, it did not include an explicit requirement for higher education institutions (which are neither state agencies nor local governments) to base their emergency management plans on NIMS guidelines or to comply with NIMS standards.

Twenty-four of the 35 universities (68.6 percent) reported in a survey conducted by the State Auditor's Office that they incorporate NIMS standards into their emergency management plans. However, auditors' review of these plans found that 19 (54.3 percent) included a statement that they have adopted NIMS standards. (See Chapter 1-B for additional details about universities' emergency management plans.) To help ensure a coordinated and consistent response to emergencies, all entities (including federal, state, and local governments and higher education institutions) should adopt the same emergency management standards.

To fully implement NIMS standards, an entity must ensure that all key personnel with a role in emergency response receive the required NIMS incident command training. While a majority of the 35 universities reported they provide NIMS training to law enforcement personnel and first responders, most did not consistently provide NIMS training to all personnel with emergency management responsibilities (see Chapter 2-A for additional information).

Key Principles of NIMS Standards

The key principles and concepts of NIMS standards are flexibility and standardization. Specifically:

- Flexibility provides an adjustable framework within which all levels of government, as well as private entities, can work together to manage domestic incidents, regardless of the cause, size, or complexity of the incident.
- Standardization provides a set of organizational structures that are designed to allow diverse systems and organizations to work together. These structures become critical when multiple entities (such as a university, local and state police departments, and/or fire departments) jointly respond to emergency incidents. The purpose is to provide a consistent approach for all levels of government and organizations to work effectively and efficiently together.

State Standard for Emergency Management

The Governor's Division of Emergency Management (Division) at the Department of Public Safety is responsible for the State's emergency management plan and assisting state agencies and local governments with their emergency management programs. The Governor has designated the

Division to serve as the state administrative agency for homeland security grants from the U.S. Department of Homeland Security. According to the Division, its mission includes the following:

- Carrying out a comprehensive all-hazard emergency management program for the State.
- Assisting cities, counties, and state agencies in planning and implementing their emergency management programs.
- Supporting development of the Governor's homeland security strategy and implementing programs and projects to achieve state homeland security goals and objectives.

In a June 2005 letter, the Division (1) directed state and local government emergency management personnel to comply with NIMS standards for all training and exercises and (2) reiterated that NIMS standards were adopted as the statewide standards to be used for emergency prevention, preparedness, response, recovery, and mitigation activities. Universities were not included in this letter because the Division is not responsible for emergency planning activities at higher education institutions.

To assist state and local government entities with implementing this directive, the Division provided a detailed emergency management plan template and guidelines for developing plans that are based on NIMS standards. This information, along with basic assistance for developing a plan, is available on the Department of Public Safety's Web site at www.txdps.state.tx.us/dem.

Recommendation

The Legislature should consider clarifying whether the State's higher education institutions are required to adopt and implement NIMS standards for emergency management, including requiring training for emergency responders and key personnel with emergency management responsibilities.

Key Elements and Implementation Statuses of Emergency Management Plans Vary Among Universities

All 35 universities have developed emergency management plans for various potential hazards (see text box for components of an emergency plan).

Components of an Emergency Management Plan

Basic Plan - The overall document that cites the organization's legal authority for emergency operations, outlines the organization, provides a general concept for operations, and assigns responsibilities.

Annexes - These describe how certain emergency functions will be performed.

Standard Operating Procedures - These provide detailed procedures for the carrying out of specific tasks. These are not normally made a part of the emergency plan and are prepared at the department level.

Source: *Local Emergency Management Planning Guide*, Governor's Division of Emergency Management.

These emergency plans outline the universities' approaches to emergency activities before, during, and immediately after an emergency. However, the elements and concepts addressed in these plans differ among the universities because the State does not have emergency management requirements specific to higher education institutions. During an emergency, universities may need to work with federal, state, or local officials to coordinate a response. Standardized, statewide emergency management requirements would establish a uniform set of processes that responders, both internal and external, could use when responding to emergencies.

Higher education institutions are not required to submit copies of their emergency plans to a State entity for maintenance or review. However, local governments must periodically submit copies of their emergency plans to the Division. The Division also maintains the State's emergency plan and helps coordinate communications during an emergency. Requiring higher education institutions to periodically submit copies of their emergency plans to the Division would allow the State (1) to have a central repository of emergency plans and (2) to help increase coordination of emergency plans among federal, state, local, and higher education entities.

Additionally, the State does not have a central point of authority specific to emergency management at higher education institutions to standardize, coordinate, and monitor emergency preparedness at universities. The Division provides oversight of state agencies and local governments; the Texas School Safety Center at Texas State University monitors and provides guidance to school districts. However, no State entity is responsible for monitoring emergency management at higher education institutions. A central oversight authority could help higher education institutions prepare for consistent and coordinated responses to emergencies on their campuses.

Because there is not one source of guidance for emergency planning at higher education institutions, the 35 public universities in Texas developed emergency management plans using a variety of planning and training resources. As Table 1 below shows, of the 35 universities surveyed:

- 80.0 percent reported using resources from the Federal Emergency Management Agency.
- 62.9 percent reported using resources from the Division.

Table 1

Planning and Training Resources Used by 35 Texas Public Universities to Develop Emergency Management Plans		
Resource Used	Number of Respondents	Percent of Respondents
Federal Emergency Management Agency Guide	28	80.0%
Governor's Division of Emergency Management	22	62.9%
National Fire Protection Agency	20	57.1%
Texas Engineering Extension Service	18	51.4%
Law Enforcement Management Institute of Texas	17	48.6%
Emergency Management Institute	16	45.7%
U.S. Fire Administration-National Fire Academy	9	25.7%
Other (Plans from other universities, the State Office of Risk Management, and other organizations)	6	17.1%

Source: State Auditor's Office 2008 survey of 35 Texas public universities. Universities were allowed to select all the resources that applied.

The universities' emergency plans differ in terms of elements addressed, and the universities are at various stages of implementing their plans.

To evaluate universities' emergency management plans, auditors used the Division's detailed emergency management plan template and guidelines for local governments, which are based on NIMS standards. Although not specific to a higher education environment, these guidelines can provide a common framework and set of terminology for universities to use when working with federal, state, and local entities during an emergency.

Auditors evaluated the universities' emergency management plans using 11 broad categories of state planning standards most applicable to higher education institutions (see Appendix 3 for a full listing of the categories). Auditors identified three categories for which the majority of universities have attained NIMS standards and/or Division guidelines, and four categories for which universities should improve their emergency planning.

Consistently Addressed Categories

- **Concept of Operations:** This category describes the university's general approach to emergency situations, including the emergency command structure and the university's emergency operations center. Of the 35 university plans reviewed, 31 (88.6 percent) described the emergency command structure and addressed how to set up and use an emergency operations center.
- **Organization and Assignment of Responsibilities:** This category describes the emergency organization, describes the responsibilities of the president and other members of the executive staff, and outlines the responsibilities for

various emergency service and support functions. Twenty-nine plans (82.9 percent) addressed all three components of this area.

- **Direction and Control:** This category (1) identifies, by title and position, the people responsible for providing guidance to the emergency management program and for directing and controlling response and recovery activities and (2) describes local emergency facilities, such as the incident command post and emergency operations center. All (100.0 percent) of the plans reviewed indicated who was responsible for directing and controlling an emergency response and 31 of 35 (88.6 percent) plans reviewed described the local emergency facilities.

Categories That Could be Improved

- **Plan Approval and Implementation:** Universities' emergency management plans differ in levels of implementation. Specifically:
 - Nine of 35 (25.7 percent) universities' emergency plans were formally approved by university executive management.
 - Twenty-one (60.0 percent) universities had completed an emergency plan, but the plan had not been approved by management.
 - Five (14.3 percent) universities' emergency plans were still in draft form.

According to the Division and NIMS standards, all plans must be approved by the officials responsible for the entity. Approval of an emergency management plan by a university's board of regents and president adds credibility to the university's emergency operations and is one way to delegate to responsible personnel the authority to act during an emergency.

- **Situations and Assumptions:** Nineteen (54.3 percent) of 35 plans reviewed identified potential risks or hazards the university faced. According to Division guidelines, emergency management plans should identify the threats that the entity faces and an estimation of the likelihood and potential impact of those threats. Risk assessment or hazard identification forms the basis of an emergency plan.
- **Development and Maintenance:** Eleven (31.4 percent) of 35 plans reviewed stated how the plan should be distributed. According to the Division, plans and annexes should be distributed to the individuals and departments named in the plan, as well as to those entities and individuals who are responsible for carrying out tasks outlined in the plan. The Division also recommends including a distribution list with the plan. Thorough distribution of an emergency management plan helps inform responders

about their roles, and prepares them for their responsibilities during an emergency response.

- **Readiness Levels:** The Division's guidelines recommend that entities establish a readiness-level classification system, which would be used to assess the current threat level the entity faces. Although 28 universities (80.0 percent) had determined their readiness levels, the definitions of these levels differed among the universities. These universities use one of eight different readiness classification schemes. Additionally, readiness classifications varied among universities within the same university system and geographic area. Because the universities' plans include basic actions to be taken at each readiness level, a lack of consistency in readiness level definitions may cause confusion among responders from other jurisdictions.

In the event of an actual emergency, the issues identified above could hinder universities' implementation of their emergency management plans.

Recommendations

The Legislature should consider:

- Requiring the State's higher education institutions to periodically submit copies of their emergency management plans to the Governor's Division of Emergency Management at the Department of Public Safety.
- Designating a central point of authority responsible for monitoring emergency management programs at higher education institutions and providing guidance for consistent and continuous emergency planning efforts for higher education institutions. This may include developing emergency management planning standards for higher education institutions and periodically reviewing higher education institutions' plans.

Chapter 1-C

Universities Face a Variety of Potential Hazards

Because of the varied geographical locations and the openness of their campuses, universities must consider and plan for a wide range of natural and man-made hazards. Risk assessments assist the universities to identify potential hazards and assess their likelihood and impact. A comprehensive risk assessment can help universities plan for hazards and identify critical hazard mitigation activities.

When considering risks, the State's public universities have identified dozens of potential hazards, including those related to threats of violence, weather, health-related emergencies, and transportation accidents. For example, in its

emergency management plan, the University of Texas at Austin has included 42 major hazards ranging from potential fires to terrorism-related incidents. Many of these hazards have previously occurred at a public university in Texas. During the first eight months of 2008, myriad events occurred on a university campus (or in a university-sponsored event) in Texas, including a campus lockdown, a tropical storm and hurricanes, an infectious disease outbreak, and a serious boating accident. In addition, Hurricane Ike made landfall in September 2008, forcing the evacuation and closure of several higher education institutions in Texas. While the total cost of the damage caused by Hurricane Ike is not yet determined, it is expected to be one of the costliest in Texas history. Because of the variety of potential hazards, it is important that universities take an all-hazard approach to emergency planning and perform campus-specific risk assessments. Table 2 lists some of the significant incidents that Texas public universities reported affected them since June 2001.

Table 2

Select Significant Incidents Affecting Texas Public Universities ^a				
June 2001 through August 2008 ^b				
Date of Incident	University	Category	Description of Incident	Consequences
July 2008	Sam Houston State University	Man-made	An inmate escaped from prison in Huntsville.	No deaths, injuries, or damages on campus.
July 2008	The University of Texas at Brownsville, Texas A&M International University, and The University of Texas-Pan American	Natural Disaster	Hurricane Dolly made landfall.	No deaths or injuries on the campuses. Approximately \$802,000 in damages at the University of Texas at Brownsville; \$42,000 in damages at Texas A&M International; and \$250,000 in damages at the University of Texas-Pan American.
June 2008	Texas A&M University at Galveston	Man-made	Offshore sailing vessel capsized during a regatta, leaving five of the six crew members adrift at sea for 26 hours.	One death; five crew members experienced dehydration and sunburn; \$300,000 in damages.
May 2008	The University of Texas at Austin	Natural Disaster	Severe weather, which included large hail, wind gusts of up to 70 miles per hour, and flooding.	No deaths or injuries; \$1,098,063 in damages.
April 2008	Texas A&M University-Kingsville	Man-made	Twelve undocumented individuals, one of whom was armed, fled onto the campus; campus placed on lock-down by administrators.	No deaths, injuries, or damages.
February 2008	University of North Texas	Health-related	Two students were infected with tuberculosis; approximately 590 students were tested.	No deaths or injuries; \$8,000 in testing costs.
September 2007	Sam Houston State University	Man-made	Two inmates escaped from prison in Huntsville.	No deaths, injuries, or damages on campus.
September 2007	Texas Southern University	Health-related	Dorms on campus became infested with bats, requiring post-exposure vaccination and relocation of students.	No deaths or injuries; \$402,708 in damages/costs.

Select Significant Incidents Affecting Texas Public Universities^a

June 2001 through August 2008^b

Date of Incident	University	Category	Description of Incident	Consequences
June 2007	Texas Tech University	Man-made	Arson at Maedgen Theatre on campus	No deaths or injuries; approximately \$1.0 million in damages.
August 2006	The University of Texas at El Paso	Natural Disaster	Thunderstorms caused extensive flooding on campus.	No deaths or injuries; \$1,307,781 in damages.
January 2006	Texas A&M University	Man-made	An over-pressurized liquid nitrogen cylinder ruptured and destroyed a laboratory.	\$743,000 in damages.
September 2005	Lamar University	Natural Disaster	Hurricane Rita made landfall.	Approximately \$36.6 million in campus-wide damages.
March 2004	University of North Texas	Man-made	Fire in Clark Residence Hall caused by a faulty electrical panel.	Displaced 431 students; \$1,396,910 in damages.
July 2003	University of Houston-Victoria	Natural Disaster	Hurricane Claudette made landfall.	\$163,155 in damages and economic loss.
October 2002	The University of Texas-Pan American	Man-made	Helicopter crash on campus.	Helicopter crew injured; approximately \$37,500 in cleanup costs.
June 2002	Texas Woman's University	Man-made	Armed hostage situation occurred in the administrative building, involving an employee, her husband, and their son. The captor committed suicide.	One death; \$13,000 in clean-up costs.
June 2001	University of Houston and Texas Woman's University	Natural Disaster	Tropical Storm Allison causes severe flooding on both campuses.	Three injuries and approximately \$150 million in damages at University of Houston. Approximately \$3.5 million in economic loss to Texas Woman's University's Houston campus.

^a The purpose of this table is to show the variety of hazards that universities faced. This table does not contain all the significant incidents affecting Texas universities since June 2001.

^b In September 2008, after audit fieldwork had concluded, Hurricanes Gustav and Ike made landfall, affecting numerous higher education institutions in Texas. At the time of this report, the total impact of these hurricanes had not been determined.

Source: Self-reported information from the universities.

Universities Could Improve Their Reporting of Campus Security and Crime to Better Comply with the Federal Clery Act

The federal Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) requires higher education institutions to

Federal Clery Act

The federal Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act), originally known as the Crime Awareness and Campus Security Act of 1990, requires higher education institutions that receive Title IV federal student financial assistance program funding to:

- Give timely warnings of crimes that represent a threat to the safety of students or employees.
- Keep a daily crime log that is open to public inspection.
- Publish an annual security report and distribute it to all current students and employees, and inform prospective students and employees about the content and availability of the report.
- Collect and report crime data in an annual security report and to the U.S. Department of Education.

