

TENNESSEE DEPARTMENT OF HEALTH POLICY ACKNOWLEDGEMENT

HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA) and CONFIDENTIALITY POLICY

By signing below, I am acknowledging my awareness of the requirements of the Health Insurance Portability and Accountability Act (HIPAA) and acknowledge and understand that, as a member of the Tennessee Department of Health's workforce I am prohibited from releasing to any unauthorized person any protected health information which may come to my attention in the course of my duties. Moreover, I acknowledge and understand that any breach of confidentiality, patient or otherwise, resulting from my written or verbal release of information or records is strictly prohibited except in the course of business.

DRUG-FREE WORKPLACE POLICY

I, as a State employee of the Tennessee Department of Health, or as a County, Contract, or Municipal employee working for the Tennessee Department of Health, or as a volunteer, hereby certify that I have received a copy of the Tennessee Department of Health's policy regarding the maintenance of a drug-free workplace, and by signing below, I acknowledge that I have agreed to comply with the Drug-Free Workplace Policy of the Tennessee Department of Health.

WORKPLACE HARASSMENT POLICY

By signing below, I acknowledge that I have read and agree to comply with the Workplace Harassment Policy of the State of Tennessee and the Tennessee Department of Health.

CONFLICT OF INTEREST POLICY

By signing below, I acknowledge that I have read and agree to comply with the Conflict of Interest Policy of the State of Tennessee and the Tennessee Department of Health.

OPERATION OF MOTOR VEHICLES BY STATE EMPLOYEES POLICY

By signing below, I acknowledge that I have read and agree to comply with the Operation of Motor Vehicles Policy.

ACCEPTABLE USE POLICY

By signing below, I acknowledge that I have read and agree to comply with the Acceptable Use Policy Network Access Rights and Obligations Policy.

Signature

Last Four (4) Digits of SS#

Date

Print Name

Supervisor's Signature

Date

*State _____ Driver's License Number _____ Expiration Date _____
(*Required for employees in positions requiring a valid driver's license.)

Failure to comply with the policies listed above may lead to disciplinary action, up to and including dismissal from state service.

Tennessee Department of Health

HIPAA Policies

Privacy

**Policy Title: Administrative Requirements for
the Implementation of HIPAA**

Policy Number: 101

Effective Date: April 14, 2003

PURPOSE:

To issue instructions to all bureaus, offices, programs and workforce members regarding the Department of Health's (DOH) obligations relating to the implementation of the Health Insurance Portability and Accountability Act (HIPAA), 42 U.S.C. §§1320d-1329d-8, and regulations promulgated thereunder, 45 CFR Parts 160 and 164. This policy outlines DOH general guidelines and expectations for the necessary collection, use, and disclosure of protected health information (PHI) about clients in order to provide services and benefits to individuals while maintaining reasonable safeguards to protect the privacy of their information.

Definitions:

Protected Health Information (PHI) means individually identifiable information relating to past, present or future physical or mental health or condition of an individual, provision of health care to an individual, or the past, present or future payment for health care provided to an individual.

Workforce Members means employees, volunteers, trainees, contractors, and other persons whose conduct, in the performance of work for the department, its offices, or programs is under the direct control of the department, office, or program regardless of whether they are paid by the DOH.

Client for the purpose of HIPAA is defined as an individual for whom the DOH uses or maintains protected health information such as:

1. birth and death records,
2. infectious disease records,
3. health registries,
4. statistical data,
5. information obtained through an investigative or certification process of the DOH, etc., and
6. those who apply for or receive health services through DOH.

Licensee is a person or entity that applies for or receives 1) a license, 2) a certification, or 3) a registration, or similar authority from DOH to perform or conduct a service, activity or function.

Provider is a person or entity who may seek reimbursement or payments from DOH as a provider of services to DOH clients. (Not pertaining to DOH when DOH is a direct provider of services)

Treatment, Payment and Health Care Operations (TPO) includes all of the following:

- *Treatment* means the provision, coordination, or management of health care and related services, consultation between providers relating to an individual, or referral of an individual to another provider for health care.
- *Payment* means activities undertaken to obtain or provide reimbursement for health care, including determinations of eligibility or coverage, billing, collection activities, medical necessity determinations and utilization review.
- *Health Care Operations* include functions such as quality assessment and improvement activities, reviewing competence or qualifications of health care professionals, conducting or arranging for medical review, legal services, and auditing functions, business planning and development, and general business and administrative activities.

POLICY:

General Overview

DOH may collect, maintain, use, transmit, share and/or disclose information about clients, providers, and licensees, to the extent needed to administer DOH programs, services and activities. DOH will safeguard all PHI about clients, providers, and licensees, inform clients, providers, and licensees about DOH'S privacy practices and respect clients', providers', and licensees' privacy rights, to the full extent required under this policy.

This policy identifies two types of individuals of whom DOH is most likely to obtain, collect or maintain individual information:

- i) DOH clients;
- ii) Licensees or providers.

