1. **Meeting Minutes** – *(Action Item)* Review and approval from meeting of 2/19/19.  
Ms. Stephens presented the meeting minutes from March 13, 2019 to the Committee for review. Hearing no changes to the meeting minutes, Ms. Stephens requested a motion to approve of the meeting minutes. Dr. Justin Gardner made a motion to accept the minutes. The motion was carried by Mr. Daryl Simpson.

2. **Welcome – New Members**

3. **Updates from CAERM** – *(Informational)*
   a. Two-Year Committee Term
      - Ms. Stephens explained that the term for the ECRMC general committee will be for two years of membership.
   
      b. Policy Revisions – Ethics 10; HIPAA 85; Records Retention 129
         - University Counsel Heidi Zimmerman commented that the University’s public comment period for Policy 10 was complete. Revisions to Policy 12
Conflict of Interest will be discussed during the Spring 2020 ECRMC meeting.

c. Annual Ethics Training
   ▪ The CAERM Office is working closely with ITD to have the 2019 version and updates to the annual Ethics training presented on Livestream.

d. Annual FERPA Training
   ▪ The 2018 FERPA Training Module utilized a PowerPoint Presentation constructed by the Office of University Counsel. The 2019 update of the annual FERPA training will include a PowerPoint Presentation from University Counsel, as well as video content and the opportunity to print certificates of completion.

e. Annual HIPAA and Fraud/Waste/Abuse Training
   ▪ HIPAA training will be provided to Health Services, Campus Pharmacy, and the Speech Clinic in November 2019. While annual HIPAA training is mandatory, Ms. Stephens informed the Committee that the Fraud/Waste/Abuse video training was created as an additional reminder to University employees regarding fraud, waste, and abuse prevention.

f. Athletics Policy and Compliance/Risk Manager Position
   ▪ The Compliance and Risk Manager Position will work closely with Athletics; assist with, and address, student grievances; and provide training to Athletics teams, as needed. The search for the Compliance and Risk Manager is ongoing.

g. Compliance and ERM Hotline Number
   ▪ Currently, the Office of Compliance and ERM has received one anonymous phone call.

h. State of TN 2019 Certificate of Insurance
   ▪ Ms. Stephens reminded Committee members to inform their areas of the State’s new, 2019 certificate of insurance.

i. Compliance and Ethics Event – November 7, 2019
   ▪ Two Counter-Intelligence FBI Agents will be speaking at the Compliance and Ethics Event, as well as the Executive Director of the Tennessee Human Rights Commission; Vice Chairman and Board Trustee Darrell Freeman, Sr.; and Director Rodney Escobar of the State’s Claims and Risk Management Division.

j. Records Management
   ▪ The Records Management/Retention webinar training in October 2019 was successful. Ms. Stephens informed the Committee that she is the designated
Records Officer until such time as another one is appointed by the CAERM office.

k. Subcommittee meetings
   - The Ethics, Privacy, and Confidentiality Subcommittee, as well as the Healthcare and HIPAA Subcommittee will meet in November 2019.

4. Reminders – Use of Software Related to Student Educational Records and Materials

Ms. Stephens reminded the Committee members to ensure their areas completed the following prior to utilizing any new software that would interface with student educational records or materials:

   a. Check with ITD

   b. Complete a Security Questionnaire, as needed, and submit for review to ITD

5. Reminder about Webpage Updates

Ms. Stephens additionally reminded the Committee to review and/or update department websites to ensure public information was up to date.

6. Open Discussion/Questions/Concerns – Roundtable

Ms. Stephens discussed the future use of A.I. (Artificial Intelligence) to assist with analyzing data and measuring effectiveness within Compliance and Risk Management. Ms. Stephens also discussed the option of utilizing compliance calls that would take place biannually, quarterly, or monthly and asked for the Committee’s feedback. University Counsel Heidi Zimmerman asked, “what would the call look like?” Ms. Stephens explained how the call would include topics, updates, discussions, regulatory investigatory issues, and issues discussed and resolved. The Committee agreed that such compliance calls would not be necessary given the other information that is already available from the CAERM office.

Vice Provost Dr. Rick Sluder explained that data analytics was the single best indicator of student performance is class attendance and that he would be happy to work with the CAERM office on analytics to measure effectiveness.

7. Adjourn. The meeting adjourned at 10:58pm.