Source: Title 34, Code of Federal Regulations, Sections 668.46 and 668.41(e).

disclose campus crime statistics and security information to current and prospective students and employees (see textbox). Compliance with the Clery Act is intended to provide students, higher education employees, and their families with accurate and timely information to help them make informed decisions about personal safety and enrollment at and continued support of specific higher education institutions.

Texas universities self-report this information to the U.S. Department of Education, prospective and current students and employees, and the public. There is no central reporting point at the state level to receive, analyze, and monitor this information. Summary information from the public universities may be a useful tool for the State to identify trends and compare the crime rates on Texas higher education campuses with those in other states and with national crime trends.

For calendar year 2006, the 35 public universities in Texas self-reported that 1,100 criminal offenses occurred on campus, on a non-campus property owned or controlled by the university or a university-recognized student organization, or on public property within the campus or adjacent to and accessible from the campus. For all categories of criminal offenses reported under the Clery Act, Texas public universities reported a lower crime rate in 2006, on average, than public universities nationwide. Texas universities' 2006 reported crime rate was also significantly lower than the statewide reported crime rate and national crime rate (see Table 3 on the next page).

Table 3

Comparison of Crime Rates at Universities and the General Population				
Rate per 10,000 People				
Calendar Year 2006				
Criminal Offense Category	Texas Universities	National Universities	State of Texas	United States
Murder/Non-negligent manslaughter	0.00	0.02	0.59	0.57
Sex offenses - forcible	1.55	2.56	3.56	3.09
Robbery	0.99	2.23	15.85	14.94
Aggravated assault	2.08	3.09	31.64	28.75
Burglary	14.99	22.00	91.73	72.94
Motor vehicle theft	5.06	6.08	40.59	39.84
Arson	0.35	0.86	Not Available	Not Available

Sources: U.S. Department of Education and the Federal Bureau of Investigation Uniform Crime Report.

Under the Clery Act, universities are required to publish annual security reports that describe their campus security policies and contain statistics regarding crime that occurred on and around campus. Two universities did not produce and distribute these required annual security reports for 2007.

For the 33 universities that produced annual security reports for 2007, auditors found that all 33 reports contained (1) crime statistics reported to local police and campus security and (2) statistics for criminal offenses, arrests, and hate crimes occurring on campus. However, auditors identified some instances of noncompliance with Clery Act requirements. Specifically, 17 of the 33 (51.5 percent) universities did not include all required information in their 2007 annual security reports.

As Table 4 shows, six (18.2 percent) universities did not disclose their policies for preparing the annual security report, including who prepared the report and from what sources the crime statistics were collected. Auditors did not test the campus crime statistics disclosed in the annual security reports.

Table 4

Clery Act Annual Security Reports Published by 33 Texas Public Universities on October 1, 2007		
Annual Security Report Required Disclosures	Number and Percent of University Reports Containing This Disclosure	Number and Percent of University Reports Lacking This Disclosure
Policies for preparing the annual disclosure of campus crime statistics	27 (81.8%)	6 (18.2%)
Policy on security considerations used in the maintenance of campus facilities	27 (81.8%)	6 (18.2%)
Statement advising where law enforcement agency information provided by a state concerning registered sex offenders may be obtained	28 (84.8%)	5 (15.2%)
Policy regarding the monitoring and recording through local police agencies of criminal activity	28 (84.8%)	5 (15.2%)
Description of drug- or alcohol-abuse education programs	29 (87.9%)	4 (12.1%)
Policy for making timely warnings	30 (90.9%)	3 (9.1%)
Policy regarding a campus sexual assault program	30 (90.9%)	3 (9.1%)
Policy regarding accurate and prompt reporting of all crimes to police	30 (90.9%)	3 (9.1%)
Policy on safety of and access to campus facilities, including campus residences	32 (97.0%)	1 (3.0%)
Policy on the working relationship of security personnel with state and local police agencies	32 (97.0%)	1 (3.0%)
Statistics for the hate crimes and criminal offenses broken down into four geographic locations (on campus, on campus residence halls, noncampus, public property)	32 (97.0%)	1 (3.0%)

Source: Annual security reports provided by the universities.

The Clery Act also requires that higher education institutions with a campus police department or security office maintain and make available a daily crime log. Auditors reviewed the daily crime logs at 6 of the 35 universities and found that the logs at 2 universities did not contain all of the elements required by the Clery Act. Specifically, the logs did not include:

- The date and time the crime occurred.
- The date and disposition of complaints.

Amendments to the Clery Act, signed into law on August 14, 2008, as part of the Higher Education Opportunity Act, expand the scope of the Clery Act to include emergency management. For future Clery Act reports, universities will be required to (1) immediately notify the campus community of a significant emergency and (2) publicize and test emergency response and evacuation procedures on an annual basis. These amendments also require the annual security report published by universities to include a statement of policy regarding “immediate emergency response and evacuation procedures.”

Recommendation

The Legislature should consider requiring the State’s higher education institutions to submit their Clery Act Annual Security Reports to the Department of Public Safety.

Status of Campus Emergency Management

Assessing Universities' Emergency Management Programs

To assess the status of state universities' emergency management programs, auditors (1) visited six universities and (2) surveyed the state's 35 public universities on topics relating to emergency preparedness and mitigation activities, including emergency plans, training and exercises, mental health/behavioral concerns, physical security features, and campus law enforcement. All 35 universities responded to the survey.

The six universities visited were:

- University of North Texas.
- The University of Texas at Austin.
- Texas A&M University.
- Texas Woman's University.
- Lamar University.
- University of Houston.

The universities surveyed range in size from small institutions with a student population of fewer than 1,000 to large institutions with more than 50,000 students. Additionally, these universities are located in various geographic regions, including urban, rural, border, and coastal areas. As a result of these variations, the universities differ in the resources they have available, as well as the risks they face.

Phases of Emergency Management

Preparedness - Taking actions before an emergency occurs to prepare for the successful handling of emergency management responsibilities during a hazardous event.

Mitigation - Taking actions that result in a lasting reduction of exposure to, probability of or potential loss from hazardous events.

Response - Taking time-sensitive actions, at the onset of an incident, to save lives and property and begin stabilizing the situation.

Recovery - Taking actions to restore infrastructure and the social and economic life of the community after a hazardous event.

Source: *Federal Emergency Management Agency Guide for All-Hazard Emergency Operations Planning*.

Texas's 35 public universities (universities) have taken steps to prepare for and mitigate emergencies on their campuses. These steps include (1) regularly reviewing emergency management plans and (2) implementing emergency notification systems to communicate with the campus community during an emergency. Universities could enhance their preparedness for emergencies by:

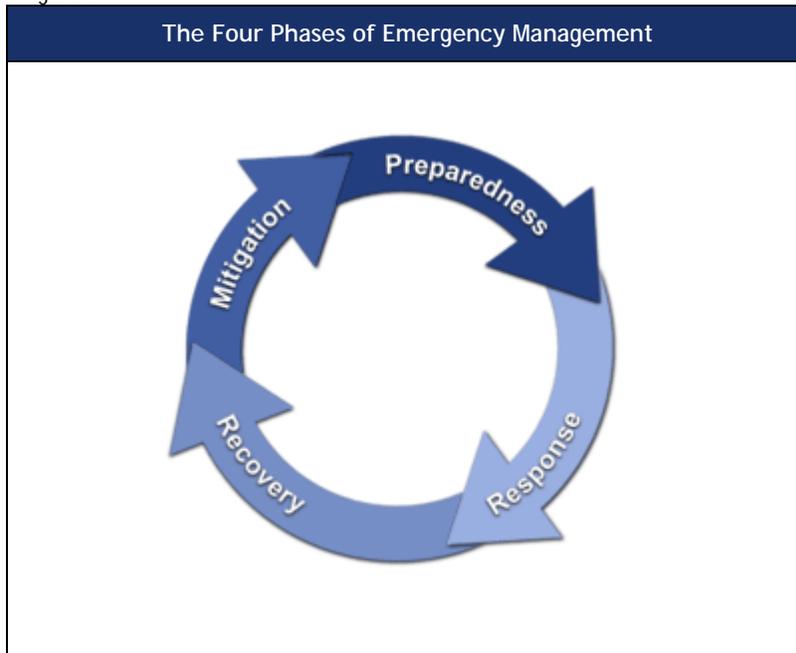
- Including risk assessments in their emergency plans.
- Providing emergency training to all personnel with a role in emergency response.
- Increasing the frequency of emergency plan exercises.

Emergency training and emergency plan exercises are critical components for preparing an appropriate response in the event of an actual emergency. To assess universities' emergency management programs, auditors conducted site visits at six universities and surveyed all 35 state public universities (see text box for additional details on the assessment methodology).

Universities have also incorporated numerous mitigation activities into their emergency management programs. Specifically, universities provide mental health services to the campus community, offer education and outreach programs, and have implemented physical safety measures around their campuses. Universities could enhance their mitigation efforts by training faculty, staff, and students on emergency protocol and offering outreach programs on how to identify students exhibiting at-risk behaviors. A number of state, federal, and non-profit resources are currently available to assist universities in their emergency planning efforts; however, some universities are not aware of or fully using these resources.

Emergency management is a continuous process. A comprehensive approach to emergency management consists of four phases: (1) preparedness, (2) mitigation, (3) response, and (4) recovery (see text box). These four phases are interrelated and build on each other to minimize the impacts of emergency incidents (see Figure 1 on the next page). When reviewing emergency management programs at the universities, auditors focused on the preparedness and mitigation phases of emergency management because these two phases occur prior to an actual emergency.

Figure 1



Source: Federal Emergency Management Agency Emergency Management Institute training materials.

Chapter 2-A

While Universities Have Implemented Some Emergency Preparedness Measures, Additional Steps Could Be Taken

Universities have taken steps to prepare for emergencies on their campuses. Emergency preparedness is a critical component of emergency planning and increases a university's ability to effectively respond to emergencies that may occur. Emergency preparedness at universities includes conducting risk assessments, developing an emergency management plan, identifying emergency resources, conducting training and exercises, and establishing emergency notification systems.

To prepare for possible emergencies, universities reported in the survey that they:

- Regularly reviewed and updated their emergency management plans.
- Implemented emergency notification systems to inform the campus community during an emergency.

Universities could improve their emergency preparedness by:

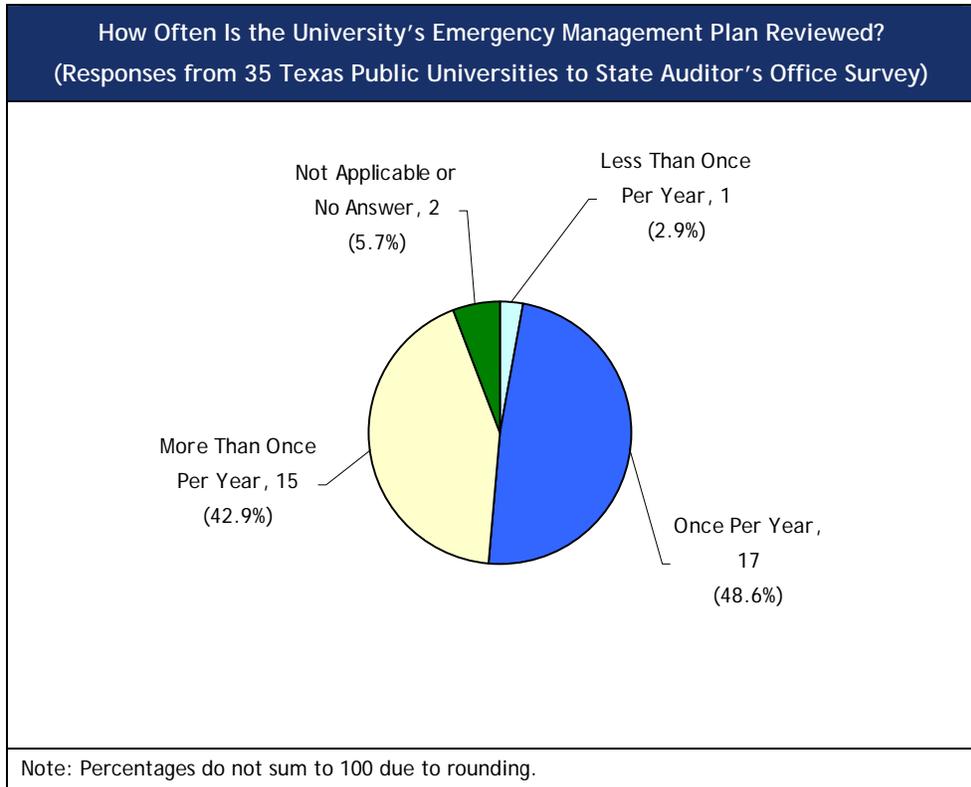
- Integrating campus-specific risk or hazard assessments into their emergency management plans.

- Providing emergency training to all personnel with a role in emergency response.
- Increasing the frequency with which they conduct exercises of their emergency plans.
- Developing mutual aid agreements with local governments, local law enforcement, and fire and emergency medical services.
- Identifying equipment and funds that can be used during an emergency.

Universities regularly review their emergency plans.

According to the results of auditors’ survey, universities regularly review and update their emergency management plans (see Figure 2). Periodic reviews of emergency management plans can help ensure that the information contained within the plans is current and accurate. The Governor’s Division of Emergency Management (Division) recommends that emergency management plans be reviewed at least annually.

Figure 2



Source: State Auditor’s Office 2008 survey of 35 Texas public universities.

Various university positions are responsible for reviewing and revising the universities’ emergency management plans. Eight (22.9 percent) of the 35

universities surveyed stated that the plan is reviewed by staff in positions whose titles specifically referred to emergency management or campus safety. Ten universities (28.6 percent) indicated that a specific committee or team is responsible for reviewing the plan. Others said the plans are reviewed by campus law enforcement or employees working in the areas of environmental health and safety, risk management, or facilities.

In addition to having its own emergency management plan, a university may be included in other jurisdictions' emergency management plans. For example, Texas A&M University is a partner with multiple local governments and law enforcement agencies through the Brazos County Interjurisdictional Emergency Management Plan. This university participates in the maintenance of that plan and actively works with the emergency management staff of the partnering entities to conduct emergency preparedness activities. It also shares an Emergency Operations Center with the cities of Bryan and College Station and with Brazos County.

While most universities conduct risk assessments, many do not incorporate these assessments into their emergency management plans.

Nearly all universities surveyed reported conducting campus-specific risk assessments; however, nearly half of these universities do not include these risk assessments in their emergency management plans. According to the Division, hazard identification helps to characterize the planning environment and helps entities understand what type of planning is necessary. Twenty-five (71.4 percent) of the 35 universities surveyed stated they conduct a campus-specific risk assessment at least once per year. Nine universities (25.7 percent) stated they conduct a risk assessment less than once per year and one university stated it never conducts a risk assessment. As noted in Chapter 1-B, only 19 universities (54.3 percent) incorporate a risk assessment within their emergency management plans.

Universities do not ensure that all personnel with a role in emergency management receive emergency preparedness training.

Overall, based on survey results, the 35 universities do not follow NIMS standards for minimum training requirements for key personnel. Thirty of the 34 universities with a campus law enforcement entity reported their campus law enforcement officers received NIMS incident command training, and 24 universities (68.6 percent) stated that first responders received this training (see Table 5 on the next page). However, universities do not ensure that all personnel with a role in emergency management receive NIMS emergency preparedness training.