DOH, its workforce, and business associates will respect and protect the privacy of records and information about clients who request or receive services from DOH and licensees and providers. All information must be safeguarded in accordance with DOH privacy policies and procedures.

DOH has adopted reasonable policies and procedures for administration of its programs, services and activities. If any state or federal law or regulation, or order of a court having appropriate jurisdiction, imposes a stricter requirement upon any DOH policy regarding the privacy or safeguarding of information, DOH shall act in accordance with the stricter standard.

DOH staff shall act in accordance with established DOH policy and procedures regarding the safeguarding of client information, whether health-related or not, in all DOH programs, services and activities. In the event that more than one policy applies but compliance with all such policies cannot reasonably be achieved, the DOH employee will seek guidance from supervisors according to established DOH policy and procedures. DOH staff should consult with their Subsidiary Privacy Officer or the Department Privacy Officer in appropriate circumstances.

DOH Notice of Privacy Practices

- A. The current "***DOH Notice of Privacy Practices***" shall be available in all offices of the DOH.
- B. DOH will provide a copy of the current "***DOH Notice of Privacy Practices***" to any client who requests a copy. However, where DOH is a direct provider to the client, DOH is required to give a copy of the notice to the client on the first date that they receive services on or after April 14, 2003. DOH must have each client who receives direct care from DOH sign an acknowledgment of receiving the notice on their first date of service. If DOH cannot get a signed acknowledgement, then documentation as to the reason why one was not received must be made in the client's record. Acknowledgment of receipts of the notice, and/or documentation of good faith effort to obtain written acknowledgement must be maintained for six years.
- C. The "***DOH Notice of Privacy Practices***" shall contain all information required under federal regulations regarding the notice of privacy practices for protected health information under HIPAA.
- D. The "***DOH Notice of Privacy Practices***" shall also be available at the DOH website.
- E. Whenever the notice is revised, it should be made available upon request and posted on or after the effective date of revision.
- F. Copies of the notice and all revisions shall be maintained by the Department Privacy Officer.

Administrative Requirements

Due to HIPAA requirements, DOH has implemented certain administrative requirements as specified below:

A. Personnel Designations

1. **Department Privacy Officer:** The DOH must designate an individual to be the Department Privacy Officer, responsible for the development

and implementation of department-wide policies and procedures relating to the safeguarding of PHI.

2. Subsidiary Privacy Officers will be appointed to represent bureaus/offices, regional office and local health departments, and to act in support of the Department Privacy Officer.

B. Privacy Officers Duties

1. The Department Privacy Officer will oversee all ongoing activities related to the development, implementation, and maintenance of, and adherence to the department's policies concerning privacy. Establish and administer a process for receiving, documenting, tracking, investigating, and taking action on all complaints. Ensure that the Department is 1) in compliance with its privacy practices, and 2) consistently applies sanctions for failure to comply with privacy policies for all individuals in the Department's workforce and business associates.
2. Subsidiary Privacy Officers will be responsible for providing information about DOH'S privacy practices and receiving complaints relating to PHI and forwarding these to the Department Privacy Officer.

C. Workforce Training Requirements

The DOH and, as applicable, its bureaus/offices must document the following training actions:

1. On or before April 14, 2003, all DOH workforce members must receive HIPAA awareness training. Training regarding appropriate policies and procedures relating to PHI will be given as necessary and appropriate for those employees whose jobs are impacted by HIPAA.
2. After April 14, 2003, each new workforce member, or a workforce member reporting to work for the first time since April 14, 2003, shall receive the training as described above within a reasonable time after joining or re-joining the workforce.
3. After training as described above has been given to all the current workforce, DOH shall require every workforce member to sign a

revised "Confidentiality Statement" (Form PH. 3131). All new workforce members shall sign the "Confidentiality Statement" as soon as they have received the appropriate training as outlined above.

4. Each workforce member must receive training as described above within a reasonable time when:
 - a. a material change in the policies and procedures relating to PHI occurs and it impacts his/her work, or
 - b. a change in jobs or position responsibilities occurs.

D. Policies and Procedures

NOTE: The HIPAA Privacy Policies become effective on April 14, 2003. However, a reasonable time will be given bureaus/offices to become completely compliant with these policies in their program areas. Each bureau/office shall strive to achieve compliance in all areas as soon as feasible.

The DOH and, as applicable, its bureaus/offices must document the following actions relating to its policies and procedures:

1. The DOH shall design and implement policies and procedures to assure appropriate safeguarding of PHI in its operations to be followed by all workforce members.
2. The DOH must change its policies and procedures as necessary and appropriate to conform to changes in law or regulation. The DOH may also make changes to policies and procedures at other times as long as the policies and procedures are still in compliance with applicable law. Where necessary, DOH must make correlative changes in its privacy notice. The DOH may not implement a change in policy or procedure prior to the effective date of the revised privacy notice when required.
3. The DOH, and each bureau/office must maintain the required policies and procedures in written or electronic form, and must maintain written or electronic copies of all communications, actions, activities or designations as are required to be documented hereunder, or otherwise under the HIPAA regulations, for a period of six (6) years from the later

of the date of creation or the last effective date or such longer period that may be required under state or other federal law.

