

# Risk Management Assurance for Events with Alcohol

*Student organizations intending to host a function involving alcohol must complete and submit this form to the Student Organization Resource Center at least seven (7) business days prior to the event.*

With this form the organization acknowledges the risks associated with hosting an event where alcohol is served/consumed, while outlining measures that will be taken by the organization to ensure the safety of event participants. Eligibility for hosting an event with alcohol will be determined based on minimum requirements outlined in the General Policies for Student Organizations and the organization's plan submitted here.

1. NAME(S) OF ORGANIZATION(S) SPONSORING EVENT:

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2. DATE OF EVENT: \_\_\_\_\_ START TIME: \_\_\_\_\_ END TIME: \_\_\_\_\_

3. EVENT THEME AND/OR TITLE: \_\_\_\_\_

4. EVENT LOCATION: \_\_\_\_\_

Check one: ☐ THIRD PARTY VENDOR or ☐ FRATERNITY HOUSE  
(Attach Vendor Statement of Responsibility) Indicate fire marshal approved maximum capacity of public areas \_\_\_\_\_

5. NAME AND PHONE NUMBERS OF OFFICERS-IN-CHARGE OF EVENT.

Note: It is recommended that the President and Social Chair of the sponsoring organization(s) always serve as Officers-in-Charge. Officers-in-Charge perform the duties of Sober Monitors for the event, while also acting as official representatives of the hosting organization. If the Social Chair or President is unable to attend the event, the president of the organization may appoint another officer to serve. Signature of the Organization President is required to confer that appointment.

Names of Officers-in-Charge	Phone Number	Email
A. _____	_____	_____
B. _____	_____	_____

6. NUMBER OF PARTICIPANTS:

A. # of Host Organization Members = \_\_\_\_\_ \*If more than one organization is sponsoring, please include the total sum number of members for all of the sponsoring groups.  
B. # of Guests Invited to the Event = \_\_\_\_\_ + \*This cannot exceed 2x the number of host organization members.  
C. Total # of participants for the Event = \_\_\_\_\_ \*Add #s from lines A. and B.  
D. # of required Sober Monitors = \_\_\_\_\_ \*Divide # in line C. by 25  
(Attach a list of the Sober Monitors' names and mobile phone numbers with this form.)

7. NAME OF CONTRACTED SECURITY COMPANY: \_\_\_\_\_

SECURITY COMPANY'S PHONE NUMBER: \_\_\_\_\_

8. NUMBER OF INDIVIDUAL SECURITY AGENTS CONTRACTED FOR THE DURATION OF THE EVENT: \_\_\_\_\_

Note: If the event involves more than 25 participants, at least one (1) bonded security agent must be hired. If the event involves more than 50 participants, SORC staff should be consulted to determine the number of agents needed.

9. TYPE OF MUSIC (check one): ☐ DJ ☐ LIVE BAND ☐ NONE

10. WHAT FOOD AND NON-ALCOHOLIC BEVERAGES WILL YOU PROVIDE?

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11. TRANSPORTATION: Please describe the organization's plan for ensuring that participants have safe transport from the event location to campus or their homes following the event.

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10. ATTACH THE FOLLOWING AS APPLICABLE TO YOUR EVENT:

- ☐ **Guest/Participant List:** Organizations are expected to include a guest/participant list with the Risk Management Assurance form. The list must be typed and alphabetized, and must indicate all participating organization members and the name of the organization member responsible for each invited guest. This will be used for check-in/out at the event. Attendance at student organization functions must be restricted to the facility's public areas and may not exceed the capacity limits of the public areas as determined by the fire marshal. Additionally, in houses of social fraternities recognized by ETSU, attendance at student organization functions with alcohol may not exceed two (2) invited guests for each active organization member, regardless of facility capacity.
- ☐ **Vendor Statement of Responsibility:** If the event is being held at a third-party vendor location, a signed vendor statement of responsibility must be attached. The vendor is completely responsible for alcohol distribution, and collection of money for alcoholic beverages. The third-party vendor or a licensed security agent is responsible for checking the identification of customers as well as clearly identifying and marking all under aged guests.
- ☐ **Good Neighbor Letter:** If the event is being held at a fraternity house, a good neighbor letter must be submitted to the Student Organization Resource Center with this Risk Management Assurance form. A copy of the Good Neighbor Letter must be delivered (not mailed) to each adjacent neighbor six working days prior to the event. This letter must contain the date, time, location of your event, and contact information to reach someone at the event.
- ☐ **Sober Monitors List:** In addition to the Officers-in-Charge, organizations are required to have a minimum ratio of one (1) sober monitor for every 25 participants. *(Example: The organization has 25 members and has invited 50 additional guests to participate. The group will be required to have two (2) Officers-in-Charge plus three (3) Sober Monitors.)* Attach a list of the Sober Monitors' names and mobile phone numbers with this form. Each Sober Monitor must complete training with the SORC. For groups with Risk Management positions, the Risk Management Chair of the organization must be trained and serve as a Sober Monitor. If risk management duties are included in the work of the Social Chair, the Social Chair must serve as an Officer-in-Charge.

11. STATEMENT OF RESPONSIBILITY:

We verify we have followed all policies and procedures of East Tennessee State University, our national office, our organization's constitution, our campus governing council, as well as met all laws set by the city, the county, and the state in regard to this gathering. Our signatures also acknowledge that we will cooperate with the Student Organization Resource Center in conducting event inspections and creating a safe experience for all event participants.

\_\_\_\_\_  
President

\_\_\_\_\_  
Social Chair (Or President's Designee)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

**OFFICE USE: DO NOT WRITE BELOW THIS LINE**

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Received by the staff of the Student Organization Resource Center on: \_\_\_\_\_  
(Date and Time)

This form will be reviewed and returned by the SORC staff within 24 hours of when it is received.

\_\_\_\_\_ Event plan as written meets minimum standards and organization has completed required training.

\_\_\_\_\_ Event plan as written does not meet minimum standards and cannot be held as stated in this form.

Specific standards that have not been met:

\_\_\_\_\_

\_\_\_\_\_

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**PROCEDURES:** The following procedures are to be followed for each student organization event with alcohol. In addition, each organization is responsible for observing its own risk management policies. Student organizations chartered at ETSU in association with a local, state, regional or inter/national organization will be held responsible for compliance with the policies required for that affiliation.