Table 5

Individuals Who Receive NIMS Emergency Preparedness Training At 35 Texas Public Universities		
Individuals	Number of Universities	Percent of Universities
Campus Law Enforcement ^a	30	85.7%
First Responders	24	68.6%
Key Administrative Staff	16	45.7%
Public Information Officer	11	31.4%
Key Financial Staff	9	25.7%
^a One university did not have a campus law enforcement entity.		

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Training is a key activity that contributes to emergency preparedness. NIMS standards recommend that all key emergency management personnel receive adequate training to ensure that responders at all levels and disciplines can function effectively together during an emergency. According to the U.S. Department of Homeland Security, higher education institutions should identify key positions that should receive NIMS incident command training. Key positions are those involved in school emergency management and incident response and fall into one of three categories: general personnel, critical personnel, or leadership personnel (see text box). At a university, key positions may be defined as follows:

Emergency Management Roles

- **General personnel** - Personnel with any role in emergency preparedness, incident management, or response.
- **Critical personnel** - Personnel with a critical role in response such as incident commanders, command staff, general staff, or members of a key campus emergency management team.
- **Leadership personnel** - Personnel typically obligated to command and manage people and activities during an emergency incident.

Source: *Key Personnel and NIMS Training for Schools and Higher Education Institutions*, U.S. Department of Education.

- **General personnel:** administrators and housing and facilities staff.
- **Critical personnel:** public information officers, members of the university's emergency management team, and campus law enforcement employees.
- **Leadership personnel:** university chiefs of police, provosts, and presidents.

Universities can improve preparedness by conducting more frequent exercises of their emergency plans.

Twenty-one universities reported participating in emergency management exercises and drills during the past three years, but the frequency and extent of these exercises at many of these universities may not be sufficient to prepare them for an actual emergency. As of June 2008, 14 (40.0 percent) of the 35 universities surveyed reported that they had not conducted an exercise of their emergency management plans since September 1, 2005. Nineteen universities

(54.3 percent) reported they did not conduct an emergency management exercise during the 2007-2008 school year.

Emergency management exercises could provide universities an important tool for assessing the level of their preparedness and determining areas for improvement. NIMS standards recommend that emergency management entities conduct exercises to improve the ability of responders to work together and to optimize the use of resources during an actual emergency. The Division recommends that potential responders conduct at least one emergency management exercise each year.

Emergency Exercises

Tabletop exercises validate plans and procedures by having key personnel discuss a hypothetical scenario.

Functional exercises evaluate capabilities, functions, plans, and staffs of incident command and emergency operations centers by responding to a simulated emergency. Command staff actions are real, but movement of response personnel and equipment is simulated.

Full-scale exercises validate every aspect of emergency management through actual implementation and execution during a simulated scenario. This includes the actual mobilization of resources, response personnel, and command staff.

Source: *Homeland Security Exercise and Evaluation Program*, Volume 1, U.S. Department of Homeland Security.

There are three primary types of emergency exercises: tabletop, functional, and full-scale (see text box). These types of exercises vary in complexity, with full-scale being the most involved and tabletop being the least. Because full-scale exercises require significant resources and time to simulate an emergency, it may not be possible for a university to conduct this type of exercise frequently; however, performing a combination of exercises may allow universities to better identify potential weaknesses in their emergency operations prior to an actual emergency.

Of the 35 universities surveyed:

- Nineteen (54.3 percent) reported that, as of June 2008, they had conducted at least one tabletop exercise since September 1, 2005; all of these involved multiple departments. Eleven of these universities reported they conducted more than one tabletop exercise during this time period.
- Thirteen (37.1 percent) reported that, as of June 2008, they had conducted at least one functional exercise since September 1, 2005.
- Twelve (34.3 percent) reported that, as of June 2008, they had conducted at least one full-scale exercise since September 1, 2005. Seven of these reported exercises appeared to be actual incidents that occurred on campus.

Table 6 on the next page lists how often the universities conducted each type of emergency exercise.

Table 6

Frequency and Type of Emergency Exercises Conducted at 35 Texas Public Universities Surveyed September 2005 through June 2008 ^a			
Frequency of Emergency Exercises	Tabletop Exercises	Functional Exercises	Full-Scale Exercise
No exercises	16 (45.7%)	22 (62.9%)	23 (65.7%)
At least one exercise	8 (22.9%)	5 (14.3%)	7 (20.0%)
At least two exercises	6 (17.1%)	3 (8.6%)	5 (14.3%)
At least three exercises	2 (5.7%)	3 (8.6%)	0 (0.0%)
Four exercises or more	3 (8.6%)	2 (5.7%)	0 (0.0%)
^a Percentages may not sum to 100 due to rounding.			

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Common simulated emergencies for which universities conducted exercises included severe weather events, fires, active shooter incidents, and a pandemic influenza outbreak. For example:

- The University of Texas at Austin conducted annual pandemic influenza tabletop exercises during which University Health Services personnel worked with city, county, and state officials to discuss and develop a plan for a cohesive response to a severe influenza outbreak.
- Texas A&M University conducted a functional exercise in January 2008 regarding the nuclear engineering reactor located on its campus. The exercise simulated an electrical fire and a necessary evacuation.
- Texas A&M University and the College Station Fire Department conducted a full-scale exercise in May 2008 at a regional airport owned and operated by the university. In that exercise scenario, a fuel truck caught fire during fueling of an aircraft parked at the passenger terminal bridge, which caused the terminal to be evacuated.

Ten of the 13 universities that conducted functional exercises and 11 of the 12 universities that conducted full-scale exercises indicated that external organizations were involved in the most recent exercise. Common external participants included city officials, local law enforcement, and local fire departments. Involving potential external responders in emergency exercises may improve communication and coordination during an actual emergency.

Survey responses also indicate that 22 (62.9 percent) of the 35 universities develop a corrective action plan after an exercise of their emergency management plans, while 27 universities (77.1 percent) develop a corrective action plan after an actual emergency. According to NIMS standards, a

corrective action plan should be a written report developed by an evaluation team that assesses what went right and what did not go as planned during an emergency exercise or actual incident. This report should include formal recommendations and identify the responsible parties for making the corrections by a set timeline.

Universities have implemented emergency notification systems.

All 35 universities surveyed reported having more than one system available for emergency notification. Common emergency notification methods cited by the universities are e-mail, Web site postings, and text messaging (see

Table 7). Having multiple emergency notification systems including high-technology methods, such as e-mail and text messaging, and low-technology methods, such as a public address system and sirens, may allow universities to notify students, faculty, and staff during an emergency more quickly than relying on a single notification method. After the April 2007 shooting on the Virginia Polytechnic Institute and State University (Virginia Tech) campus, one of the key recommendations made by the Virginia Tech Review Panel was that universities should have immediate and multiple methods of communication with the campus community (see text box).

During visits to six university campuses, auditors noted that the University of Houston and the University of North Texas each automatically enrolls all students, faculty, and staff into the university's notification system. The notification systems capabilities include notifications via text messaging, phone calls, and e-mails during emergencies. The University of Houston's automated notification system also stores electronic files of the university's emergency planning documents and can be used to activate alert beacons in campus buildings.

Emergency Notification Systems

In its report *Mass Shootings at Virginia Tech, April 16, 2007*, the Virginia Tech Review Panel recommended:

In an emergency, immediate messages must be sent to the campus community that provide clear information on the nature of the emergency and actions to be taken. The initial messages should be followed by update messages as more information becomes known. Campus police, as well as administration officials, should have the authority and capability to send an emergency message.

Table 7

Methods Used by Surveyed Universities to Transmit Safety Warnings and Safety Information to Students, Faculty, and Staff ^a	
Response	Percent of Respondents
E-mail - Officials send e-mails to registered students, staff, parents, and other interested parties.	100.0%
Web site - Officials post emergency notifications on their campus Web site.	97.1%
Text Messaging - Officials send text messages containing emergency information to a list of registered cell phones.	77.1%
Fire Panel Boxes - Officials can announce messages through the fire alarm located in each building.	57.1%
Radios - Officials communicate to incident response personnel through provided radio equipment.	54.3%
Public Address System - Officials communicate information through loudspeakers located around campus.	40.0%

Methods Used by Surveyed Universities to Transmit Safety Warnings and Safety Information to Students, Faculty, and Staff ^a	
Sirens - Officials or emergency personnel use loud sirens throughout campus to signal a threat or emergency.	40.0%
Flat Panel Monitors - Officials communicate important information through television screens located in pre-determined campus locations and buildings.	25.7%
Reverse 911 - Officials send emergency notifications by calling local phone lines in a specific geographic location.	22.9%
Broadcast Message to Instant Messaging Accounts - Officials send instant messages to registered users of instant messaging accounts such as Yahoo and MSN.	8.6%
Broadcast Message to Social Network Accounts - Officials send messages to registered users on a social network site such as Facebook or MySpace.	8.6%
Other - Officials use other methods of communications, including paging systems, voicemail systems, university cable/radio systems, and local media.	14.3%
^a Universities were asked to select all that apply.	

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Universities could enhance their use of emergency resources by entering into mutual aid agreements and identifying available resources.

Universities could enhance their emergency preparedness by entering into mutual aid agreements with external entities and by identifying equipment and funds that could be used during an emergency.

During an emergency, universities may rely on external entities, such as local law enforcement, to provide resources, facilities, or service for the response. Specifically:

- Nineteen universities (54.3 percent) had a written mutual aid agreement with the local government, local law enforcement agency, or local fire department/emergency medical service.
- Seven universities (20.0 percent) did not have written mutual aid agreements with the local government, local law enforcement agency, or local fire department/emergency medical service, but they did have a written mutual aid agreement with another type of external entity.
- Nine universities (25.7 percent) did not have a written mutual aid agreement with any external entity.

Under NIMS standards, mutual aid agreements are an important component of any preparedness plan. NIMS standards also recommend that emergency planning officials identify the resources that could be dedicated to emergency operations before such an incident occurs, which would help emergency

officials identify appropriate resources more quickly during an emergency. This includes maintaining a complete inventory list of resources that are not normally used in response to day-to-day incidents, but which may be needed during large-scale emergencies and disasters. Of the 35 universities surveyed:

- Twenty-four (68.6 percent) were able to identify specific equipment in their inventory available for emergency operations; these universities indicated that this inventory was located in various departments and could be used for emergency purposes.
- Seven (20.0 percent) indicated that specific budgets were set up for emergency operations. The remaining universities did not have budgets specifically for emergency operations, but instead drew emergency funds from other departmental budgets.

Chapter 2-B

Universities Have Taken Steps to Mitigate Their Exposure to Hazards and Limit Potential Losses

All 35 universities reported they had incorporated mitigation activities into their emergency management programs. These mitigation activities include providing mental health resources to the campus community, offering education and outreach programs, implementing physical security measures around campus, and employing sworn police officers with full arrest powers. For example, after suffering extensive flood damage caused by Tropical Storm Allison in 2001, the University of Houston spent more than \$25 million on flood mitigation efforts, which included installing submarine doors on the tunnels under the campus, raising electrical transformers, and adding flood gates and pumps to remove water from low-lying spaces.

Cost-effective mitigation activities are a critical part of emergency management and can significantly reduce the long-term risk or potential loss from emergency events. Efforts to mitigate a university's exposure to risk could be incorporated into the construction or renovation of campus buildings, education campaigns in the campus community, and general evaluations of campus grounds and university equipment.

Universities have developed processes to address mental health and behavioral concerns.

Recent incidents of violence at higher education institutions have brought increased attention to students' potential mental health and behavioral issues. Thirty-three universities (94.3 percent) reported providing mental health training to their counselors, and 31 universities (88.6 percent) reported providing this training to student health staff and law enforcement personnel (see Table 8 on the next page). However, 18 universities (51.4 percent) reported providing mental health training to their faculty. Because faculty members regularly interact with students, they are often in a better position to

identify students in need of assistance. Ensuring that its faculty is adequately trained to recognize the signs of potential mental health or behavioral issues is an important component of risk mitigation at a university.

Table 8

Individuals Who Receive Training Covering Mental Health Issues At 35 Texas Public Universities Surveyed ^{a b}			
Individuals	Number of Universities Providing Training	Number of Universities Not Providing Training	Question Not Applicable to University
Counselors	33 (94.3%)	0 (0.0%)	2 (5.7%)
Student Health Staff	31 (88.6%)	3 (8.6%)	1 (2.9%)
Campus Law Enforcement	31 (88.6%)	3 (8.6%)	1 (2.9%)
Residential Staff	29 (82.9%)	2 (5.7%)	4 (11.4%)
Student Affairs	28 (80.0%)	7 (20.0%)	0 (0.0%)
Faculty	18 (51.4%)	16 (45.7%)	1 (2.9%)

^a Universities were asked to select all that apply.
^b Percentages may not sum to 100 due to rounding.

Source: State Auditor’s Office 2008 survey of 35 Texas public universities.

Thirty-three universities (94.3 percent) reported having a process in place that allows students, faculty, and staff to report at-risk individuals and/or suspicious activities. Of these:

- Three universities reported they provide telephone hotlines for reporting individuals of concern. For example, the University of Texas at Austin has a Behavior Concerns Advice Line for individuals to report and discuss concerns about another individual’s behavior anonymously. According to the university, reports received through this advice line have resulted in the arrest of two students carrying guns onto the campus.
- Eight universities reported they have online reporting processes.

Thirty universities (85.7 percent) reported having a multidisciplinary team to discuss and respond to troubled students. For example, Texas Woman’s University has a behavior assessment team whose goal is to identify students exhibiting concerning behavior and take appropriate action. The team consists of representatives from multiple departments, including the university’s Department of Public Safety, Office of Student Life, and Counseling Center. A multidisciplinary team can help universities prevent potentially dangerous situations from becoming actual emergencies.

Not all of the 33 universities that reported having a process in place to report at-risk individuals provide information to students, faculty, and staff about

how to identify individuals who may be at risk of harming themselves or others. Specifically:

- Twenty-six universities reported they provide this information to students.
- Twenty-seven universities reported they provide this information to faculty.
- Twenty-five universities reported they provide this information to staff.

Universities provide education and outreach programs related to campus safety.

Universities reported offering numerous outreach and education programs for students on topics ranging from drug education to community policing.

Examples include:

- Texas A&M University and the University of Houston provide suicide prevention training to faculty and staff through a Question, Persuade, and Refer program.
- The University of Texas at Austin provides counseling, advocacy, education, and referral services for students who have experienced relationship violence through its Voices Against Violence program. The program also provides educational workshops on relationship violence to the campus community.
- The University of Texas at Austin has developed brochures containing tips on what to do when faced with an armed or disruptive individual. Individuals with a university login can also watch a video, *When Lighting Strikes – Shots Fired*, regarding how to respond in an active-shooter situation.

Universities have implemented various physical security features.

Universities have implemented various physical security features at campus locations (see Table 9 on the next page). Examples include the following:

- The University of Houston monitors more than 450 security cameras on campus 24-hours-a-day from a virtual patrol room.
- Lamar University has more than 200 security cameras on campus that can be reviewed from a situation room, as well as remotely on an authorized computer.
- Texas Woman's University has 26 emergency "blue light" phones around campus. The university's Department of Public Safety tests these emergency phones five nights a week to ensure they are working properly.
- In addition to its university police patrol, Lamar University has student workers who patrol the parking lots during night classes to ensure the

safety of students attending night school. These student patrol workers report any physical security issues, such as campus lighting issues, and provide security escorts to students whose cars are parked in the lots.