4. Policies and procedures have been developed for the following administrative requirements:
 - a. Safeguarding PHI from intentional or unintentional unauthorized use or disclosure as outlined in **DOH HIPAA Policy #105**, *“Administrative, Technical, and Physical Safeguards.”*
 - b. Complaint process for documenting and referring complaints received by clients as outlined in **DOH HIPAA Policy #102**, *“Clients’ Privacy Rights.”*
 - c. Application of sanctions and documentation of the application of appropriate sanctions against workforce members as outlined in **DOH HIPAA Policy #109**, *“Enforcement, Sanctions, and Penalties for Violations of Individual Privacy.”*
 - d. Each bureau/office must mitigate, to the extent practicable, any inappropriate use or disclosure of PHI by DOH or any of its business associates as outlined in **DOH HIPAA Policy #110**, *“Mitigation Efforts.”*
 - e. Neither the DOH nor any bureau/office or workforce member shall intimidate, threaten, coerce, discriminate against, or take other retaliatory action against any individual for the exercise of his/her rights relating to HIPAA compliance nor will DOH require clients to waive their rights to file a complaint as a condition for providing treatment, payment, or receiving a service, as outlined in **DOH HIPAA Policy #102**, *“Clients’ Privacy Rights.”*
5. Policies and procedures for other aspects of HIPAA have been developed to address operational issues as follows:
 - a. Clients’ rights to access their own information, with some exceptions, as well as the client’s right to request restrictions or amendments to their information is outlined in **DOH HIPAA Policy #102**, *“Clients’ Privacy Rights.”*

- b. The requirements DOH needs to follow regarding the uses and disclosures of client information is outlined in **DOH HIPAA Policy #103**, *"Uses and Disclosures of Client Information."*
- c. DOH will use or disclose only the minimum necessary information necessary to provide services and benefits to clients as outlined in **DOH HIPAA Policy #104**, *"Minimum Necessary Information."*
- d. DOH may use or disclose client's information for research purposes as outlined in **DOH HIPAA Policy #106**, *"Use and Disclosure for Research Purposes and Waivers."*
- e. DOH staff will follow standards under which client information can be used and disclosed if information that can identify a person has been removed or restricted to a limited data set as outlined in **DOH HIPAA Policy #107**, *"De-identification of client information and Use of Limited Data Sets."*
- f. DOH may disclose protected health information to business associates with whom there is a written contract or memorandum of understanding as outlined in **DOH HIPAA Policy #108**, *"DOH Business Associates."*



STATE OF TENNESSEE
DEPARTMENT OF HEALTH
CORDELL HULL BLDG.
425 5TH AVENUE NORTH
NASHVILLE TENNESSEE 37247

PHIL BREDESEN
GOVERNOR

KENNETH S. ROBINSON, M.D.
COMMISSIONER

DATE: December 16, 2004
TO: Bureaus, Regions and Divisions
FROM: Kenneth S. Robinson, M.D., Commissioner
SUBJECT: Drug-Free Workplace Act of 1988

On November 18, 1988, President Ronald Reagan signed the Anti-Drug Abuse Act of 1988. The provisions of this Act will affect all recipients of Federal Assistance.

Specifically, the Act requires all applicants/recipients of Federal Assistance awards made on or after March 18, 1989, to certify as a precondition of any assistance award, that they will provide and maintain a drug-free workplace by taking action to meet certain basic requirements including the following:

1. Completion of a drug-free compliance certificate that certifies that the department is meeting all requirements of the Act;
2. Establishment and publishing of a drug-free workplace policy notifying employees that the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance in the state's workplace is prohibited and specifying the actions that will be taken against individuals found in violation;
3. Specific notification to any employee whose salary is funded, in total or part, with federal funds that they must abide by the terms of the policy statement as a condition of employment or be faced with penalties as set forth in the policy;
4. Establishment of a drug-free awareness program; and,
5. Notification to the federal granting authority of any employee who has been criminally convicted of a drug offense occurring in the workplace.

In order that all departments of state government might be consistent in complying with this Act, the Tennessee Department of Personnel has issued the attached information which sets forth the policy statement and procedures that are to be followed. I have accepted this policy statement and procedures that are to be followed. I have accepted this policy statement as being the policy for this department and it should be properly distributed to each of your employees as well as being posted in a conspicuous place in your facility. There is also an acknowledgement statement to be signed by each employee for compliance to this policy included in the new employee welcome packet.

It is essential that in order that federal funds available to this department not be jeopardized that we comply with this policy. Therefore, I request your usual cooperation.

