

### 11.0.1 NOTIFICATION FOR CORRECTIVE ACTION

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#### PURPOSE:

Issues identified by Risk Management should be corrected in a timely manner to ensure safety for individuals and the organization. Reporting of the findings from those inspections will be submitted to the Chair/Department leader. This initial report could be submitted to higher management levels based on the severity of the condition. Timely response of corrective actions needed will be monitored to assure the hazardous/non-compliant condition is remedied. *NOTE: Potential fines by regulators may be increased by 10 fold if conditions are known and not corrected.*

#### SCOPE:

This policy applies to all individuals, schools and departments at Baylor University.

#### NOTIFICATION FOR CORRECTIVE ACTION:

- A. Risk Management personnel perform scheduled and non-scheduled inspections on campus. When conditions are identified that do not meet regulatory required standards, or conditions are identified as precursors to a life-safety issue, then these conditions are communicated to the responsible individual and their management for corrective action. In general, corrective action should be taken as soon as possible and within 30 days of notification.
- B. The following conditions will trigger a formal notification for response by the indicated level of management.

Condition	Notify Chair/Director	Notify Dean/VP/OGC	Notify Pres/Provost/EC
Any incident that requires notice to a regulatory entity.	X	X	X
Potential fines in excess of \$50,000, if readily determined.	X	X	X
Any situation that threatens life or serious injury (whether compliance or not). <i>See High Alert, below.</i>	X	X	X
Repeat offenders on the same issue, within 12 months.	X	X	
Any non-responsiveness to the first notification, REGARDLESS OF OTHER FACTORS.	If not complete within 30 days	If not complete within 45 days	If not complete within 60 days
Defined Conditions	Concern	Alert	High Alert

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**C. Definitions:**

1. High Alert: A life-safety event involving students, faculty, staff or members of the public has occurred, or is imminent if immediate action is not taken to correct the conditions.
2. Alert: Conditions exist for a potential life-safety event involving students, faculty, staff or members of the public if corrective actions are not taken in a timely manner.
3. Concern: Precursors to a life-safety issue involving students, faculty or staff exist and must be corrected in a timely manner. This may include regulatory required standards.

**FAILURE TO COMPLY**

Violation of this policy may result in personal liability (as well as potential liability of Baylor) and suspension of operational status at Baylor University. In addition, the violator may be subject to university disciplinary procedures.

Formulated: 11/2/2010

Reviewed:

Revised:

[Signature on File] \_\_\_\_\_

Warren A. Ricks, CRM  
Chairman, Risk Management Committee  
Assistant Vice President and Chief Risk Management Officer

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Date

[Signature on File] \_\_\_\_\_

Charles D. Beckenhauer  
General Counsel

\_\_\_\_\_  
Date

[Signature on File] \_\_\_\_\_

Dr. Reagan Ramsower  
Vice President for Finance and Administration

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Date