Table 9

Percent of 35 Universities Surveyed That Have Implemented Physical Security Features at Campus Locations ^a						
Physical Security Feature	Administration Building	Classroom Building	Labs ^b	Campus Housing ^c	Parking Facilities ^d	Campus Grounds ^e
Card Access on Doors	60.0%	65.7%	62.9%	71.4%	14.3%	5.7%
Emergency Call Boxes	48.6%	48.6%	28.6%	65.7%	74.3%	85.7%
Fire Alarms	100.0%	94.3%	97.1%	88.6%	37.1%	20.0%
Safety Escort Services	85.7%	82.9%	80.0%	77.1%	85.7%	82.9%
Security Cameras	60.0%	68.6%	31.4%	62.9%	57.1%	51.4%
Sprinkler Systems	65.7%	88.6%	91.4%	74.3%	20.0%	5.7%
Timed Door Locks	34.3%	37.1%	31.4%	34.3%	2.9%	0.0%

^a Universities could select all that applied. Four universities indicated that other security features have been implemented on campus. Other features listed were e-ride service on campus, closed-circuit television, IP/Voice over Cisco phones in Smart Classrooms, and all hazard radios in every building.

^b One university did not complete this section.

^c Four universities did not complete this section. Responses from four universities indicate that they do not have campus housing.

^d Four universities did not complete this section. Responses from two universities indicate that they do not have parking facilities.

^e Two universities did not complete this section.

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

All 35 universities reported conducting safety walks on campus to identify potential safety concerns. For example, the student government association at the University of North Texas organizes campus safety walks each semester, during which students, faculty, and staff walk the campus at night and identify potential safety hazards, such as poor lighting and overgrown foliage. As a result of these walks and a lighting survey conducted on campus, the university recently installed more than \$300,000 in outdoor lighting improvements throughout the campus.

Universities' campus law enforcement entities have a significant role in campus safety and emergency activities.

Thirty-four universities (97.1 percent) reported having a campus law enforcement entity, which are often the first responders in the event of a campus emergency. All 34 campus law enforcement entities employ sworn police officers who have full arrest powers granted by a state or local government, and all 34 universities allow the officers to carry handguns and other weapons on campus (see Table 10 on the next page).

Table 10

Devices That Universities' Campus Law Enforcement Personnel Are Authorized to Carry on Campus ^a		
Device	Number of Respondents	Percent of Respondents
Handguns	34	97.1%
Batons	32	91.4%
Pepper spray	30	85.7%
Rifles/long guns	25	71.4%
Tasers or stun guns	9	25.7%
Other (handcuffs, control sticks, and shotguns)	3	8.6%
Not applicable	1	2.9%

^a Universities were asked to check all answers that apply.

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Law Enforcement Accreditation Programs

To be accredited, law enforcement agencies must meet up to 459 individual standards. Law enforcement agencies must meet the following standards that are specific to emergency management:

- Establish an all-hazard incident command system.
- Enter into mutual aid agreements.
- Create after-action reports.
- Perform equipment readiness inspections.
- Identify alternate power sources.

To become accredited by CALEA or IACLEA, agencies must enroll in the program, conduct a self-assessment, pass an on-site agency evaluation, and pass a final review. If accredited, an agency must maintain compliance and re-accreditation on an annual basis.

Source: CALEA Law Enforcement Accreditation Program.

In addition to NIMS incident command training, survey results indicate that campus law enforcement personnel receive other emergency-related training. Thirty-three of the 34 universities with a campus law enforcement entity reported that their law enforcement personnel receive active shooter training. Additionally, universities reported that their campus law enforcement personnel receive other emergency-related training, such as homeland security and anti-terrorism training or crisis intervention team training.

During site visits to six universities, auditors identified several other notable activities within the universities' campus law enforcement entities including:

- The University of Texas at Austin's and the University of North Texas's campus law enforcement departments are accredited by both the Commission on Accreditation for Law Enforcement Agencies (CALEA) and the International Association of Campus Law Enforcement Administrators (IACLEA) (see text box). Law enforcement accreditations help assure the public that a law enforcement entity conforms to professional standards.
- The University of Houston's Department of Public Safety Web site contains daily crime bulletins, as well as a map of recent crime activity that allows users to visually determine where crimes are occurring on campus. The map is color-coded by type of crime, and users can click on the map for additional information about a particular incident.
- Texas A&M University's Police Department's Crime Prevention Unit operates a joint program with the Department of Residence Life to educate

students living on campus about safety measures by providing training and support, maintaining a Web site, and making presentations at student gatherings. The Police Department has also established three police substations on campus for easy student access. Additionally, university police officers spend two days each week at different campus locations to increase interactions with students regarding crime prevention and safety issues.

- The University of Texas at Austin's Police Department provides information about crimes occurring in the campus area and crime prevention tips through reports posted on its Web site and distributed by listserv to subscribers.

Chapter 2-C

Universities Are Not Fully Accessing Emergency Management Resources Currently Available to Them

There are a number of federal, state, and other resources available for emergency management planning; however, some universities are not fully using these resources. Additionally, emergency management personnel at the universities were not always aware of the resources available to them. Below is a summary of some of the resources available.

Federal Resources Available

- U.S. Department of Homeland Security, through the Federal Emergency Management Agency (FEMA), maintains a National Integration Center, which provides guidance and support to jurisdictions as they adopt NIMS standards. FEMA also provides multiple checklists and templates for developing NIMS-compliant emergency management plans, including one that is specific to the higher education environment—*Building a Disaster Resistant University*. The U.S. Department of Homeland Security also maintains the Lessons Learned Information Sharing Web site, which allows emergency response professionals to share positive or negative experiences derived from actual incidents or training exercises, best practices for emergency planning, and other emergency preparedness information. In addition to the National Integration Center and the Lessons Learned Web site, FEMA offers emergency management training courses through the Emergency Management Institute. That institute offers a number of online emergency management courses at no cost, including a wide variety of NIMS training courses.
- The U.S. Department of Education has resources available for emergency planning through (1) the Office of Safe and Drug-Free Schools (2) the Readiness and Emergency Management for Schools Technical Assistance Center, and (3) the National Clearinghouse for Education Facilities. Although many of these resources are more applicable to K-12 schools,

the U.S. Department of Education also provides some information specifically designed for higher education institutions.

- The Federal Higher Education Opportunity Act, signed into law on August 14, 2008, authorized the Secretary of Education to award grants to help universities implement emergency preparedness measures, improve campus safety, and coordinate mental health services with local entities. It also created a loan program to aid universities in recovering from a major disaster. This act also required the Secretary of Education to advise universities on emergency response policies, procedures, and practices, as well as provide guidance to universities about the disclosure of student records.

State Resources Available

- Governor's Division of Emergency Management provides no-cost training to local and state emergency management personnel, local and state emergency response organizations, and members of volunteer organizations. Available training courses cover hazardous materials and NIMS training, as well as all four phases of emergency management: preparedness, mitigation, response, and recovery.
- The Texas Engineering Extension Service (TEEX), an agency within the Texas A&M University System, offers skills and technical training on a wide range of emergency management subjects. These include firefighting, construction, compliance with safety and health regulations, search and rescue, and law enforcement. The National Emergency Response and Rescue Training Center of TEEX, also a member of the National Domestic Preparedness Consortium, provides participants with hands-on training and simulations on topics such as threat and risk assessment, incident management, and acts of terrorism.
- The Law Enforcement Management Institute of Texas on the Sam Houston State University campus provides a variety of training classes for law enforcement personnel and emergency responders, including the Incident Command Simulation Training program, which provides real-time simulations of emergencies. This training is offered free of charge to Texas law enforcement personnel.
- The Texas School Safety Center on the Texas State University – San Marcos campus was authorized by the 77th Legislature to provide schools with safety-related research and training and acts as a central point of contact for school safety information. The majority of this center's information is focused on K-12 schools; however, the 80th Legislature authorized the center to provide assistance and training to higher education institutions. The center, which has one full-time employee designated to assist higher education institutions, has created the Higher Education Safety and Security Initiative. This initiative established a clearinghouse for higher

education-related safety information, and it assists higher education institutions to develop and implement tabletop exercises.

Other Resources Available

- The National Association of College and University Business Officers maintains a Web site (www.nacubo.org) that contains a variety of emergency planning resources for higher education institutions and includes links to several universities' emergency management plans. In early 2008, this association, in partnership with several other higher education associations, announced a National Campus Safety and Security Project. One of the components of this project is a comprehensive survey assessing colleges' and universities' emergency readiness across the country.
- The International Association of Campus Law Enforcement Agencies (IACLEA) represents campus public safety leaders and offers a number of services to its member agencies. These services include management training and education programs, including mobile incident command training, workshops on compliance with the federal Clery Act, awareness of weapons of mass destruction, and an accreditation program designed for campus public safety departments.

Following the shootings at Virginia Tech in April 2007, a number of universities, task forces, and state legislatures reviewed the status of campus security and recommended or enacted a number of different measures to improve safety on university campuses. One common recommendation is that all universities should establish campus-specific emergency management plans. Other common recommendations are that higher education institutions should (1) conduct regular training and exercises of their emergency management operations and (2) implement emergency notification systems to alert the campus community during an emergency.

Chapter 3-A

Recommendations from Other Campus Safety Reports

Auditors researched previous reports on campus safety and security produced by federal officials, national organizations, task forces, and universities in other states. Twenty reports provided “best practices” recommendations specifically for higher education institutions. (See Appendix 6 for a complete listing of reports reviewed and their recommendations.)

These reports made numerous recommendations for increasing campus safety at higher education institutions. Auditors identified five common themes. Specifically:

- Higher education institutions should create and regularly update all-hazards emergency response plans. Higher education institutions that develop and implement all-hazards emergency plans will increase their capacity for quickly responding to emergencies. Emergency plans should be updated regularly to increase the institutions’ preparedness for complex and changing security threats. Higher education institutions’ emergency management plans also should strive to identify all hazards that the institutions may reasonably expect to occur.
- Higher education institutions should regularly schedule emergency operations drills and tests of emergency equipment. By regularly conducting training exercises and other practice drills, higher education institutions can test the effectiveness of their emergency management plans and identify areas needing improvement. Emergency exercises also allow the campus community (including faculty, staff, and students) to gain an understanding about what it should do during certain emergency situations. In addition, the federal Higher Education Opportunity Act of 2008 requires university and college campuses to annually test and publicize their emergency response and evacuation procedures.
- Higher education institutions should train faculty, staff, and students on emergency protocol and offer outreach programs on how to identify students exhibiting at-risk behaviors, as well as on other topics related to mental health and campus safety.

Training and educating the campus community can help safeguard lives by allowing the campus community to recognize emergency alerts and understand the appropriate actions to take during an emergency.

- Higher education institutions should enter mutual aid agreements, develop strong working relationships, and conduct joint training with local law enforcement partners and other external emergency responders. Partnerships with local responders can enhance a higher education institution's response capabilities in the event of a crisis. NIMS standards recommend that each jurisdiction enter into mutual-aid agreements with other appropriate jurisdictions from which assistance is expected to be received and/or for which such assistance may be provided in the event of an emergency.
- Higher education institutions should adopt emergency mass-notification and communications systems. Implementing mass-notification systems would allow campus personnel to quickly alert and relay important information to the campus community during an emergency. Under the Higher Education Opportunity Act of 2008, higher education institutions must immediately notify the campus community upon confirmation of an immediate threat to the campus community.

Chapter 3-B

Legislation in Other States

Several states have considered and passed legislation to address campus safety and emergency preparedness, much of it during the past two years. Auditors reviewed recently enacted or proposed legislation addressing campus safety and security in California, Illinois, Louisiana, New Mexico, New York, North Carolina, Ohio, Pennsylvania, and Virginia. Virginia and Illinois experienced recent active shooter incidents and Louisiana experienced significant impact from Hurricanes Katrina and Rita. California's and New York's population is comparable in size to Texas. New Mexico, North Carolina, Ohio, and Pennsylvania created task forces or issued reports about campus safety following the Virginia Tech shootings. (See Appendix 7 for more information on enacted and proposed legislation.)

Other States' Enacted Legislation

Legislation enacted in California, Illinois, Louisiana, and Virginia primarily addressed the following three topics:

- **Campus Emergency Plans.** Illinois, Louisiana, and Virginia passed laws requiring universities to develop emergency management plans. Virginia also requires universities to establish emergency notification systems for the campus community. California recently passed legislation requiring universities to develop campus housing evacuation plans and to make campus safety plans available to the public. Additionally, the Office of

the Chancellor of the California Community Colleges System is required to develop emergency preparedness standards and guidelines that are in accordance with NIMS standards to assist community colleges in their emergency planning.

- **Mental Health.** Virginia reformed its mental health system. Examples of the changes made included: (1) A mentally ill person who is likely to cause physical harm to self or others can be ordered into mandatory treatment; (2) universities may request student mental health records; and (3) university boards must develop policies and procedures for notifying parents when a student receiving mental health treatment is determined to be a threat. Virginia also enacted laws making it more difficult for individuals with a history of mental illness and who might be a threat to others to purchase a firearm.
- **Violence Prevention.** Illinois requires universities to establish a campus violence prevention plan and conduct annual training and exercises of the plan. Virginia requires universities to establish a threat assessment team and adopt a campus-wide committee charged with education and prevention of violence on campus.

Legislation Considered in Other States

Legislation considered, but not enacted as of October 1, 2008, by six state legislatures primarily addressed the following three topics:

- **Campus Safety Plans.** Legislation considered in Ohio would require universities to develop emergency plans focused on responding to threats involving a deadly weapon. Legislation considered in New York would require universities to develop (1) comprehensive campus security plans and (2) emergency alert systems.
- **Funding and Use of Resources.** Legislation considered in New Mexico would establish a reserve fund for projects at universities that are needed to address an emergency. Proposed legislation in North Carolina would appropriate more than \$29 million toward implementation of recommendations made by the University of North Carolina's Campus Safety Task Force. Legislation considered in New York would authorize emergency services personnel to use university athletic facilities at the approval of the university president.
- **Violence Prevention and Immunity.** Legislation considered in Pennsylvania would require universities to establish sexual violence education programs. Legislation considered in New York would require campus security personnel to receive training on "gender-motivated" offenses, and universities would be required to develop support groups for sexual violence victims. Proposed legislation in North Carolina would require a study to consider providing immunity to mental health professionals who

report that an individual may be a safety risk, and legislation considered in Ohio would provide immunity to university officers and employees who file such reports.

Appendices

Appendix 1

Objective, Scope, and Methodology

Objective

The objective of this audit was to determine if the State's public universities have designed and implemented campus safety and security emergency management plans that include ongoing risk assessment, monitoring, and testing of the plan to ensure an appropriate response in the event of an actual emergency.

Scope

The scope of this audit covered:

- The current emergency management plans for 35 Texas public universities.
- On-site reviews of emergency management programs at six universities.

Methodology

The audit methodology included reviewing emergency management plans, surveying university personnel about their emergency management practices, reviewing annual security reports, conducting site visits at six public universities, reviewing recommendations from other reports about campus safety, and reviewing other states' laws regarding campus safety.