DRUG-FREE WORKPLACE POLICY

Illegal and excessive use of drugs has become an epidemic in our state. Any abuse and use at the workplace is subject of immediate concern in our society. From a safety perspective, the users of drugs may impair the wellbeing of all employees, the public at large, and result in damage to state property. Drug use may also seriously impair an employee's ability to perform his or her job; therefore, it is the policy of the State of Tennessee that the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in the state's workplace is prohibited. Any employees violating this policy will be subject to discipline up to and including termination. The specifics of this policy are as follows:

1. The unlawful manufacture, distribution, possession, or use of a controlled substance is prohibited in or on the workplace. Such manufacture, distribution, possession, or use while on the job or state property will subject the violator to discipline up to and including termination.
2. The term "controlled substance" means any drug listed in 21 U.S.C. 812 and other federal regulations. Generally, these are drugs which have a high potential for abuse. Such drugs include, but are not limited to, Heroin, Marijuana, Cocaine, PCP, and "Crack". They also include "legal drugs" which are not prescribed by a licensed physician to an alleged violator.
3. Each employee is required by law to inform this agency within five (5) days after he or she is convicted for violation of any federal or state criminal drug statute where such violation occurred on state property. A conviction means a finding of guilt (including a plea or nolo contendere) or the imposition of a sentence by a judge or jury in any federal or state court.
4. The Tennessee Department of Health must then notify the U.S. government agency with which the grant was made within ten (10) days after receiving notice from the employee or otherwise receiving actual notice of such a conviction.
5. If an employee is convicted of violating any criminal drug statute while on the workplace, he or she will be subject to discipline up to and including termination. Alternatively, the Department may require the employee to successfully finish a drug abuse program sponsored by an approved private or governmental institution.
6. As a condition of employment or continued employment of any federal government grant, the law requires all employees to abide by this policy.

THE POLICY STATED HEREIN IS BEING ADOPTED BY THIS AGENCY IN COMPLIANCE WITH THE DRUG-FREE WORKPLACE ACT.



D^{OH}HR

POLICY

Approved by: Rebecca R. Hunter, Commissioner	Policy Number: 12-008
Signature: <i>Rebecca R. Hunter</i>	Supersedes: 11-009, 10-021
Application: Executive Branch Agencies, All Employees	Effective Date: October 3, 2012
Authority: T.C.A. § 4-3-1703, T.C.A. § 4-21-101, T.C.A. § 8-30-104, T.C.A. § 8-50-104	Rule: Chapter 1120-07

Subject:

Workplace Discrimination and Harassment¹

The State of Tennessee is firmly committed to the principle of fair and equal employment opportunities for its citizens and strives to protect the rights and opportunities of all people to seek, obtain, and hold employment without being subjected to illegal discrimination and harassment in the workplace. It is the State's policy to provide an environment free of discrimination and harassment of an individual because of that person's race, color, national origin, age (40 and over), sex, pregnancy, religion, creed, disability, veteran's status or any other category protected by state and/or federal civil rights laws.

In the absence of an agency-specific policy, employees or applicants for employment who believe they have been discriminated against or harassed on any of these bases should utilize the procedures set forth in this policy.

Definitions of Discrimination and Harassment in the Workplace

A. Workplace Discrimination and Harassment

This policy prohibits unequal and unlawful treatment of an individual on the basis of a person's race, color, national origin, age (40 and over), sex, pregnancy, religion, creed, disability, or veteran's status or any other category protected by state and/or federal civil rights laws. This policy further prohibits any unwelcome verbal, written, physical conduct, or electronic communication that either degrades or shows hostility or aversion towards a person because of that person's race, color, national origin, age (40 and over), sex, pregnancy, religion, creed, disability, or veteran's status or any other category protected by state and/or federal civil rights laws.

¹ While the State of Tennessee is committed to the principles embodied in this policy, the policy itself is not intended to state contractual terms and does not constitute a contract between the State and its employees, applicants for employment, or parties who do business with the State. This policy supersedes all policies that conflict with the terms of this policy.

Furthermore, this statement constitutes ONLY the policy of the State of Tennessee. A finding violation of this policy does not mean that the conduct violates state and/or federal laws.

Tennessee Department of Human Resources

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DOHR Policy: Workplace Discrimination and Harassment	Policy Number: 12-008
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To aid employees in identifying prohibited behavior, the following specific examples of workplace discrimination and harassment are provided. These examples are not exhaustive; they illustrate, however, the types of conduct that violate this policy:

- Undermining a person's authority or work performance because of the person's protected characteristics, such as age or religion;
- Using stereotypes or assumptions to guide decision-making about a person's career;
- Unwelcome touching or near-touching, which can encompass leaning over, cornering, hugging, or pinching, sexual innuendos, teasing and other sexual talk such as jokes, personal inquiries, persistent unwanted courting and sexist put-downs;
- Slurs and jokes about a class of persons, such as disabled persons or a racial group;
- Distributing via electronic means epithets, slurs, jokes or remarks that are derogatory, demeaning, threatening or suggestive to a class of persons or a particular person or that promote stereotypes of a class of persons;
- Display of explicit or offensive calendars, posters, pictures, drawings or cartoons that are sexually suggestive or that reflect disparagingly upon a class of persons or a particular person; or
- Derogatory remarks about a person's national origin, race, language, or accent.

