

# Compliance in Blue

THE INSTITUTIONAL COMPLIANCE AND RISK MANAGEMENT NEWSLETTER OF  
MIDDLE TENNESSEE STATE UNIVERSITY

## Inside this Issue

- [Policy Updates: University Policies 10 and 12](#)
- [Updated UAS/Drones Application](#)
- [Risk Assessment Reporting - 2019](#)
- [Records Management](#)
- [Getting to Know You - An Interview with Vice Provost, Dr. Rick Sluder](#)
- [Compliance Information and Trivia](#)
- [Regulatory Minute: What's Going On?](#)
- [Credits and Acknowledgements](#)

## Policy Updates: University Policies 10 and 12

Recent updates were made to Policy 10 - Ethics and Code of Conduct, and Policy 12 - Conflicts of Interest. Revisions to Policy 10 were made to: (1) reflect the annual, mandatory Ethics training for all MTSU employees; (2) provide definitions for abusive conduct in the workplace; and (3) provide greater clarity regarding procedures for reporting Ethics violations. Policy 12 was revised to provide additional information regarding the Conflicts of Interest review process. Revisions, also, were made to the Conflicts of Interest Checklist regarding instructional materials (in all its mediums) originated by Faculty. For questions and/or assistance regarding Policies 10 and 12, please contact the Office of Compliance and Enterprise Risk Management or the Office of University Counsel.

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## Updated UAS/Drone Application

The Unmanned Aircraft System (UAS)/Drone Application has been updated to provide greater clarity regarding the additional documentation needed for review of proposed UAS flights. For additional information on the UAS/Drone application process, or for questions regarding the [University UAS Policy 785](#), please contact any of the following offices:

- UAS Operations Program - Douglas Campbell, Operations Manager
- Office of University Counsel
- Office of the Provost
- Office of Compliance and Enterprise Risk Management

### Compliance Quotes of the Day

“Ethical decisions ensure that everyone’s best interests are protected. When in doubt, don’t.”

-- **Harvey Mackay**

“All labor that uplifts humanity has dignity and importance and should be undertaken with painstaking excellence.”

-- **Dr. Martin Luther King, Jr.**



## Risk Assessment Reporting - 2019

Risk Assessments for 2019 will be performed for the following University Divisions:

- Student Affairs
- University Advancement/Foundation
- Marketing and Communications

Divisions will receive instructions regarding how to complete the State of Tennessee's Risk Management Forms during the month of February. The above-mentioned Divisions also will be provided with a deadline date for submitting the Risk Assessment Forms, among other information.

As a reminder, the Risk Assessment reports are presented to the Audit and Compliance Committee of MTSU's Board of Trustees in preparation for final reporting to the State of Tennessee's Finance and Administration Division. For additional information about the Risk Assessment reporting process, the COSO Green Book Principles, or general risk assessment and/or risk management questions, please contact the Office of Compliance and Enterprise Risk Management at [carem@mtsu.edu](mailto:carem@mtsu.edu).

## Records Management

The Records Management/Retention Database (Database) will be locked beginning Friday, May 24, 2019. The State's Records Holding Report is due for submission to the Records Management Division by June 30, 2019. Review of the Database will begin during the months of March - May. Records Coordinators should ensure that records for their divisions/departments are included in the Database and any records scheduled for destruction are approved by the University's Records Officer, Carroll Lewis.. For additional information and/or training on the Records Retention Database, please contact [RDAretenction@mtsu.edu](mailto:RDAretenction@mtsu.edu).



## Getting to Know You – An Interview with Dr. Rick Sluder



Dr. Rick Sluder - Vice Provost

*Dr. Rick Sluder is a national leader in the area of Student Success. As MTSU's Vice Provost for Student Success and Dean of the University College, Dr. Sluder's work and leadership has contributed to the significant growth of the University's student retention and completions.*

*The Office of Compliance and Enterprise Risk Management is honored to feature Dr. Sluder in our first segment of "Getting to Know You."*

1. When did you begin your work in Student Success, and how did you become interested in such work?

ANSWER: I have worked in higher education for more than 30 years, serving as a graduate assistant, doctoral fellow, faculty, program coordinator, chair, associate dean, dean of three colleges and in two vice provost positions. All of these roles are fundamentally tied to student success, but it was not until my arrival at MTSU that my interest and commitment to serving students deepened and galvanized. There are great people who work here, and there is a unique culture of support. The authenticity of commitment to student success at MTSU is uncommon.

2. Why is Student Success programming still relevant today?

ANSWER: At one level of explanation, student success has always been important, but ongoing disruption in the academy has made it an imperative. Schools that can't recruit, retain, and graduate—

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competent–citizens simply won't be able to survive in the future. At another level of explanation, when we do this work right, a difference is made and lives are changed. When we can facilitate the success of students who likely would have fallen by the wayside in the past, the effects are profound—at the individual and societal levels.

3. What challenges, if any, will institutions face in creating and sustaining Student Success programs in the foreseeable future?