Information collected and reviewed included the following:

- Emergency management plans from 35 Texas public universities, including the following from each university:
 - ♦ List of mutual aid agreements between the university and external entities regarding emergency operations.
 - ♦ Inventory list of emergency operations equipment.
 - ♦ Budget and expenditures for emergency operations for fiscal years 2005 to 2007 and the first two quarters of fiscal year 2008.
 - ♦ Emergency operations structure and chain of command.
 - ♦ Organizational charts for emergency operations.

- Annual security reports filed by each university under the 1998 Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act.
- Crime statistics from calendar years 2001 to 2006 for public universities across the nation and for the general population of the United States.
- Recommendations and findings of campus safety reports by federal officials, national organizations, task forces, and universities in other states.
- Federal and other states' laws regarding campus safety.
- Internal audit reports from various Texas public universities.

Procedures and tests conducted included the following:

- Surveyed emergency management personnel at 35 public universities about campus safety and security emergency management operations and analyzed survey results.
- Conducted site visits at six universities, which included interviewing key university personnel and observing emergency preparedness and mitigation activities.
- Reviewed significant emergency incidents affecting Texas universities through August 2008.
- Toured facilities and interviewed emergency management and campus safety personnel from the Texas Engineering Extension Service (TEEX), the Law Enforcement Management Institute of Texas (LEMIT), and the Texas School Safety Center.
- Tested the daily crime logs at six universities that auditors visited.
- Analyzed crime statistics for (1) 35 Texas public universities, (2) universities nationwide, and (3) the general U.S. population.

Criteria used included the following:

- National Incident Management System (NIMS) standards, U.S. Department of Homeland Security.
- Federal *Homeland Security Presidential Directive-5* (Management of Domestic Incidents).
- Governor's Division of Emergency Management templates and checklists.
- Governor Rick Perry's Executive Order RP 40.

- Title 20, United States Code, Section 1092 (f) (The 1998 Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act).
- Texas Government Code, Chapter 418 (Texas Disaster Act).
- Texas Government Code, Chapter 433 (State of Emergency).
- Texas Government Code, Chapter 791 (Interlocal Cooperation Contracts).
- Texas Health and Safety Code, Chapter 778 (Emergency Management Assistance Compact).
- Texas Education Code, Chapter 37 (Discipline; Law and Order).
- Title 34, Code of Federal Regulations, Part 99 (Family Educational Rights and Privacy Act).
- *Guide for All-Hazard Emergency Operations Planning*, Federal Emergency Management Agency's (FEMA).
- *Building a Disaster Resistant University*, FEMA.
- National Fire Protection Agency Standard on Disaster/Emergency Management and Business Continuity Programs (Standard 1600), 2007.

Project Information

Audit fieldwork was conducted from June 2008 through August 2008. We conducted this audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objective. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objective.

The following members of the State Auditor's staff performed the audit:

- Kristin Alexander, CIA, CFE (Project Manager)
- Lucien Hughes (Assistant Project Manager)
- Matt Byrnes
- Erin Johnson Cromleigh
- Cindy Haley, CPA
- Sajil Scaria
- Brian York

- Dennis Ray Bushnell, CPA (Quality Control Reviewer)
- Sandra Vice, CIA, CGAP, CISA (Assistant State Auditor)

Executive Order Designating NIMS as the Incident Management System for the State of Texas



STATE OF TEXAS
OFFICE OF THE GOVERNOR

RICK PERRY
GOVERNOR

February 23, 2005

The Honorable Roger Williams
Secretary of State
State Capitol Room 1E.8
Austin, Texas 78701

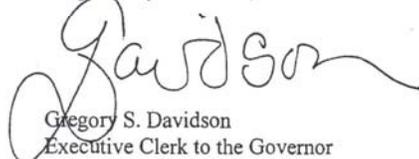
Dear Mr. Secretary:

Pursuant to his powers as the chief executive officer and governor of the State of Texas, Rick Perry has issued the following order:

Executive Order No. RP-40 relating to the designation of the National Incident Management System as the incident management system for the State of Texas.

The official copy of this order is attached to this letter of transmittal.

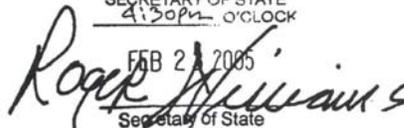
Respectfully submitted,


Gregory S. Davidson
Executive Clerk to the Governor

GSD/gsd

Attachment

FILED IN THE OFFICE OF THE
SECRETARY OF STATE
4:20 PM - 02/23/05


FEB 23 2005
Secretary of State

P. O. Box 12131 • Capitol Station • Austin, Texas 78711

Executive Order

BY THE
GOVERNOR OF THE STATE OF TEXAS

Executive Department
Austin, Texas
February 23, 2005

EXECUTIVE ORDER
RP 40

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

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

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

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

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

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

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

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

NOW, THEREFORE, I, Rick Perry, Governor of Texas, by virtue of the power and authority vested in me by the Constitution and laws of the State of Texas as

FILED IN THE OFFICE OF THE
SECRETARY OF STATE
4:30 PM, O'CLOCK

FEB 23 2005

the Chief Executive Officer, do hereby order the following:

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

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



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

Rick Perry
RICK PERRY
Governor

Attested by:
Roger Williams
ROGER WILLIAMS
Secretary of State

FILED IN THE OFFICE OF THE
SECRETARY OF STATE
4:30 PM O'CLOCK
FEB 23 2005

Summary of Results of Auditors' Review of Emergency Management Plans at 35 Texas Public Universities

Table 11 lists the results of auditors' comparison of emergency management plans of the 35 public universities in Texas against the Governor's Division of Emergency Management local government plan checklist. Although universities are not specifically required to follow this checklist, many of these attributes are applicable to emergency management at universities. To determine whether the emergency management plans contain the recommended items, auditors evaluated each university's plan based on the following 11 categories and 29 attributes.

Table 11

Summary of Results of Auditors' Review of Emergency Management Plans at 35 Texas Public Universities				
Category	Attribute	Description	Number and Percent of Universities Whose Plans Included This Attribute	Number and Percent of Universities Whose Plans Did Not Include This Attribute
Plan Format	1	Plan includes an approval and implementation page that is signed by the president of the university.	9 (25.7%)	26 (74.3%)
	2	Plan includes a record of changes.	11 (31.4%)	24 (68.6%)
Authority	3	Plan identifies any local, state, or federal legal authorities that establish the legal basis for planning and emergency response. These should specify the extent and limits of emergency operations and emergency authorities.	18 (51.4%)	17 (48.6%)
Explanation of Terms	4	Plan explains/defines terms, acronyms, and any abbreviations used throughout the document (usually in a glossary). To be fully compliant with this standard, the plan must consistently use National Incident Management System (NIMS) definitions and acronyms as they apply throughout the plan.	24 (68.6%)	11 (31.4%)
Situations and Assumptions	5	Plan includes a situation statement that summarizes the potential hazards facing the jurisdiction (risk/hazard assessment).	19 (54.3%)	16 (45.7%)
	6	Plan includes the likelihood of occurrence for identified hazards.	17 (48.6%)	18 (51.4%)
	7	Plan includes identified hazards' estimated impact on public health, safety, and property.	14 (40.0%)	21 (60.0%)
	8	Plan includes a list of planning assumptions on which the plan and annexes are based.	24 (68.6%)	11 (31.4%)
Concept of Operations	9	Plan describes the incident command arrangements and the interface between field operations and an emergency operations center. Plan describes how the university is to set up and use an emergency operations center or a multi-agency coordination system depending on the size and complexity of the incident.	31 (88.6%)	4 (11.4%)
	10	Plan outlines the process to be used to obtain state and/or federal assistance, including who will make the request and under what circumstances requests will be made for additional aid from the State.	20 (57.1%)	15 (42.9%)

Summary of Results of Auditors' Review of Emergency Management Plans at 35 Texas Public Universities

Category	Attribute	Description	Number and Percent of Universities Whose Plans Included This Attribute	Number and Percent of Universities Whose Plans Did Not Include This Attribute
Concept of Operations	11	Plan describes the actions to be taken during the four phases of emergency management (preparedness, mitigation, response, and recovery). The Plan captures the sequence and scope of the planned response and explains the overall approach to the emergency situation.	23 (65.7%)	12 (34.3%)
Organization and Assignment Responsibility	12	Plan describes the emergency organization and the assignment of responsibilities.	33 (94.3%)	2 (5.7%)
	13	Plan describes the emergency responsibilities of the university's president and the other members of the executive staff.	31 (88.6%)	4 (11.4%)
	14	Plan outlines the responsibilities for various emergency service and support functions, including an organizational structure that clearly identifies what organizations will be involved in the emergency response.	31 (88.6%)	4 (11.4%)
Direction and Control	15	Plan indicates by title/position who is responsible for providing guidance for the emergency management program. The plan describes the organization and assignment of responsibilities, highlighting the primary and supporting roles in the process.	34 (97.1%)	1 (2.9%)
	16	Plan indicates by title/position the person(s) responsible for directing and controlling response and recovery activities.	35 (100.0%)	0 (0.0%)
	17	Plan describes the local emergency facilities (for example, incident command post and emergency operation center).	31 (88.6%)	4 (11.4%)
	18	Plan summarizes the line of succession for key personnel and describes the organization and assignment of responsibilities.	23 (65.7%)	12 (34.3%)
Readiness Level	19	Plan explains the readiness (threat) levels on campus and the actions to be taken at the different levels.	28 (80.0%)	7 (20.0%)
	20	Plan indicates who determines the different readiness levels.	27 (77.1%)	8 (22.9%)
Administration and Support	21	Plan outlines policies on agreements and contracts (for example, mutual aid agreements). The plan contains general policies for managing resources.	19 (54.3%)	16 (45.7%)
	22	Plan establishes requirements for reports that are required during emergency operations.	23 (65.7%)	12 (34.3%)
	23	Plan outlines the requirements for record keeping related to emergencies and includes general policies on financial record keeping.	19 (54.3%)	16 (45.7%)
	24	Plan describes policies and/or assigns responsibility for ensuring personnel receive the appropriate training to implement the plan during an emergency.	27 (77.1%)	8 (22.9%)
	25	Plan establishes requirements for a post-incident review of emergency operations following a major emergency/disaster.	22 (62.9%)	13 (37.1%)

Summary of Results of Auditors' Review of Emergency Management Plans at 35 Texas Public Universities

Category	Attribute	Description	Number and Percent of Universities Whose Plans Included This Attribute	Number and Percent of Universities Whose Plans Did Not Include This Attribute
Development and Maintenance	26	Plan identifies who is responsible for approving and promulgating the plan. This should include a section describing the participants included in the planning process, as well as those who give the final approval.	26 (74.3%)	9 (25.7%)
	27	Plan indicates how it is to be distributed, including a list of individuals and organizations that should receive a copy.	11 (31.4%)	24 (68.6%)
	28	Plan outlines the process and schedule for the review and update of the plan and its annexes. The plan should provide for annual review of the plan.	31 (88.6%)	4 (11.4%)
NIMS	29	Plan includes a statement acknowledging the adoption of NIMS standards and cites appropriate authorities and references.	19 (54.3%)	16 (45.7%)

Source: State Auditor's Office review of emergency management plans at 35 Texas public universities.

Crime Statistics Reported by Universities Under the Federal Clery Act

Higher education institutions are required to disclose their annual crime statistics under the federal Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act). Statistics for calendar years 2001 through 2006 for Texas's 35 public universities are available online from the U.S. Department of Education.

Texas universities experienced a drop in total reported criminal offenses in 2003, followed by a large increase in 2004, and then two years of decreases. Table 12 lists the criminal offenses reported by the 35 public universities in Texas for calendar years 2001 through 2006. These reported offenses occurred (1) on campus, (2) on a non-campus property owned or controlled by the university or a university recognized student organization, or (3) on public property within the campus or adjacent to and accessible from the campus.

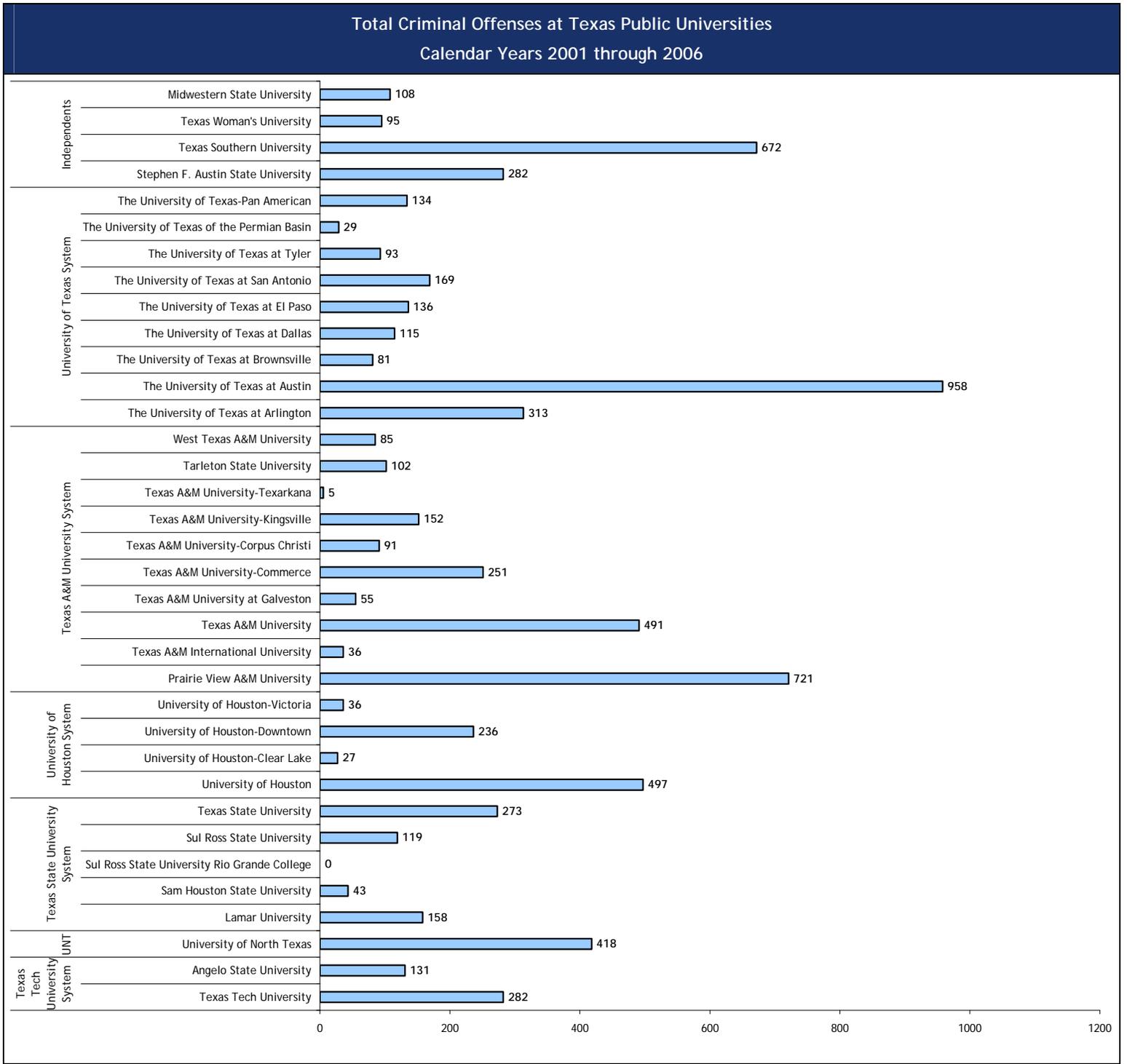
Table 12

Total Number of Criminal Offenses Reported by the State's 35 Public Universities for Calendar Years 2001-2006							
Type of Criminal Offense	2001	2002	2003	2004	2005	2006	Total
Murder/Non-negligent Manslaughter	1	1	0	1	0	0	3
Negligent Manslaughter	0	0	0	0	0	0	0
Sex Offenses - Forcible	66	70	46	71	62	67	382
Sex Offenses - Non-forcible	8	1	3	2	2	0	16
Robbery	49	52	46	78	47	50	322
Aggravated Assault	118	109	111	117	117	96	668
Burglary	817	795	637	865	766	657	4,537
Motor Vehicle Theft	205	265	216	248	215	211	1,360
Arson	13	21	16	19	18	19	106
Totals	1,277	1,314	1,075	1,401	1,227	1,100	7,394

Source: U.S. Department of Education's Office of Postsecondary Education campus security data analysis cutting tool (<http://ope.ed.gov/security/>).