B. Hostile environment

Hostile environment harassment occurs when a victim is subjected to comments based on race, color, national origin, age (40 and over), sex, pregnancy, religion, creed, disability, veteran's status or any other category protected by state and/or federal civil rights laws. A hostile work environment may also be created by innuendoes, touching, electronic communications or other conduct.

C. Sexual Harassment

Sexual harassment involves any unwelcome sexual advance, request for sexual favors, or verbal, written, electronic, or physical conduct of a sexual nature by a manager, supervisor, co-worker, or non-employee (third party). Managerial harassment occurs when a manager or a supervisor gives or withholds a work-related benefit in exchange for sexual favors from the victim or takes an adverse action against an employee for refusing a request for sexual favors. In some circumstances, threatening to take such actions may also be a violation of this policy. Certain actions may also create a hostile work environment. (See the definition for "hostile work environment" above.)

D. Retaliation

Retaliation is *any* act of reprisal, interference, restraint, penalty, discrimination, intimidation, or harassment against an individual or individuals exercising rights under this policy.

E. Third Parties

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DOHR Policy: Workplace Discrimination and Harassment	Policy Number: 12-008
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Third parties are individuals who are not state employees but who have business interactions with state employees. Such individuals include, but are not limited to, customers, such as applicants for state employment or services, vendors, contractors, or volunteers.

Conduct Prohibited by the State of Tennessee

The State of Tennessee strictly forbids and will not tolerate discrimination or harassment of any employee, applicant for employment, or third party on the basis of an individual's race, color, national origin, age (40 and over), sex, pregnancy, religion, creed, disability, veteran's status or any other category protected by state and/or federal civil rights laws. The fact that an alleged offender meant no harm or was teasing will not excuse conduct that violates this policy.

The State of Tennessee strictly forbids and will not tolerate any form of retaliation directed against an employee, applicant for employment, or third party who either complains about discrimination or harassment or who participates in any investigation concerning discrimination or harassment.

How to Report Incidents of Discrimination or Harassment

If an employee, applicant for employment, or third party believes he/she has been subjected to discriminatory or harassing conduct that violates this policy, he/she must report those incidents as soon as possible after the event occurs.

Employees and applicants for employment may file a complaint with their department's human resources director, the department head, their supervisor(s), or any individual designated by the department to receive such reports. Under no circumstances is the individual alleging workplace discrimination or harassment required to file a complaint with the alleged harasser. If an employee or applicant believes he/she cannot file a complaint within his/her agency, that person should contact the Department of Human Resources, Office of General Counsel and Employee Relations at 615-741-2958.

Individuals who wish to file a complaint are encouraged, but are not required, to submit the complaint in writing and to include a description of the incident(s) as well as the date(s), time(s), place(s) and any witnesses.

If a complaint involves an executive director, assistant commissioner, deputy commissioner, or the commissioner, an employee or applicant for employment may file the complaint directly with the Department of Human Resources, Office of General Counsel and Employee Relations.

How to Report Retaliation Incidents

If an employee, applicant for employment, or third party believes he/she has been subjected to retaliation for engaging in protected conduct under this policy, he/she must report those incidents as soon as possible after the event occurs.

Any employee, applicant for employment, or third party who makes complaints of workplace discrimination or harassment or provides information related to such complaints will be protected against retaliation. If retaliation occurs, the employee, applicant for employment, or third party should

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report the retaliation in the same manner as he/she would report a workplace discrimination or harassment complaint.

How Complaints are Investigated and Resolved

The affected department will conduct a thorough and neutral investigation of all reported complaints of workplace discrimination, harassment or retaliation as soon as practicable. Generally, an investigation will include an interview with the complainant to determine if the conduct in issue violates this policy. If the department determines that the conduct falls within the terms of this policy, the department will interview the alleged offender and any other witnesses who have direct knowledge of the circumstances of the allegations.

The department retains the sole discretion to determine whether a violation of this policy has occurred and to determine what level, if any, of disciplinary action is warranted.

If a complaint involves an executive director, assistant commissioner, deputy commissioner, or the commissioner, the Department of Human Resources, Office of General Counsel and Employee Relations will investigate the complaint on behalf of the department and report the results to the appropriate agency or authority.

How Confidentiality is Treated

To the extent permitted by law, the State will try to maintain the confidentiality of each party involved in a workplace harassment investigation, complaint or charge, provided it does not interfere with the department's ability to investigate the allegations or to take corrective action. However, state law may prevent the state from maintaining confidentiality of investigations. Therefore, the State does not guarantee confidentiality.

Directive to Supervisory Personnel

Supervisory personnel who receive a complaint alleging workplace discrimination or harassment or learn by any means of conduct that may violate this policy must immediately report any such event to the department's human resources director, EEO officer or to the person designated by the agency to receive the information.

