



COMPLIANCE IN BLUE

The Institutional Compliance and Risk Management Newsletter of
Middle Tennessee State University

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National Compliance and Ethics Week Compliance Event—November 6, 2018

National Compliance and Ethics week occurs the week of November 4-10, 2018. In recognition of Compliance and Ethics week, MTSU will host its first Compliance and Ethics event on November 6, 2018, entitled *Compliance in Blue: Discussions on Compliance Topics in Higher Education*.

The event will be held in the Student Union's Parliamentary Room 201, from 10am to 12:15pm (General Session), and with concurrent sessions taking place from 12:30pm to 1:15pm, and 1:30pm to 2:15pm. The General Session will feature an interview with Board Trustee Ms. Christine Karbowskiak...

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Compliance Quote of the Day:

"Character is much easier kept than recovered."

—Thomas Paine

Annual Records Destruction Days: October 22—23, 2018

MTSU's annual records destruction days will take place on October 22 and 23, 2018. Designated Records Coordinators for departments and divisions should ensure records scheduled for destruction are entered into the MTSU Records Retention Database. Records scheduled for destruction also must be approved in advance by the Records Officer, Mrs. Carroll Lewis.

New Procedure. A new procedure for this year allows departments and divisions to pre-schedule the pick-up of their boxed records for destruction by Receiving and Moving. Records Coordinators should contact Receiving and Moving between September 28 and October 18 to pre-schedule the pick-up of boxes. The vendor will then pick up boxes from the Distribution Warehouse to complete any records shredding. If you have not called Receiving and Moving by October 18, you must bring your boxes to the Distribution Warehouse during the Records Destruction...

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Policy and Procedural Updates

Policy 12—*Conflicts of Interests*, provides a Conflict of Interests (COI) Disclosure Form, which is distributed by the Office of Human Resources annually in March. Recently, the COI Disclosure Form (COI Form) was updated. The updated COI Form includes a signature line for employees to sign, as well as asks employees to attach any documentation and/or explanations for any COIs disclosed.

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National Compliance and Ethics Week Event *continued from page 1*

who serves as the Chief Risk Officer, Chief Administrative Officer, and Executive Vice President of Bridgestone Americas, Inc. Ms. Karbowski also serves as the Chair of the Audit and Compliance Committee of the MTSU Board of Trustees.

In addition to Ms. Karbowski, University General Counsel Heidi Zimmerman also will be interviewed on compliance and ethics topics in higher education. Concurrent training sessions will include the following:

- Session 1, 12:30pm—1:15pm: *P-Card Compliance*, facilitated by Manager Ann Lee Whitefield
- Session 2, 12:30pm—1:15pm: *ADA/Accessibility in the Classroom and Beyond*, facilitated by Director Kevin States
- Session 3, 1:30pm—2:15pm: *Travel Claims*, facilitated by Director Ben Jones
- Session 4, 1:30pm—2:15pm: *Campus Safety Topics*, facilitated by Captain Jeff Martinez

Light refreshments will be served at the event, and space is limited. If you are interested in attending MTSU's first Compliance and Ethics event, please RSVP to carem@mtsu.edu.

Annual Records Destruction Days *continued from page 1*

dates (October 22-23).

For additional information on the University's annual records destruction days, please contact the Records Officer at RDRetention@mtsu.edu, or Carroll.Lewis@mtsu.edu.



Risk Assessments

Risk assessments in 2019 will focus on the Divisions of Student Affairs, University Advancement, and Marketing & Communications. As with 2018, the University also will prepare an institution-wide risk assessment report utilizing the State of Tennessee's risk assessment forms that aligns with the Government Accountability Office's "Green Book" on creating, maintaining, and assessing financial and operational internal controls.

Information regarding the risk assessment process for 2019, as well as instructions on the use of the new forms will be distributed to the three, aforementioned Divisions by MTSU's Records Officer, Mrs. Carroll Lewis by early February 2019.

