



## **MIDDLE TENNESSEE STATE UNIVERSITY**

Enterprise Compliance and Risk Management Committee

February 14, 2018

CAB 112, 11am – 12pm

### **Meeting Minutes**

#### Members Present:

Dr. J. Gray (Faculty); C. Mullis; S. Sudak; J. Farrar; Dr. B. Allen; Dr. D. Schmidt; B. Jones; Dr. C. Torsney; D. Simpson; B. Burkhardt; J. Brink; Dr. R. Sluder; K. Thurman; R. Chapman; Dr. D. Butler; Dr. M. Byrnes; B. Cole; K. Musselman

#### Members Absent:

J. Whitefield; S. Wade; Dr. S. Franklin (Faculty); Dr. M. Wilson

#### Optional Members

A. Thomas; H. Zimmerman

#### Executive Oversight Provided By:

A. Thomas – Vice President for Business and Finance

#### Note/Meeting Minute Recorder:

G. Stephens (alternate note/meeting minute recorder)

#### Note/Meeting Minute Recorder:

B. Todd (regular note/minute recorder)

## Minutes

- 1. MTSU Risk Philosophy.** Committee members were asked to review the MTSU Risk Philosophy (Risk Philosophy), which was distributed at the beginning of the meeting. After a brief review of the current, three paragraph Risk Philosophy statement, Dr. Rick Sluder recommended the inclusion and mentioning of MTSU's Directors, Managers, and Department Chairs who contribute to the University's student success, financial performance, and international engagement. Dr. David Butler commented that the Risk Philosophy should include information about the importance of innovation, innovation of ideas, and an academic culture that enables innovation beyond publicity and marketing. G. Stephens commented that it is possible to promote and emphasize innovation (academically and in research) while balancing such innovation with the institution's risk management and compliance activities. Such a balance and culture shift of innovation requires, time. Dr. Bonnie Allen asked for a definition of "meaningful strategic planning," and how that relates to risk management. Ms. Stephens provided an example how one of the University's strategic planning initiatives aligns with, and relates to risk management. Dr. Cheryl Torsney asked about the use of the article "the" in the second paragraph of the Risk Philosophy and recommended use of the article "a." Associate Vice President, Sarah Sudak, explained that the language/article choice utilized in the second paragraph of the Risk Philosophy, as worded, mirrors the language/article choice presently utilized by the Division of Marketing and Communication Services. Ms. Stephens agreed to check with Marketing and Communication Services on this issue.
- 2. Measuring Compliance and ERM Program Effectiveness.** Ms. Stephens initiated a discussion regarding how the University might measure and/or test the effectiveness of its Compliance and ERM program, as well as other areas of risk for the University that, perhaps, were not previously identified. Ms. Stephens commented that MTSU currently utilizes annual risk assessments, IT impact assessments, and data breach tracking as a few of the ways to perform program testing. Dr. Rick Sluder asked whether the University tests the compliance program effectiveness of the Environmental, Health & Safety area. Ms. Stephens explained that Facilities and EMS has a committee that meets regularly to discuss EMS risks on campus, including fire safety and MTSU's preparedness for natural disasters. Additionally, Facilities and EMS is updating its emergency management plan to address environmental and safety risks. Kathy Musselman commented that one of the only ways to test the effectiveness of a program was to perform testing whenever a risk arose. Ms. Stephens provided an example (Conflict of Interest)
- 3. Updates on the Work of the ECRMC Subcommittees.** G. Stephens provided an updated on the work of the ECRMC Subcommittees. Specifically, the Ethics, Privacy, and Confidentiality Subcommittee's Q1-2018 meeting included a discussion and review of: (i) ethics education and awareness for faculty and staff; (ii) education and awareness regarding reporting and tracking of outside employment; and (iii) Policies 10, 814, 816, 12, and 71. The Healthcare and HIPAA Compliance Subcommittee will meet in April

2018 for Q1 and has, since 2017, completed, (i) Healthcare Privacy Practices for consumers of the Campus Pharmacy, and (ii) an institutional HIPAA Policy. Future work of the Healthcare and HIPAA Compliance Subcommittee will include updates to MTSU's HIPAA Policy in the areas of Security and Privacy, and installation/implementation of Accellion software through ITD, which will provide greater data security and compliance tracking for healthcare transactions.

4. **Next Meeting Items.** At the Q4 meeting, the Committee agreed to provide feedback and comments on the Institutional Compliance Plan (Plan). G. Stephens agreed to provide a link to the Plan after the meeting.
5. **Adjourn.** The meeting adjourned at 11:38am.