Corrective Action for Violation of this Policy

Any employee who engages in conduct that violates this policy or who encourages such conduct by others will be subject to corrective action. Such corrective action includes, but is not limited to, mandatory participation in counseling, training, disciplinary action, up to and including termination, and/or changes in job duties or location.

Supervisory personnel who allow workplace discrimination, harassment or retaliation to continue or fail to take appropriate action upon learning of such conduct will be subject to corrective action. Such corrective action includes, but is not limited to, mandatory participation in counseling, training, disciplinary action, up to and including termination, and/or changes in job duties or location.

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Questions regarding this policy may be directed to the Office of the General Counsel.

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**TENNESSEE DEPARTMENT OF HEALTH
CONFLICT OF INTEREST POLICY**

1. **PURPOSE:** To assure that an employee's activities do not conflict or have the appearance of conflicting with the provision of full unbiased service to the public.
2. **APPLICABILITY:** This policy shall apply to all full-time employees of the Tennessee Department of Health.
3. **DEFINITIONS:**
 - 3.1 **CONFLICT OF INTEREST:** a situation in which an employee's activities impair, or give the appearance of impairing, the person's ability to provide full unbiased public service.
 - 3.2 **SUBSTANTIAL FINANCIAL INTEREST:** ownership by an employee or by the employee's spouse of ten percent (10%) or more of the stock of a corporation or ten percent (10%) or more of any other business entity.
 - 3.3 **ORGANIZATIONAL UNIT:** a subdivision designated by the Commissioner of Health for administrative purposes.
4. **CONDUCT WHICH CREATES A CONFLICT OR THE APPEARANCE OF A CONFLICT:**
 - 4.1 An employee shall not engage in any conduct, employment, or other activity which impairs, or gives the appearance of impairing, the person's ability to provide full unbiased public service.
 - 4.2 An employee shall not violate applicable state or federal laws concerning conflict of interest.
 - 4.3 An employee shall not knowingly take any action which might prejudice the department's interest in a civil or criminal case.
5. **FINANCIAL INTERESTS:**
 - 5.1 It is a conflict of interest for an employee, who has a public duty to recommend, approve, disapprove, monitor, regulate, investigate, or superintend, in any manner, a contract or other activity, to have a substantial financial interest in a business that does, or seeks to do, business with the employee's organizational unit.
 - 5.2 An employee shall not have a financial interest in an outside entity of such significance that the departmental responsibilities and duties of the employee cannot be rendered in a fair and impartial manner.
 - 5.3 An employee shall not engage in a financial transaction for personal gain relying upon information obtainable solely through one's employment.
 - 5.4 An employee shall not receive any compensation from a private source for services which are, or should be, performed as part of one's official duties, except as provided by statute or as approved by the Commissioner.

6. **OUTSIDE EMPLOYMENT AND ACTIVITIES:**
 - 6.1 An employee who has a public duty to recommend, approve, disapprove, monitor, regulate, investigate, or superintend program activities shall not engage in outside employment with an entity that is regulated by the employee's organizational unit.
 - 6.2 An employee shall not serve on a board of directors for a non-state agency that is regulated by, or that has or seeks funding from, the employee's organizational unit unless the Commissioner deems such to be in the Department's interest and grants a waiver of this restriction.
7. **GIFTS AND FAVORS:** An employee shall not accept any item of significant monetary value (e.g., gifts, gratuity, favor, entertainment, loan, unusual discount) except usual social and business courtesies (e.g., a meal, box of candy, samples) from a person who has or is seeking to obtain a contractual or financial relationship with the employee's organizational unit or whose activities are regulated by such.
8. **HONORARIA:** An employee shall not accept honoraria or other compensation for activities which are, or should be, performed as part of one's official duties, except as provided by the Comprehensive Travel Regulations of the Department of Finance and Administration.
9. **ACTION TO RESOLVE A CONFLICT OF INTEREST:** An employee who has a conflict of interest must immediately eliminate such conflict. If an employee's activities give the appearance of a conflict of interest, such activities must be eliminated. If there is uncertainty whether a current or proposed activity is a conflict of interest, an employee should notify the Commissioner in writing of the potential conflict and receive approval for such activity.
10. **VIOLATION OF CONFLICT OF INTEREST:** An employee with a conflict of interest in violation of this policy is subject to disciplinary action in accordance with the Department of Personnel's rules and regulations. An employee who violates a statutory conflict of interest is also subject to sanctions provided by statute.