For additional information regarding the risk assessment process, or the State of Tennessee's risk assessment forms, please contact carem@mtsu.edu.



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Annual Ethics Training

An Ethics training is being provided to all MTSU employees in the 4th Quarter of 2018. The training is mandatory and takes approximately seven (7) to eight (8) minutes to complete. In addition, the training provides a certificate of completion, which can be printed at the training's conclusion.

In addition, the training provides references to MTSU policies, as well as other resources. Finally, the training contains three scenarios for employees to consider.

For additional information about the annual Ethics training, please contact the Office of Compliance and Enterprise and Risk Management.

Compliance Information and Trivia

Did you know?

1. Campus Pharmacy is covered under HIPAA and provides employees and students with HIPAA Privacy Practices.
2. Athletics compliance involves both adherence with NCAA regulations and By-laws, as well as training to, and support of, our student athletes in the areas of sportsmanship (on and off the field); academic persistence; and ethical conduct.
3. Counseling Services added a staff member to better serve MTSU students. A fee is now assessed for all missed appointments to assure the utilization of available counseling slots to students who might benefit from an earlier appointment.

Compliance Trivia

1. Who can you contact to obtain support and/or advocacy regarding a report of sexual assault, sexual misconduct, or ADA accessibility?
2. Which MTSU Board Trustee is the Chair of Finance and Personnel Committee?
3. Where can I learn more about FERPA (Family Educational Rights and Privacy Act) compliance?
4. How can I ensure my data is protected at work?

Answers: 1. The Office of Institutional Equity and Compliance, and the University Police. 2. Trustee Joey Jacobs. 3. Office of University Counsel's [Webpage](#) or [Policy 500](#). 4. Contact ITD and sign-up for multi-factor authentication.



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Policy and Procedural Updates *continued from page 1*

The revised COI Form can be found within [Policy 12](#) on the University's Policy page. For additional information, regarding the COI procedures, please contact the Office of Compliance and Enterprise Risk Management at carem@mtsu.edu.

Policy 785—*Unmanned Aircraft Systems*, provides information and guidelines regarding the procedures for using and flying Unmanned Aircraft Systems (UAS) over and around University-owned property. Previously, the UAS Guidelines referenced in Policy 785 included a 14 day application and review process. The application and review process for UAS will be reduced from 14 days to five (5) calendar days.

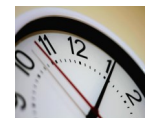
All employees and/or external vendors and companies desiring to fly UAS over and around University property should provide an application, with any required, supporting materials, to the Office of the Provost or the Office of the Vice President for Business and Finance. Applications must also include a Flight Plan that provides the following details:

- UAS registration number
- Aircraft make and model
- Location of flight area/operation
- Altitude
- Time of flight (takeoff to landing, inclusive of all intended flights)
- Special remarks (if applicable)
- Pilot in Command name and telephone number

Applications will be reviewed and approved by the UAS Operations Manager in the Aerospace Program and/or the Office of Compliance and Enterprise Risk Management. For additional information regarding Policy 785 or its corresponding guidelines, please contact any of the following offices:

- Office of University Counsel
- UAS Operations Program in the College of Basic and Applied Sciences
- Office of Compliance and Enterprise Risk Management

Regulatory Minute: What's Going On?



- **Risk Assessments.** Risk Assessment reports for the Divisions of Business and Finance and Academic Affairs, as well as for the entire institution, were approved by the Audit and Compliance Committee of the Board of Trustees on September 18, 2018. Risk Assessment reports for 2018 were sent to the State Auditor.
- **Drug-Free Schools and Campuses Act Biennial Report.** The federal Drug-Free Schools and Campuses Act Biennial Report for 2016-2018 is complete and available on various MTSU websites, including the institution's [Disclosures for Consumers webpage](#), as well as on the [Office of Compliance and Enterprise Risk Management webpage](#), among other websites.

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