ANSWER: There are more than 4,000 colleges and universities in the United States, each with a unique history and set of challenges. At the same time we often say, “student success is not like building the space shuttle.” The challenge for any given institution is to figure out what needs to be done, and then to willfully and intentionally make it happen.

4. Based on your department's work and data, in what areas are incoming students and/or existing students in need of the most support regarding persistence and completion?

ANSWER: One way to look at the problem is to note that 80 percent of the students who don't return to MTSU are academically qualified to do so. Making sure that students are connected to the institution, feel like they belong and believe that college is “for them”, are all important factors. About one-half of our students are Pell-eligible, a notation that emphasizes the need for good academic planning, staying on track, financial literacy, and the availability of even minor amounts of emergency grant aid.

5. What do you like to do for fun when you are not working?

ANSWER: Well ... I love this work, so engaging in it feels like a natural part of life. In terms of hobbies, a common thread has been owning and operating anything with a motor: cars, trucks, motorcycles, boats, ATVs and UTVs. At present, I have a customized golf cart and, although I don't play golf, spend as much time driving it as possible.

6. What's your favorite food? Favorite restaurant?

ANSWER: I've traveled the country and will almost always order ... a hamburger. Favorite restaurant: the Costco food court!

7. If someone wanted to develop a career in Student Success, what advice would you provide?

ANSWER: Understand the work of faculty, how universities function, and the catch-points for students. Understand data and how to turn it into information. Become the best communicator possible.

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## Compliance Information and Trivia

### Did you know?

1. Directly reporting to a family member, spouse, or an individual you have a familial relationship with is considered to be a conflict of interest.
2. The Family Educational Rights and Privacy act (FERPA) applies to all MTSU employees.
3. The Enterprise Compliance and Risk Management Committee (ECRMC) has two subcommittees- Ethics, Privacy, and Confidentiality; and Healthcare and HIPAA Compliance.

### Compliance Trivia

1. What should I do if I receive a fictitious email or suspicious phone call requesting personal or financial information?
2. Where can I learn more about MTSU's annual safety and security report?
3. Who can I contact regarding suspected financial scams?
4. What office should I contact if I am made aware of allegations of ethics violations?
5. Who should I contact when I am receiving unwanted sexual advances, electronically communicated messages, or threats?

### Answers:

1. Notify MTSU's ITD department at [help@mtsu.edu](mailto:help@mtsu.edu)
2. Go to <https://www.mtsu.edu/police/annual-security-report.php>
3. Notify MTSU's ITD Department at [help@mtsu.edu](mailto:help@mtsu.edu)
4. Office of Compliance and Enterprise Risk Management
5. University Police and/or the Office of Institutional Equity and Compliance



## Regulatory Minute: What's Going On?

1. **Records Retention.** MTSU's Records Retention Database will be locked as of Friday, May 24, 2019. For questions or assistance, please email [RDARetention@mtsu.edu](mailto:RDARetention@mtsu.edu).
2. **Federal Student Aid.** Federal Student Aid 2019-20 Award Year Deadlines Dates were issued by the Department of Education - <https://www.govinfo.gov/content/pkg/FR-2019-01-24/pdf/2019-00110.pdf>.
3. **Athletics.** Former University of Arizona assistant coach pleads guilty to bribing a football recruit and accepting money to steer student athletes to an NBA business manager. The story was published in [USA Today](#) on January 22, 2019.
4. **Athletics.** Former San Diego State University men's basketball assistant coach agreed to a plea bargain regarding an investigation into a college basketball bribery and corruption allegations. The story was published in the [Times of San Diego](#) on December 21, 2018.
5. **Tax Compliance.** The Internal Revenue Service issued [Interim Guidance](#) on a new tax for highly paid University Officials.
6. **GDPR.** The European Commission (Commission) noted an increase in the number of reported data security and whistleblower complaints since the General Data Protection Regulation (GDPR) was implemented in May 2018. The Commission noted a particular increase in the number of complaints to data protection authorities during December 2018 and January 2019. The impact of GDPR can be viewed in the Commission's recent [tracking sheet](#).



7. **Title IX.** A Proposed Rule issued by the Department of Education in November 2018 would change key provisions of Title IX. Some of the proposed changes include, but are not limited to:
- a. A requirement that schools apply basic due process protections for students, including a presumption of innocence throughout the grievance process; written notice of allegations and an equal opportunity to review all evidence collected; and the right to cross-examination, subject to “rape shield” protections;
  - b. Requirements regarding the holding of a live-hearing where cross-examination would be conducted through the parties’ advisors.
  - c. Changes to the investigation model in Title IX cases (single investigator or investigator-only models would no longer be permitted).
  - d. An appeals process that would be offered to both the complainant and to the accused/respondent.
  - e. A definition of sexual harassment as – unwelcome conduct on the basis of sex that is so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the school’s education program or activity.

Additional information about the Proposed Title IX Rule changes is available on the [Department of Education’s webpage](#).



## Credits and Acknowledgments

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