1. **ELIGIBILITY:** An organization not properly registered and without an updated roster on file with the Student Organization Resource Center (SORC) may not host a student group function where alcohol is present. In order for a student organization to be eligible to host a function involving the serving or consumption of alcohol, at least two (2) current officers of the organization must attend a SORC-approved Risk Management workshop annually. Eligibility becomes null and void once those individuals attending the workshop are no longer officers in the organization or at the beginning of each fall term, whichever comes first. For some groups this will mean officers must attend Risk Management workshops in both the fall and spring semesters.
2. **RISK MANAGEMENT ASSURANCE FOR EVENTS WITH ALCOHOL:** Student organizations intending to host a function involving the serving or consumption of alcohol shall complete and submit the "Risk Management Assurance for Events with Alcohol" form to the SORC at least seven (7) business days prior to the date of the function. This form must be submitted for each function individually and each time a student organization intends to host a function involving alcohol.
3. **SPONSORED EVENTS:** If any of the following questions can be answered affirmatively, the event should be registered according to #2.
  - a. Was information about the event distributed during an organization meeting? Were plans for the event discussed during a meeting?
  - b. Does the event have a theme (especially one involving your organization mascot, colors or motto)? Are there invitations for the event?
  - c. Are organization funds being used for entertainment, food, decorations, security or anything pertaining to the event?
  - d. Are the people attending the event mostly members of your organization and/or invited guests of your organizations?
  - e. Has the event been publicized or announced on your organization's website or social media pages? Are your members promoting the event through social media and/or are others in the social media realm referring to the events as the "XYZ party"?If the answer to one or more of these questions is "yes," your organization can be held accountable for hosting the function. This list is offered only as a guide and should not be considered inclusive.
4. **SPONSORING GROUPS:** All groups involved in hosting the event must be listed on the notification form. Should policy violation(s) occur, all sponsoring groups are equally held responsible.
5. **TIME OF EVENTS:** An event where alcohol is present may last no more than four hours in any given twenty-four hour period. Weekday events (Sunday – Thursday) must end by midnight. Weekend events (Friday and Saturday) must end by 2 a.m.
6. **MUSIC:** Organizations should follow all city laws and municipal ordinances with regard to noise levels and sound.
7. **LOCATION:** Student organization functions where alcohol will be present are limited to houses owned by social fraternities recognized by ETSU and commercial establishments owned by licensed and insured third-party vendors. Third party vendor locations are subject to administrative approval and require a "Vendor Statement of Responsibility" signed by the owner or manager of the event location to be submitted along with the "Risk Management Assurance for Events with Alcohol." When functions are to take place in university-owned, leased or controlled property, policies concerning use of that property should be consulted and must be complied with. ETSU officials/administration will be permitted full access to events hosted by student organizations for the purpose of inspection, regardless of location.
8. **GOOD NEIGHBOR LETTER:** For events held at fraternity houses, a good neighbor letter should be delivered (not mailed) to each adjacent neighbor six (6) business days prior to the event. The letter should state the date, time, location of your event, and a contact name and phone number of someone that can be reached at the event. A copy of the letter must be submitted to the SORC with the Risk Management Assurance form.
9. **GUESTS:** Open parties where alcohol is served or consumed are prohibited. That is, events involving alcohol require a controlled list of participants that must be submitted along with the "Risk Management Assurance for Events with Alcohol." The list must be typed and alphabetized, and must include all participating organization members and the name of the organization member responsible for each invited guest. This will be used for check-in/out at the event. Participants list must not exceed the capacity limits of the facility's public areas as determined by the fire marshal. Attendance at student organization functions with alcohol will not exceed two invited guests for each active organization member, regardless of the capacity of the facility. Organizations assume responsibility for the welfare of all event participants and any damage caused by those participants.
10. **SPECIAL GUEST LIST:** A special guest list may be created as visitors such as alumni or out-of-town friends or family arrive unexpectedly. These guests should sign-in just as every other guest. The number of "special guests" that will be permitted to enter during the entire event is eight.
11. **CHECK IN/OUT:** All participants attending (including special guests) must sign in/out beside their name on the guest list before entering and leaving the event. All participants will be required to show valid identification to the security agent in order to verify name and age. Those guests who are over the age of 21 may be given a wristband at this time. Anyone under 21 years of age will not be given a wristband, should be marked with an "X" on both hands, and will not be permitted to drink alcoholic beverages at the event. Anyone who arrives at the function already impaired will be denied entry.
12. **SECURITY AGENTS:** All security agents must be bonded and insured and are required at any event involving alcohol with more than 25 participants. If the event involves more than 50 participants, SORC staff should be consulted to determine the number of security agents needed. The hosting organization(s) must keep a copy of the security company's insurance policy on file. The security agents are responsible for checking identification. They will also periodically check the premises for underage drinking, behavior problems, and noise violations. No event may begin before the listed event start time or before all required security agents and sober monitors are present at the event.