DOHR

POLICY

Approved by: Rebecca R. Hunter, Commissioner	Policy Number: 12-056
Signature: <i>Rebecca R. Hunter</i>	Supersedes: 11-001; 03-034
Application: Executive Branch Employees	Effective Date: October 3, 2012
Authority: T.C.A. § 4-3-1703, T.C.A. § 8-30-104, T.C.A. § 8-30-203, T.C.A. § 55-10-401	Rule: Chapter 1120-10

Subject:

Operation of Motor Vehicles By State Employees

State employees who are required to drive state-owned and/or personally-owned vehicles, or who elect to participate in the WeCar/Enterprise Program, in the course of their employment in order to perform official state functions shall do so legally, safely, and defensively. In addition, state-owned vehicles shall be operated in compliance with the policies of the Motor Vehicle Management Division in the Department of General Services and by any terms and conditions established by the WeCar/Enterprise Program. Employees are required at all times to comply with any and all laws when operating any motor vehicle on official state business.

It is of paramount importance that an employee who is in a position that requires a valid vehicle operator's license, or who operates a motor vehicle for state business, possess a valid driver's license. Regardless of whether a state, personal, or rental vehicle is being used in the course of state business, the state may be held liable for the actions of the employee. Therefore, all employees shall abide by the following:

- Any employee operating a state, personal, or rental vehicle for official state business is required to possess a valid driver's license from the employee's domicile state.
- When required, the license must have the appropriate commercial endorsement.
- Under no circumstances shall an employee whose license is revoked, suspended, expired, or otherwise invalidated operate a motor vehicle for official state business.
- For employees who are required to maintain a valid driver's license as part of their official duties, driving record convictions may be considered as grounds for disciplinary action, up to and including dismissal, whether the offenses and infractions occurred during or outside work hours. This includes driving under the influence as defined in Tenn. Code Ann. § 55-10-401.
- Any employee whose position requires a valid driver's license as a job qualification shall advise his or her supervisor within twenty-four (24) hours of the employee's next scheduled workday of any conviction, suspension, revocation, expiration, or invalidation of the employee's driver's

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license. Failure to notify the supervisor of any such conviction, suspension, revocation, expiration, or invalidation may be cause for disciplinary action, up to and including dismissal.

- Any state employee who is convicted of driving under the influence in violation of Tenn. Code Ann. § 55-10-401, or of any offense for which driving under the influence is an element, while driving a state, personal, or rental vehicle on official state business, is subject to discipline, up to and including dismissal.
- An employee who is not required to possess a valid driver's license in the performance of his or her job duties may be disciplined for driving under the influence while off-duty when an agency determines that the conduct adversely impacts the employee's ability to effectively perform his or her job duties or the best interest of the state.

Appointing authorities shall be responsible for ensuring all employees receive a copy of this policy. Employees are required to sign the acknowledgement below upon receipt of this policy for inclusion in the employee's personnel file. Employees who are required to maintain a valid driver's license as part of their official duties shall provide proof of a valid driver's license at the time of acknowledgement. This policy does not restrict agencies from augmenting the provisions of this policy with additional policies and procedures.

Employees are required to complete and sign an "Operation of Motor Vehicles by State Employees" Acknowledgement form (PR-0397, attached below).

Questions regarding the portion of this policy as it pertains to employee discipline may be directed to the Employee Relations Division of the Department of Human Resources. Questions pertaining to the operation of motor vehicles should be directed to the Department of General Services.

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STATE OF TENNESSEE

Acceptable Use Policy Network Access Rights and Obligations

Purpose:

To establish guidelines for State-owned hardware and software, computer network access and usage, Internet and email usage, telephony, and security and privacy for users of the State of Tennessee Wide Area Network.

Reference:

Tennessee Code Annotated, Section 4-3-5501, et seq., effective May 10, 1994.

Tennessee Code Annotated, Section 10-7-512, effective July 1, 2000.

Tennessee Code Annotated, Section 10-7-504, effective July 1, 2001.

State of Tennessee Security Policies.

Objectives:

- Ensure the protection of proprietary, personal, privileged, or otherwise sensitive data and resources that may be processed in any manner by the State, or any agent for the State.
- Provide uninterrupted network resources to users.
- Ensure proper usage of networked information, programs and facilities offered by the State of Tennessee networks.
- Maintain security of and access to networked data and resources on an authorized basis.
- Secure email from unauthorized access.
- Protect the confidentiality and integrity of files and programs from unauthorized users.
- Inform users there is no expectation of privacy in their use of State-owned hardware, software, or computer network access and usage.
- Provide Internet and email access to the users of the State of Tennessee networks.

Scope:

This Acceptable Use Policy applies to all individuals who have been provided access rights to the State of Tennessee networks, State provided email, and/or Internet via agency issued network or system User ID's. The scope does not include State phone systems, fax machines, copiers, State issued cell phones or pagers unless those services are delivered over the State's IP network.

Use and Prohibitions:

A. Data and Information Technology Resources

State employees, vendors/business partners/subrecipients, local governments, and other governmental agencies may be authorized to access state data or Information Technology (IT) network resources to perform business functions with or on behalf of the State. Users

must be acting within the scope of their employment or contractual relationship with the State and must agree to abide by the terms of this agreement as evidenced by his/her signature. It is recognized that there may be incidental personal use of State IT Resources. This practice is not encouraged and employees should be aware that all usage may be monitored and that there is no right to privacy. Various transactions resulting from network usage are the property of the state and are thus subject to open records laws.