Figure 3 shows the total number of criminal offenses reported by each university for calendar years 2001 through 2006.

Figure 3

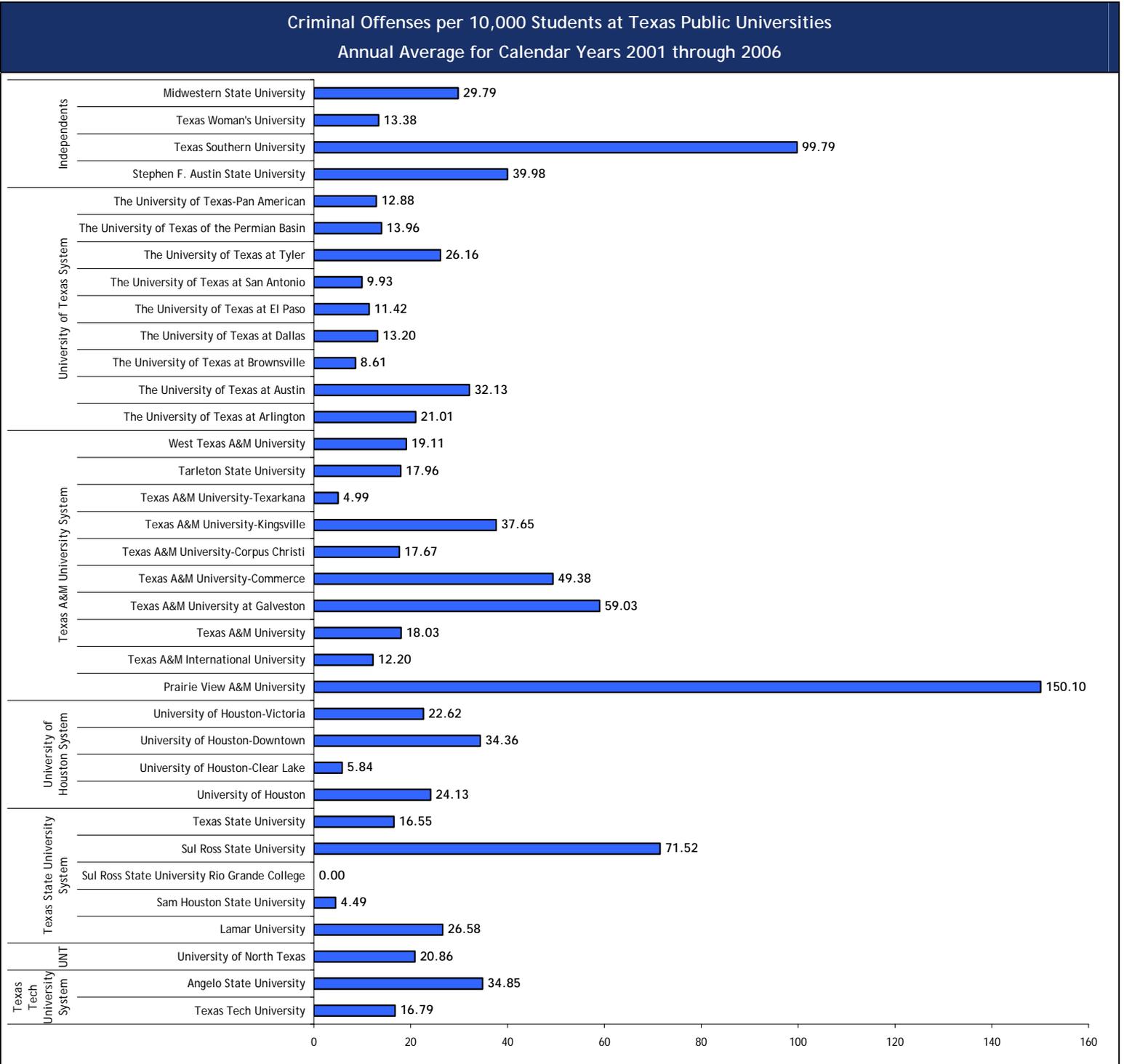


Note: UNT = University of North Texas System.

Source: U.S. Department of Education's Office of Postsecondary Education campus security data analysis cutting tool (<http://ope.ed.gov/security/>).

Figure 4 shows the annual average crime rate for all reported offenses per 10,000 students at each of Texas's 35 public universities.

Figure 4



Note: UNT = University of North Texas System.

Source: U.S. Department of Education's Office of Postsecondary Education campus security data analysis cutting tool (<http://ope.ed.gov/security/>).

Survey Results

Auditors surveyed Texas's 35 public universities. The response rate was 100 percent. The survey was administered in June 2008 and included questions on universities' (1) emergency preparedness, (2) mental health and behavioral services, (3) campus law enforcement, and (4) mitigation activities. Table 13 lists the surveyed universities.

Table 13

Universities Responding to Auditors' Survey	
▪ Angelo State University	▪ Texas Tech University
▪ Lamar University	▪ Texas Woman's University
▪ Midwestern State University	▪ The University of Texas at Arlington
▪ Prairie View A&M University	▪ The University of Texas at Austin
▪ Sam Houston State University	▪ The University of Texas at Brownsville
▪ Stephen F. Austin State University	▪ The University of Texas at Dallas
▪ Sul Ross State University	▪ The University of Texas at El Paso
▪ Sul Ross State University Rio Grande College	▪ The University of Texas-Pan American
▪ Tarleton State University	▪ The University of Texas of the Permian Basin
▪ Texas A&M International University	▪ The University of Texas at San Antonio
▪ Texas A&M University	▪ The University of Texas at Tyler
▪ Texas A&M University-Commerce	▪ University of Houston
▪ Texas A&M University-Corpus Christi	▪ University of Houston-Clear Lake
▪ Texas A&M at Galveston	▪ University of Houston-Downtown
▪ Texas A&M University-Kingsville	▪ University of Houston-Victoria
▪ Texas A&M University-Texarkana	▪ University of North Texas
▪ Texas Southern University	▪ West Texas A&M University
▪ Texas State University-San Marcos	

Definition of Terms Provided to Respondents

Auditors provided survey respondents with a list of definitions to assist them in completing the survey.

Functional Exercise: An exercise that is designed to test and evaluate selected emergency functions and the interaction of various levels of government, response organizations, volunteer groups, and industry in a simulated emergency environment. This type of exercise usually involves key decision-makers, the local emergency operating center, and representatives of response and support organizations. Field response units are not normally activated and deployed during a functional exercise.

Full-Scale Exercise: An exercise that includes all the components of the functional exercise plus activation of an incident command post and actual deployment of response personnel and equipment to respond to a simulated emergency situation. Full-scale exercises may also involve participation by mutual aid resources from other jurisdictions and state and federal coordination and response elements.

Multidisciplinary Crisis Management Team: A group that is responsible for the crisis management process. The team may be responsible for gathering and reviewing details of the crisis, determining crisis management and response activities, specifying communication procedures with internal and external audiences, and briefing senior staff.

Multidisciplinary team: A group of professionals from diverse disciplines who come together to provide comprehensive assessment and consultation.

National Incident Management System (NIMS): This system provides a consistent nationwide template to assist federal, state, tribal and local governments and private sector and nongovernmental organizations in working together effectively and efficiently to prepare for, prevent, respond to, and recover from domestic incidents, regardless of the incidents' cause, size, or complexity, including acts of catastrophic terrorism.

NIMS Training: NIMS requires the completion of all of the following certification courses by individuals assigned the responsibility of the command and control functions during emergencies:

ICS 100 - Introduction to Incident Command System

ICS-200 - Basic Incident Command System,

ICS-300 - Intermediate Incident Command System

ICS-400 - Advanced Incident Command System

ICS-700 - NIMS, An Introduction

ICS-800 - National Response Plan (NRP), An Introduction

Safety Walk: A tour done around the campus grounds and buildings, during which unsafe conditions such as overgrown shrubs or burned out lighting can be identified.

Tabletop Exercise: During a tabletop exercise, emergency facilities are not activated and emergency response forces are not deployed. The purpose of a tabletop exercise is to facilitate a learning environment where response agencies can come together, face-to-face, to understand and talk through an integrated response to a specific emergency situation. Tabletop exercises provide an environment for learning, discussing, and identifying issues that may not be as obvious when participants are physically separated as they are during drills and other exercises.

Emergency Preparedness

Tables 14 through 16 list the universities' responses to survey questions regarding emergency preparedness. See Chapter 2-A for additional information on the universities' emergency preparedness status.

Table 14

Responses from 35 Texas Public Universities to 2008 State Auditor's Office Survey about Emergency Preparedness ^a						
Survey Question	Yes		No		Question Not Applicable to University	
	Number of Universities	Percent of Universities	Number of Universities	Percent of Universities	Number of Universities	Percent of Universities
1. Does the university's emergency operations plan incorporate National Incident Management System (NIMS) standards?	24	68.6%	11	31.4%	0	0.0%
2. Has your university's executive management delegated authority for command and control functions during emergencies? ^b	32	91.4%	3	8.6%	0	0.0%
2b. If yes, have these individuals received the required NIMS training?	17	48.6%	15	42.9%	3	8.6%
3. Did the university use any of the following planning and training resources when developing its emergency operations plan: ^c						
Emergency Management Institute	16	45.7%	19	54.3%	0	0.0%
U.S. Fire Administration-National Fire Academy	9	34.6%	26	74.3%	0	0.0%
National Fire Protection Agency	20	57.1%	15	42.9%	0	0.0%
Federal Emergency Management Agency Guide	28	80.0%	7	20.0%	0	0.0%
Governor's Division of Emergency Management	22	62.9%	13	37.1%	0	0.0%
Law Enforcement Management Institute of Texas	17	48.6%	18	51.4%	0	0.0%
Texas Engineering Extension Service	18	51.4%	17	48.6%	0	0.0%
4. Do the following individuals receive NIMS emergency preparedness training: ^d						
Campus Law Enforcement	30	85.7%	4	11.4%	1	2.9%
Key Administrative Staff	16	45.7%	19	54.3%	0	0.0%
Key Financial Staff	9	25.7%	26	74.3%	0	0.0%
First Responders	24	68.6%	11	31.4%	0	0.0%

Responses from 35 Texas Public Universities to
2008 State Auditor's Office Survey about Emergency Preparedness ^a

Survey Question	Yes		No		Question Not Applicable to University	
	Number of Universities	Percent of Universities	Number of Universities	Percent of Universities	Number of Universities	Percent of Universities
Public Information Officer	11	31.4%	24	68.6%	0	0.0%
5. Since September 1, 2005, has your university received funding from the following sources to assist in the emergency planning process: ^e						
Federal Emergency Management Agency	0	0.0%	35	100.0%	0	0.0%
Department of Homeland Security	3	8.6%	32	91.4%	0	0.0%
6. Did your University apply for the Emergency Management for Higher Education Grant from the U.S. Department of Education?	13	37.1%	22	62.9%	0	0.0%
10. Does the university have an existing multidisciplinary crisis management team?	34	97.1%	1	2.9%	0	0.0%
13. Does the university develop "Lessons Learned" documents after an exercise of its emergency plan?	22	62.9%	12	34.3%	1	2.9%
14. Does the university develop "Lessons Learned" documents after an actual emergency?	27	77.1%	8	22.9%	0	0.0%

^a Percentages may not sum to 100 due to rounding.

^b Survey also asked respondents to list the job titles of the individuals to whom this authority is delegated.

^c Six universities reported they also used other planning and training resources. These included the Lessons Learned Information Sharing Web site (www.LLIS.gov); the International Association of Campus Law Enforcement Administrators; Sungard Availability Services; and plans from other universities, county health departments, cities, and the State Office of Risk Management.

^d Survey also asked respondents to describe the type of training. Three universities reported that other personnel also receive NIMS emergency preparedness training. These included risk management services staff, environmental health and safety staff, and university doctors.

^e Two universities reported they received equipment from the National Domestic Preparedness Coalition.

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Table 15

Responses from 35 Texas Public Universities to 2008 State Auditor's Office Survey about Emergency Preparedness ^a		
7. Who is responsible for reviewing and revising the university's emergency operations plan? ^b		
Response	Number of Universities	Percent of Universities
Environmental Health and Safety Risk Management	15	42.9%
Police Department	13	37.1%
A Specific Committee or Team	10	28.6%
Emergency Management or Campus Safety and Security Personnel	8	22.9%
Vice President of Business Affairs or Comparable Position	6	17.1%
Facility or Physical Plant Personnel	7	20.0%
Other University Employees	5	14.3%
8. How often is the university's emergency operations plan reviewed?		
Response	Number of Universities	Percent of Universities
Never	0	0.0%
More than once per year	15	42.9%
Once per year	17	48.6%
Less than once per year	1	2.9%
Not Applicable or No Answer	2	5.7%
9. What methods are used to communicate the university's emergency operations plan to students/faculty/staff? (check all that apply)		
Response	Number of Universities	Percent of Universities
Orientation Session	25	71.4%
Employee Manual	9	25.7%
Student Manual	10	28.6%
Web site	33	94.3%
Training Class	21	60.0%
Faculty/Staff Meetings	27	77.1%
Other (flip charts)	1	2.9%
Not Applicable or No Answer	1	2.9%
11. As part of its emergency planning, how often does the university conduct a campus- specific risk assessment to identify potential hazards?		
Response	Number of Universities	Percent of Universities
Never	1	2.9%
More than once per year	14	40.0%

**Responses from 35 Texas Public Universities to
2008 State Auditor's Office Survey about Emergency Preparedness ^a**

Once per year	11	31.4%
Less than once per year	9	25.7%

15. What methods does the university use to transmit safety warnings/information to students/faculty/staff? (check all that apply) ^c

Response	Number of Universities	Percent of Universities
Public Address System	14	40.0%
E-mail	35	100.0%
Web site	34	97.1%
Reverse 911	8	22.9%
Text messaging	27	77.1%
Sirens	14	40.0%
Fire panel boxes	20	57.1%
Flat panel monitors	9	25.7%
Radios	19	54.3%
Broadcast message to social network accounts	3	8.6%
Broadcast message to instant messaging account	3	8.6%
Other (Paging system, voicemail, university cable/radio systems and local media)	5	14.3%

16. How does the university inform students/faculty/staff about these emergency communication systems? (check all that apply)

Response	Number of Universities	Percent of Universities
Employee manual	7	20.0%
Student manual	15	42.9%
Faculty/staff meeting	26	74.3%
Training Class	18	51.4%
Electronic Notification	29	82.9%
Web site	33	94.3%
Brochure	15	42.9%
Posters	10	28.6%
Newspaper	20	57.1%
Orientation	31	88.6%
Other (Banners, promotional competitions and preparedness fairs)	2	5.7%

**Responses from 35 Texas Public Universities to
2008 State Auditor's Office Survey about Emergency Preparedness ^a**

17. How often does the university update its contact lists of key individuals involved in emergency responses?

Response	Number of Universities	Percent of Universities
Never	0	0.0%
More than once per year	28	80.0%
Once per year	7	20.0%
Less than once per year	0	0.0%

18. How often does the university update emergency contact information for the following members of the university community?