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13. **TRANSPORTATION:** Organizations hosting events with alcohol should create a plan for ensuring that participants have safe transport from the event location to campus or their homes following the event.
14. **ALCOHOL:** No one under 21 may be permitted to drink alcoholic beverages at any student organization-sponsored event. No liquor or glass containers are allowed into the event unless a third party vendor serves them. Each sponsoring organization is required to follow its own risk management policies. The organization may not provide alcohol for guests to consume. If the event is BYOB each and every participant is limited to bringing in one (1) six-pack of 12-ounce beer, or equivalent single-serving standard drinks, throughout the course of the event. Any single-serving beverage exceeding 0.6 fluid ounces (14 grams) of pure alcohol and/or not contained and labeled for single-serving consumption is prohibited. Guests should not be permitted to leave the event with open containers of alcohol in their possession. If the event is held at a third party venue, bar service should be closed thirty (30) minutes prior to the event end time.
15. **BYOB (Bring-Your-Own-Beverage) EVENTS:** There should be a designated area where all drinks are checked-in to and distributed from. This area must be separated from the rest of the party. A sober monitor should be designated to systematically label the beverages with the owner's name and keep an inventory sheet of the number of drinks checked in, and number checked out to each individual attending the event. When the event ends, unopened beverages may be returned (checked-out) to the guest, provided that the guest does not appear intoxicated.
16. **WRISTBANDS:** Wristbands must be used at all alcohol events to designate guests who are of legal drinking age. No one under 21 years of age may be permitted to wear a wristband at the event. Possession, sale, use and/or consumption of alcoholic beverages during a student organizational function must be in compliance with applicable federal, state, and local laws and university rules. It is the responsibility of the sponsoring student organization to ensure that individuals under 21 years of age do not consume alcoholic beverages and to ensure that anyone who arrives at the function already impaired is denied entry.
17. **FOOD AND NON-ALCOHOLIC BEVERAGES:** Organizations are responsible for providing adequate amounts of food and non-alcoholic beverages in a prominent location throughout the event.
18. **ANNUAL RISK MANAGEMENT WORKSHOP AND SOBER MONITORS TRAINING:**
  - In order for a student organization to be eligible to host a function involving the serving or consumption of alcohol, at least two (2) current officers of the organization must attend a SORC-approved Risk Management workshop annually.
  - Eligibility becomes null and void once those individuals attending the workshop are no longer officers in the organization or at the beginning of each fall term, whichever comes first. For some groups this will mean officers must attend Risk Management workshops in both the fall and spring semesters.
  - Sober Monitors will be certified through a training process provided by the SORC as well.
  - The list of officers who have attended training and active Sober Monitors will be kept on file in the SORC.
19. **"OFFICERS-IN-CHARGE" - RESPONSIBILITIES AT THE EVENT:**
  - These officers may not consume any alcohol before the event or until the last guest has left the premises.
  - Officers-in-Charge perform the duties of Sober Monitors for the event, while also acting as official representatives of the hosting organization.
  - These officers are responsible for making sure the vendor and security agent(s) know their responsibilities, including those related to check-in/out and close of sale 30 minutes prior to event end-time.
  - There must be two officers on duty at every event involving alcohol. The event will not be permitted to begin until both officers are present.
  - Officers may serve as designated drivers any time during the event, however one officer must always be present at the event.
  - The officers-in-charge are responsible for making sure all rules are followed and whenever a problem arises they should inform the security guards immediately.
  - The officers in charge will be responsible for Check-In/Out procedures described above.
20. **SOBER MONITOR RESPONSIBILITIES:**
  - Sober Monitors may not consume any alcohol before the event or until the last guest has left the premises.
  - Sober Monitors must wear a special shirt or nametag with the words, "Sober Monitor," printed on the nametag or shirt throughout the event.
  - For every event involving alcohol, organizations are required to have a minimum ratio of one (1) sober monitor for every 25 participants. The Sober Monitors that are listed on the Risk Management Assurance form must have completed training with the SORC and be present for the event to begin.
  - Sober Monitors must be posted at each entrance of the facility that can be entered from the outside if the event is at a fraternity house. If an event is at a third-party vendor one-Sober Monitor must be posted at the main entrance at all times.
  - Sober Monitors are responsible for making sure that alcohol limits for participants are obeyed. Each participant is limited to bringing in one (1) six-pack of 12-ounce beer, or equivalent single-serving standard drinks, throughout the course of the event. Any single-serving beverage exceeding 0.6 fluid ounces (14 grams) of pure alcohol and/or not contained and labeled for single-serving consumption is prohibited. Glass containers are prohibited.
  - Sober Monitors should ensure at all times that only those event participants above age 21 are consuming alcohol, and those under 21 are properly identified with an "X" on both hands.
  - Sober Monitors are responsible for assisting with Check-In/Out procedures along with at least one officer-in-charge.
    - If at any time a Sober Monitor has reasonable suspicions that someone has consumed too much alcohol to drive a vehicle they should provide an alternative means of transportation to the participant and prohibit him/her from driving.
    - Sober Monitors should make sure that all guests have left the premises before the party end time. No guests should be on the property after the security agents have left.