Prohibitions

- Sending or sharing with unauthorized persons any information that is confidential by law, rule or regulation.
- Installing software that has not been authorized by the Office for Information Resources of the Department of Finance and Administration.
- Attaching processing devices that have not been authorized by the Office for Information Resources of the Department of Finance and Administration.
- Using data and IT resources to play or download games, music or videos that are not in support of business functions.
- Leaving workstation unattended without engaging password protection for the keyboard or workstation.
- Utilizing unauthorized peer-to-peer networking or peer-to-peer file sharing.
- Using data and IT resources in support of unlawful activities as defined by federal, state, and local law.
- Utilizing data and IT resources for activities that violate conduct policies established by the Department of Human Resources or the Agency where the user is employed or under contract.

B. Email

Email and calendar functions are provided to expedite and improve communications among network users.

Prohibitions

- Sending unsolicited junk email or chain letters (e.g. "spam") to any users of the network.
- Sending any material that contains viruses, Trojan horses, worms, time bombs, cancel bots, or any other harmful or deleterious programs.
- Sending copyrighted materials via email that is either not within the fair use guidelines or without prior permission from the author or publisher.
- Sending or receiving communications that violate conduct policies established by the Department of Human Resources or the Agency where the user is employed or under contract.
- Sending confidential material to an unauthorized recipient, or sending confidential e-mail without the proper security standards (including encryption if necessary) being met.

Email created, sent or received in conjunction with the transaction of official business are public records in accordance with T.C.A 10-7-301 through 10-7-308, and the rules of the Public Records Commission. A public record is defined as follows:

"Public record(s)" or "state record(s)" means all documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings or other material, regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency. (T.C.A. 10-7-301 (6)).

State records are open to public inspection unless they are protected by State or Federal law, rule, or regulation. Because a court could interpret state records to include draft letters, working drafts of reports, and what are intended to be casual comments, be aware that anything sent as electronic mail could be made available to the public.

C. Internet Access

Internet access is provided to network users to assist them in performing the duties and responsibilities associated with their positions.

Prohibitions

- Using the Internet to access non-State provided web email services.
- Using Instant Messaging or Internet Relay Chat (IRC).
- Using the Internet for broadcast audio for non-business use.
- Utilizing unauthorized peer-to-peer networking or peer-to-peer file sharing.
- Using the Internet when it violates any federal, state or local law.

Statement of Consequences

Noncompliance with this policy may constitute a legal risk to the State of Tennessee, an organizational risk to the State of Tennessee in terms of potential harm to employees or citizen security, or a security risk to the State of Tennessee's Network Operations and the user community, and/or a potential personal liability. The presence of unauthorized data in the State network could lead to liability on the part of the State as well as the individuals responsible for obtaining it.

Statement of Enforcement

Noncompliance with this policy may result in the following immediate actions.

1. Written notification will be sent to the Agency Head and to designated points of contact in the User Agency's Human Resources and Information Technology Resource Offices to identify the user and the nature of the noncompliance as "cause". In the case of a vendor, subrecipient, or contractor, the contract administrator will be notified.
2. User access may be terminated immediately by the Systems Administrator, and the user may be subject to subsequent review and action as determined by the agency, department, board, or commission leadership, or contract administrator.



STATE OF TENNESSEE
Acceptable Use Policy
Network Access Rights and Obligations
User Agreement Acknowledgement

As a user of State of Tennessee data and resources, I agree to abide by the Acceptable Use Network Access Rights and Obligations Policy and the following promises and guidelines as they relate to the policy established:

1. I will protect State confidential data, facilities and systems against unauthorized disclosure and/or use.
2. I will maintain all computer access codes in the strictest of confidence; immediately change them if I suspect their secrecy has been compromised, and will report activity that is contrary to the provisions of this agreement to my supervisor or a State-authorized Security Administrator.
3. I will be accountable for all transactions performed using my computer access codes.
4. I will not disclose any confidential information other than to persons authorized to access such information as identified by my section supervisor.
5. I agree to report to the Office for Information Resources (OIR) any suspicious network activity or security breach.

Privacy Expectations

The State of Tennessee actively monitors network services and resources, including, but not limited to, real time monitoring. Users should have no expectation of privacy. These communications are considered to be State property and may be examined by management for any reason including, but not limited to, security and/or employee conduct.

I acknowledge that I must adhere to this policy as a condition for receiving access to State of Tennessee data and resources.

I understand the willful violation or disregard of any of these guidelines, statute or policies may result in my loss of access and disciplinary action, up to and including termination of my employment, termination of my business relationship with the State of Tennessee, and any other appropriate legal action, including possible prosecution under the provisions of the Computer Crimes Act as cited at TCA 39-14-601 et seq., and other applicable laws.

I have read and agree to comply with the policy set forth herein.

 Type or Print Name

 Last 4 digits of Social Security Number

 Signature

 Date