Response	Number of Universities	Percent of Universities
Students		
Never	3	8.6%
More than once per year	26	74.3%
Once per year	4	11.4%
Less than once per year	2	5.7%
Faculty		
Never	2	5.7%
More than once per year	21	60.0%
Once per year	7	20.0%
Less than once per year	5	14.3%
Staff		
Never	2	5.7%
More than once per year	22	62.9%
Once per year	7	20.0%
Less than once per year	4	11.4%

^a Percentages may not sum to 100 due to rounding.

^b Auditors grouped responses into these general categories. More than one category may apply to a university.

^c Survey also asked respondents to list the date these methods were tested, date they were last used during an incident, and any issues that were identified during the most recent test or use.

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Table 16

Responses from 35 Texas Public Universities to 2008 State Auditor's Office Survey about Emergency Preparedness ^a		
12. How many of the following exercises of its emergency operations plan has the university conducted since September 1, 2005? ^b		
Response	Number of Universities	Percent of Universities
Tabletop Exercise		
None	16	45.7%
One exercise	8	22.9%
Two exercises	6	17.1%
Three exercises	2	5.7%
Four or more exercises	3	8.6%
Functional Exercise		
None	22	62.9%
One exercise	5	14.3%
Two exercises	3	8.6%
Three exercises	3	8.6%
Four or more exercises	2	5.7%
Full-scale Exercise		
None	23	65.7%
One exercise	7	20.0%
Two exercises	5	14.3%
Three exercises	0	0.0%
Four or more exercises	0	0.0%
^a Percentages may not sum to 100 due to rounding.		
^b Auditors asked universities for additional information about the frequency of and participants in these exercises.		

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Mental Health and Behavioral

Tables 17 through 19 list the responses to survey questions related to mental health and behavioral concerns. The second question for this section asked universities to provide their current counseling staff-to-student ratio. From these results, auditors categorized the counselor-to-student ratio for each campus (see Table 17).

Table 17

Ratio of Counselors to Students at 35 Texas Public Universities As of June 2008				
More than One Counselor Per 1,000 Students	One Counselor Per 1,000 Students to 1,500 Students	One Counselor Per 1,500 Students to 2,000 Students	Fewer than One Counselor Per 2,000 Students	Does Not Apply
Sul Ross State University	Midwestern State University	Stephen F. Austin State University	Angelo State University	Sul Ross State University Rio Grande College
Texas A&M University at Galveston	Texas A&M University - Corpus Christi	Texas A&M University	Lamar University	Texas A&M University - Texarkana
The University of Texas of the Permian Basin	Texas A&M International University	Texas A&M University - Commerce	Prairie View A&M University	University of Houston - Victoria
	Texas Woman's University	Texas A&M University - Kingsville	Sam Houston State University	
	The University of Texas at Dallas	Texas Southern University	Tarleton State University	
		Texas Tech University	Texas State University	
		University of Houston-Clear Lake	University of Houston	
		The University of Texas at Austin	University of Houston - Downtown	
		The University of Texas at Tyler	University of North Texas	
		West Texas A&M University	The University of Texas at Arlington	
			The University of Texas at Brownsville	
			The University of Texas at El Paso	
			The University of Texas - Pan American	
			The University of Texas at San Antonio	

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Table 18

Responses from 35 Texas Public Universities to 2008 State Auditor's Office Survey about Mental Health and Behavioral Concerns ^a						
Survey Question	Yes		No		Question Not Applicable to University	
	Number of Universities	Percent of Universities	Number of Universities	Percent of Universities	Number of Universities	Percent of Universities
1. Do the following individuals at the university receive training that covers mental health issues: ^a						
Residential Staff	29	82.9%	2	5.7%	4	11.4%
Student Affairs	28	80.0%	7	20.0%	0	0.0%
Counselors	33	94.3%	0	0.0%	2	5.7%
Student Health Staff	31	88.6%	3	8.6%	1	2.9%
Campus Law Enforcement	31	88.6%	3	8.6%	1	2.9%
Faculty	18	51.4%	16	45.7%	1	2.9%
3. Does the university currently provide information to the following individuals on how to identify individuals that may be at risk of harming themselves or others:						
Students	26	74.3%	9	25.7%	0	0.0%
Faculty	27	77.1%	8	22.9%	0	0.0%
Staff	25	71.4%	10	28.6%	0	0.0%
4. Does the university have a process in place that allows the following individuals to report at risk individuals and/or suspicious activities: ^b						
Students	33	94.3%	2	5.7%	0	0.0%
Faculty	33	94.3%	2	5.7%	0	0.0%
Staff	33	94.3%	2	5.7%	0	0.0%
5. Does the university currently have in place a multidisciplinary team to discuss troubled students and to respond to these students as needed?	30	85.7%	5	14.3%	0	0.0%
^a One university also reported that students received training that covers mental health issues.						
^b If yes, survey asked respondent to describe the process.						

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Table 19

4b. How does the university inform these individuals about the process to report at-risk individuals and/or suspicious activities? (check all that apply) ^a			
Type of Communication Method	Number and Percent of Universities Using Method to Inform Students	Number and Percent of Universities Using Method to Inform Faculty	Number and Percent of Universities Using Method to Inform Staff
Orientation	27 (77.1%)	18 (51.4%)	17 (48.6%)
Training Class	8 (22.9%)	16 (45.7%)	16 (45.7%)
Meetings	13 (37.1%)	23 (65.7%)	27 (77.1%)
Brochure	16 (45.7%)	15 (42.9%)	15 (42.9%)
On the Internet	26 (74.3%)	24 (68.6%)	24 (68.6%)
Electronic Notification	14 (40.0%)	17 (48.6%)	17 (48.6%)
Posters	10 (28.6%)	8 (22.9%)	8 (22.9%)
Newspapers	10 (28.6%)	8 (22.9%)	8 (22.9%)
Not Applicable or Not Answered	3 (8.6%)	2 (5.7%)	2 (5.7%)

^a Four universities also reported using other communication methods. These included student handbooks, student government meetings, university catalogs, university Web sites, and on-on-one consultations.

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Campus Law Enforcement

Tables 20 through 22 list responses to survey questions related to campus law enforcement. One university did not answer these questions because the campus does not employ its own law enforcement officers. The first question for this section asked universities to provide numbers pertaining to full-time and part-time employees within the campus police department, as well as the numbers for full-time and part-time sworn peace officers within the campus police department. From these results, auditors calculated the ratio of full-time students to full-time, sworn police officers for each campus (see Table 20 on the next page).

Table 20

Ratio of Full-time Students to Full-time, Sworn Police Officers at 35 Texas Public Universities As of June 2008				
Fewer than 300 Students Per Sworn Police Officer	From 300 and 499 Students Per Sworn Police Officer	From 500 to 699 Students Per Sworn Police Officer	More than 700 Students Per Sworn Police Officer	Does Not Apply
Prairie View A&M University	Angelo State University	Midwestern State University	Sam Houston State University	University of Houston - Victoria
Sul Ross State University	Lamar University	Tarleton State University	Texas A&M University - Texarkana	
Sul Ross State University Rio Grande College	Stephen F. Austin State University	Texas A&M University	Texas State University	
Texas A&M University at Galveston	Texas A&M University - Commerce	Texas Woman's University	The University of Texas - Pan American	
Texas A&M International University	Texas A&M University - Corpus Christi	University of Houston		
Texas Southern University	Texas A&M University - Kingsville	University of North Texas		
University of Houston - Clear Lake	Texas Tech University	The University of Texas at Austin		
The University of Texas at Brownsville	The University of Texas at Arlington	The University of Texas at El Paso		
	The University of Texas at Dallas	The University of Texas of the Permian Basin		
	The University of Texas at San Antonio	West Texas A&M University		
	The University of Texas at Tyler			
	University of Houston - Downtown			

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Table 21

Responses from 35 Texas Public Universities to 2008 State Auditor's Office Survey about Campus Law Enforcement ^a						
Survey Question ^b	Yes		No		Question Not Applicable to University	
	Number of Universities	Percent of Universities	Number of Universities	Percent of Universities	Number of Universities	Percent of Universities
4. Do your university's campus law enforcement personnel receive active shooter preparation training? If yes, please describe this training.	33	94.3%	1	2.9%	1	2.9%
5. Does the university use law enforcement personnel (campus, local, state or federal) for undercover operations on its campus?	22	62.9%	11	31.4%	2	5.7%

**Responses from 35 Texas Public Universities to
2008 State Auditor's Office Survey about Campus Law Enforcement ^a**

Survey Question ^b	Yes		No		Question Not Applicable to University	
	Number of Universities	Percent of Universities	Number of Universities	Percent of Universities	Number of Universities	Percent of Universities
6. Is the university's campus law enforcement entity accredited by:						
Commission on Accreditation for Law Enforcement Agencies (CALEA)	3	8.6%	31	88.6%	1	2.9%
International Association of Campus Law Enforcement Administrators (IACLEA)	2	5.7%	32	91.4%	1	2.9%
7. Does the director of the campus law enforcement entity have direct access to the most senior executives of the institution?	34	97.1%	0	0.0%	1	2.9%

^a Percentages may not sum to 100 due to rounding.

^b Question 3 of the survey asked respondents to describe the type of emergency management training provided to campus law enforcement personnel beyond required state certifications and mandatory training.

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Table 22

2. Which of the following devices are the university's campus law enforcement personnel authorized to carry?		
Device	Number of Universities Whose Law Enforcement Personnel Are Authorized to Carry Device	Percent of Universities Whose Law Enforcement Personnel Are Authorized to Carry Device
Handguns	34	97.1%
Rifles/Long Guns	25	71.4%
Tasers or Stun Guns	9	25.7%
Batons	32	91.4%
Pepper Spray	30	85.7%
Other (Handcuffs, control stick and shotguns)	3	8.6%
Not Applicable ^a	1	2.9%

^a One university reported not having a campus law enforcement entity.

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Mitigation Activities

Tables 23 through 27 list the responses to survey questions related to mitigation activities. (See Chapter 2-B for additional information.)

Table 23

Responses from 35 Texas Public Universities to 2008 State Auditor's Office Survey about Mitigation Activities				
Survey Question	Yes		No	
	Number of Universities	Percent of Universities	Number of Universities	Percent of Universities
3. Are safety walks conducted around campus?	35	100.0%	0	0.0%
4. Do you have the following facilities at your campus:				
Labs	35	100.0%	0	0.0%
Campus Housing	31	88.6%	4	11.4%
Parking Facilities	33	94.3%	2	5.7%

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Table 24

Responses from 35 Texas Public Universities to 2008 State Auditor's Office Survey about Mitigation Activities		
1. How often does the university conduct physical security assessments on campus, such as an evaluation of site and building safety?		
Response	Number of Universities	Percent of Universities
Never	1	2.9%
More than once per year	16	45.7%
Once per year	13	37.1%
Less than once per year	5	14.3%
2. When was the most recent physical security assessment on campus conducted? ^a		
Response	Number of Universities	Percent of Universities
Conducted in 2008	17	48.6%
Conducted in 2007	7	20.0%
Conducted in 2005	1	2.9%
Conduct routine inspections (no date provided)	7	20.0%
Other	2	5.7%
Not Applicable or No Answer	1	2.9%
^a Auditors grouped responses into these general categories.		

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Table 25

5. Which of the following physical security features have been implemented at the following locations on campus? (check all that apply) ^a				
Physical Security Feature	Administration Building		Classroom Building	
	Number of Universities Implementing Feature	Percent of Universities Implementing Feature	Number of Universities Implementing Feature	Percent of Universities Implementing Feature
Card Access on Doors	21	60.0%	23	65.7%
Emergency Call Boxes	17	48.6%	17	48.6%
Fire Alarms	35	100.0%	33	94.3%
Safety Escort Services	30	85.7%	29	82.9%
Security Cameras	21	60.0%	24	68.6%
Sprinkler Systems	23	65.7%	31	88.6%
Timed Door Locks	12	34.3%	13	37.1%

^a Four universities indicated that other security features have been implemented on campus. Other features listed were e-ride service on campus, closed-circuit television, IP/Voice over Cisco phones in Smart Classrooms, and all hazard radios in every building.

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Table 26

5. Which of the following physical security features have been implemented at the following locations on campus? (check all that apply) ^a								
Physical Security Feature	Labs ^b		Campus Housing ^c		Parking Facilities ^d		Campus Grounds ^e	
	Number of Universities Implementing Feature	Percent of Universities Implementing Feature	Number of Universities Implementing Feature	Percent of Universities Implementing Feature	Number of Universities Implementing Feature	Percent of Universities Implementing Feature	Number of Universities Implementing Feature	Percent of Universities Implementing Feature
Card Access on Doors	22	62.9%	25	71.4%	5	14.3%	2	5.7%
Emergency Call Boxes	10	28.6%	23	65.7%	26	74.3%	30	85.7%
Fire Alarms	34	97.1%	31	88.6%	13	37.1%	7	20.0%
Safety Escort Services	28	80.0%	27	77.1%	30	85.7%	29	82.9%
Security Cameras	11	31.4%	22	62.9%	20	57.1%	18	51.4%
Sprinkler Systems	32	91.4%	26	74.3%	7	20.0%	2	5.7%
Timed Door Locks	11	31.4%	12	34.3%	1	2.9%	0	0.0%

^a Four respondents indicated that other security features have been implemented on campus. Other features listed were e-ride service on campus, closed-circuit television, IP/Voice over Cisco phones in Smart Classrooms, and all hazard radios in every building.

^b One university did not complete this section.

^c Four universities did not complete this section. Responses from four universities indicate that they do not have campus housing.

^d Four universities did not complete this section. Responses from two universities indicate that they do not have parking facilities.

^e Two universities did not complete this section.

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Table 27

6. Does the university have education and/or prevention programs for students in the following subject areas? (check all that apply)		
Type of Education Program	Number of Universities Offering Program	Percent of Universities Offering Program
Drug Education	34	97.1%
Alcohol Education	34	97.1%
Rape	31	88.6%
Dating Violence	31	88.6%
Harassment	29	82.9%
Theft	30	85.7%
Self-defense Training	21	60.0%
Community Emergency Response Team (CERT)	8	22.9%
Mental Illness	30	85.7%
Suicide	31	88.6%
Bullying	16	45.7%
Depression	31	88.6%
Cyber Crime	20	57.1%
Hazing	29	82.9%
Community Policing	24	68.6%
Other	4	11.4%

Source: State Auditor's Office 2008 survey of 35 Texas public universities.

Other Campus Safety Reports' Recommendations

Auditors reviewed reports about campus safety and emergency management issued by various task forces, universities, and national agencies. Table 28 summarizes common recommendations found among the various reports (see Table 29 for full names of cited reports). A √ indicates that the recommendation was made in the report.

Table 28

Recommendations Made in Other Campus Safety Reports ^a																					
Recommendation	COPS	FEMA	Florida	IACLEA	Illinois	Kentucky	Massachusetts	Missouri	NAAG	New Jersey	New Mexico	North Carolina	Oklahoma	Pennsylvania	Report to President University of CA	U.S. Secret Service	Virginia Tech	Washington	Wisconsin	Percentage	
Create and regularly update an all-hazards Emergency Response Plan, which includes the responsibilities of designated campus personnel		√	√	√	√	√	√	√	√	√	√	√		√	√	√	√	√	√	√	90%
Schedule regular emergency operations drills and include testing of emergency equipment.	√	√	√	√	√	√	√	√	√	√	√	√	√	√	√		√			√	90%
Require training on emergency protocol for faculty, staff, and students and offer outreach programs on identifying students with at risk behaviors, as well as other topics related to mental health and campus safety.	√	√	√	√	√	√	√	√	√	√	√	√	√	√	√		√			√	90%
Enter mutual aid agreements, develop strong working relationships, and conduct joint training (including active shooter training) with local law enforcement partners and other emergency responders.	√	√	√	√		√	√	√	√		√	√	√	√	√	√	√	√			85%
Adopt an emergency mass notification and communications system to transmit emergency safety information through a range of technologies and redundant features.			√	√	√	√	√	√	√	√		√	√	√	√		√	√	√	√	80%
Minimize confusion about the scope and application of the Health Insurance Portability and Accountability Act (HIPAA) and the Family Educational Rights and Privacy Act and their interrelation with state laws regarding the sharing of student information.			√	√	√		√	√	√	√		√	√		√	√	√	√		√	70%

Recommendations Made in Other Campus Safety Reports ^a

Recommendation	COPS	FEMA	Florida	IACLEA	Illinois	Kentucky	Massachusetts	Missouri	NAAG	New Jersey	New Mexico	North Carolina	Oklahoma	Pennsylvania	Report to President	University of CA	U.S. Secret Service	Virginia Tech	Washington	Wisconsin	Percentage
Increase the sharing of student information among campuses, mental health providers, and local law enforcement.	√		√		√		√	√		√		√	√		√	√	√	√	√	√	70%
Establish a multidisciplinary crises management team or threat assessment team to respond to crises.		√	√	√	√		√	√	√	√		√	√			√	√	√		√	70%
Adopt the National Incident Management System (NIMS) as the campus emergency response command structure.			√	√	√	√	√	√	√			√	√					√		√	55%
Have interoperable communication systems with all local area responders.			√	√	√		√				√	√		√		√	√			√	55%
Involve off-campus emergency response agencies when developing an emergency response plan.		√	√		√	√		√	√				√	√			√			√	50%
Implement various physical security measures. These include card access for gates/doors, surveillance cameras, increased security patrols, 24-hour on-call services, safety escort services, and emergency call boxes throughout campus.			√	√		√	√	√											√	√	35%
Comply with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, which requires colleges and universities participating in federal student aid programs to annually disclose information about campus crime and the university's security policies.	√			√		√			√	√								√		√	35%
Encourage campus law enforcement to successfully complete the International Association of Campus Law Enforcement Accreditation (IACLEA) process.	√		√	√			√	√		√				√							35%
Conduct critical infrastructure assessments to identify safety concerns such as inadequate campus lighting, overgrown foliage, and physical infrastructure damage.			√	√		√		√						√		√					30%

Recommendations Made in Other Campus Safety Reports ^a

Recommendation	COPS	FEMA	Florida	IACLEA	Illinois	Kentucky	Massachusetts	Missouri	NAAG	New Jersey	New Mexico	North Carolina	Oklahoma	Pennsylvania	Report to President	University of CA	U.S. Secret Service	Virginia Tech	Washington	Wisconsin	Percentage	
Recruit potential campus police from military or retired law enforcement agencies.			√			√																10%

^a While every attempt was made to accurately reflect the recommendations in each of the referenced reports, no guarantee is made that this list is all-inclusive. For more detailed information on the recommendations, please refer to the individual reports cited in Table 29.

Source: State Auditor's Office analysis of other campus safety reports.

Table 29

Sources for Recommendations in Table 28	
Source	Citation
COPS (Community Oriented Policing Services)	<i>National Summit on Campus Public Safety: Strategies for Colleges and Universities in a Homeland Security Environment</i> , U.S. Department of Justice Office of Community Oriented Policing Services, July 2005.
FEMA (Federal Emergency Management Agency)	<i>Building a Disaster-Resistant University</i> , U.S. Federal Emergency Management Agency, August 2003.
Florida	<i>Gubernatorial Task Force for University Campus Safety Report on Findings and Recommendations</i> , Florida Office of the Governor, May 24, 2007.
IACLEA (International Association of Campus Law Enforcement Administrators)	<i>Overview of the Virginia Tech Tragedy and Implications for Campus Safety: The IACLEA Blueprint for Safer Campuses</i> , International Association of Campus Law Enforcement Administrators, April 18, 2008.
Illinois	<i>State of Illinois Campus Security Task Force Report to the Governor</i> , Illinois Campus Security Task Force, April 15, 2008.
Kentucky	<i>Report to Governor: Examination of Safety and Security at Kentucky's Public and Private Postsecondary Institutions</i> , Governor's Task Force on Campus Safety, September 2007.
Massachusetts	<i>Campus Violence Prevention and Response: Best Practices for Massachusetts Higher Education, Report to Massachusetts Department of Higher Education</i> , Applied Risk Management, June 2008.
Missouri	<i>Securing Our Future: Making Colleges and Universities Safe Places to Learn and Grow</i> , Missouri Campus Security Task Force, August 21, 2007
NAAG (National Association of Attorneys General)	<i>Report and Recommendations of Task Force on School and Campus Safety</i> , National Association of Attorneys General, September 2007.
New Jersey	<i>New Jersey Campus Security Task Force Report Submitted to Governor Jon S. Corzine</i> , New Jersey Campus Security Task Force, October 2007.
New Mexico	<i>Recommendations for Action: Emergency Preparedness in Higher Education</i> , New Mexico Governor's Task Force on Campus Safety, May 29, 2007.

Sources for Recommendations in Table 28	
Source	Citation
North Carolina	<i>Report to the Campus Safety Task Force Presented to Attorney General Roy Cooper</i> , Attorney General Roy Cooper Campus Safety Task Force, State of North Carolina, January 2008.
Oklahoma	<i>Campus Life and Safety and Security Task Force (CLASS): Final Report</i> , State of Oklahoma, January 15, 2008.
Pennsylvania	<i>Pennsylvania College Campus Security Assessment Report</i> , Domestic Security Office of the Pennsylvania State Police, August 2007.
Report to President	<i>Report to the President On Issues Raised by the Virginia Tech Tragedy</i> , Leavitt, Gonzales, and Spellings, June 13, 2007.
University of CA	<i>The Report of the University of California Campus Security Task Force</i> , University of California Office of the President, January 2008.
U.S. Secret Service	<i>Threat Assessment in Schools: A Guide to Managing Threatening Situations and to Creating Safe School Climates</i> , United States Secret Service and United States Department of Education, May 2002.
Virginia Tech	<i>Mass Shootings at Virginia Tech, Report of the Review Panel Presented to Governor Kaine, Commonwealth of Virginia</i> , Virginia Tech Review Panel, August 2007.
Washington	<i>Ensuring the Safety of Our Campus Communities</i> , Policy Brief, Governor Chris Gregoire of the State of Washington.
Wisconsin	<i>State of Wisconsin Governor's Task Force on Campus Safety, Final Report</i> , November 1, 2007.

Other States' Legislation

Tables 30 and 31 summarize a number of laws that various states have enacted or have considered to promote campus safety and emergency preparedness at higher education institutions. Auditors obtained information about these laws from each state's legislative Web site. Three states have been the site of recent major incidents: Virginia and Illinois each had a significant active shooter incident, and Louisiana was impacted by Hurricane Katrina and Hurricane Rita. California and New York were included because their population sizes are comparable to Texas. New Mexico, North Carolina, Ohio, and Pennsylvania were among the states that created task forces or issued reports about campus safety in response to the Virginia Polytechnic Institute and State University (Virginia Tech) shootings.

Table 30

Campus Safety and Security Legislation from Selected States Enacted Prior to October 1, 2008			
Type of Legislation	State	Description	Status
Campus Emergency Plan	Illinois	Universities must develop an all-hazards emergency response that complies with National Incident Management System (NIMS) standards, and they must conduct training and exercises annually. (Senate Bill 2691)	Effective January 1, 2009
Campus Emergency Plan	Louisiana	Each university must (1) implement a comprehensive emergency response and crisis communication plan and (2) seek guidance when developing this plan from the Louisiana Commission on Law Enforcement and Administration of Criminal Justice, as well as from local law enforcement. (Senate Concurrent Resolution 8)	Effective July 2, 2007
Campus Emergency Plan	Virginia	Universities must develop an emergency management plan and update it every four years. (Senate Bill 256 and House Bill 1449)	Effective July 1, 2008
Campus Housing Evacuation Plan	California	State universities must establish emergency evacuation plans for student housing. (Senate Bill 777)	Effective January 1, 2008
Campus Safety Plan	California	Universities must make records and safety plans related to campus security available to the legislature and on the universities' Web site. (Senate Bill 361)	Effective September 28, 2008
Firearm-related Information Records	Virginia	Information on involuntary admissions to a facility or mandatory outpatient treatments must be forwarded to the Central Criminal Records exchange, which conducts background checks on applicants for firearm permits. (House Bill 815)	Effective July 1, 2008
Firearm-related Mental Health Limitations	Virginia	Individuals who are incompetent to stand trial and ordered to mental health treatment are prohibited from possessing or purchasing a firearm. (House Bill 815)	Effective July 1, 2008
Firearm-related Application Questions	Virginia	Individuals purchasing a firearm must answer questions concerning whether the applicant has obtained mandatory mental health treatment or been adjudicated legally incompetent or mentally incapacitated. (House Bill 709 and Senate Bill 226)	Effective July 1, 2008
Firearm-related Mental Health Records	Virginia	Orders for involuntary mental health treatment must be forwarded to the Central Criminal Records Exchange and applicable individuals are prohibited from purchasing, possessing, or transporting a firearm. (Senate Bill 216)	Effective July 1, 2008

**Campus Safety and Security Legislation from Selected States
Enacted Prior to October 1, 2008**

Type of Legislation	State	Description	Status
Firearm-related Rights	Virginia	Outlines the conditions under which an individual who is prohibited from possessing a firearm for mental health-related reasons may petition to have his or her rights to purchase and possess a firearm restored. (Senate Bill 216 and House Bill 815)	Effective July 1, 2008
General Preparedness	California	The Office of the Chancellor of the California Community Colleges System must develop emergency preparedness standards and guidelines in accordance with NIMS standards. (Senate Bill 166)	Effective January 1, 2009
General Security	New York	A committee must annually review campus security policies and report to the university president. (New York Education Law, Section 6431)	Effective July 1, 2004
Mental Health-related Information Disclosure	Virginia	Health care providers that render service to persons subject to emergency custody, temporary detention, or involuntary commitment proceedings must disclose this information to certain entities and individuals upon request. The health care providers will be immune from civil liability resulting from this disclosure if they acted in good faith. (House Bill 576)	Effective July 1, 2008
Mental Health-related Parental Notification	Virginia	Universities must develop policies and procedures for (1) notifying a parent when a student is likely to cause harm to himself or others because of mental illness and (2) releasing the student's educational record to a parent requesting the record if the student is a dependant. (House Bill 1005 and House Bill 1058)	Effective July 1, 2008
Mental Health-related Records Sharing	Virginia	Universities may request complete student records, including any mental health records held by the originating school. (Senate Bill 636)	Effective July 1, 2008
Mental Health-related Treatment	Virginia	An individual may be taken into custody, temporarily detained, involuntarily committed, or ordered to outpatient treatment if (1) the individual has a mental illness and (2) there exists a likelihood that the individual will, in the near future, cause or suffer from serious physical harm to himself or others. (House Bill 559)	Effective July 1, 2008
Notifications/Alerts	Virginia	Universities must establish an emergency notification system for students, faculty, and staff. (Senate Bill 538 and House Bill 1449)	Effective July 1, 2008
Violence Prevention	Illinois	Universities must develop a campus violence prevention plan, and they must conduct training and exercises annually. (Senate Bill 2691)	Effective January 1, 2009
Violence Prevention and Threat Assessment	Virginia	Universities must establish (1) a threat assessment team and (2) a committee charged with violence education and prevention. (Senate Bill 539 and House Bill 1449)	Effective July 1, 2008
Violence, Investigation of	New York	Universities must implement plans for the investigation of violent offenses and missing students. These plans must include written agreements with local law enforcement. (Education Law Section 355)	Effective January 1, 2000

Sources: Each state's legislative Web site.

Table 31

Campus Safety and Security Legislation Proposed in Selected States between May 1, 2007, and October 1, 2008 (These bills had not been enacted as of October 1, 2008)		
Type of Bill	State	Description
Campus Emergency Plan	Ohio	Would require universities to develop a plan to respond to threats or emergencies involving a person with a deadly weapon or other act of violence. (House Bill 192)
Campus Security Plan	New York	Would require universities to develop comprehensive campus security plans. (Senate Bill 6264-A, Assembly Bill 8062, and Senate Bill 5435)
Campus Task Force	New York	Would establish a state task force on campus safety. (Assembly Bill 9298)
Facilities, Use of	New York	Would authorize emergency services personnel to use university athletic facilities at the approval of the university president. (Senate Bill 7465)
Funding	New Mexico	Would create the higher education capital outlay council and would authorize the council to establish a reserve fund for projects needed to address an emergency. (Senate Bill 420)
Funding	North Carolina	Would appropriate more than \$29 million in state funding for the implementation of University of North Carolina Campus Safety Task Force recommendations. (Senate Bill 2080)
Immunity	North Carolina	Would require the Board of Governors of the University of North Carolina to study the issue of providing immunity to mental health professionals for the disclosure of information when the purpose of the disclosure is to prevent harm. (Senate Bill 2080)
Immunity	Ohio	Would make university officers and employees immune from damages that arise from reporting someone as a safety risk at that university. (Senate Bill 222)
Law Enforcement Training	Ohio	Would require the Ohio Peace Officer Training Commission to recommend rules related to training for peace officers conducting law enforcement at universities. (Senate Bill 222)
Mental Health Emergency	New York	Would authorize certain campus security personnel to intervene when a student is exhibiting mentally ill behavior. (Assembly Bill 9299)
Notifications/Alerts	New York	Would require universities to implement an emergency alert system. (Assembly Bill 9495 and Assembly Bill 7957)
Violence Prevention	Pennsylvania	Would require universities to establish sexual violence awareness education programs at universities. (House Bill 1129)
Violence Prevention Training	New York	Would require campus security personnel to receive training on gender-motivated offenses, and universities would be required to develop support groups for victims. (Assembly Bill 6967 and Senate Bill 3501)
Violence, Threats of	North Carolina	Would make threatening an act of mass violence a criminal felony. (Senate Bill 2080)

Sources: Each state's legislative Web site.

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