



MIDDLE TENNESSEE STATE UNIVERSITY

Enterprise Compliance and Risk Management Committee

December 7, 2018

CAB 112, 11am – 12pm

Meeting Minutes

Members Present:

Dr. R. Sluder; Dr. D. Butler; A. Parker; B. Jones; J. Martinez; H. Zimmerman; J. Farrar; Dr. S. Franklin; Dr. P. Holloway; L. Morgan; S. Sudak; B. Burkhardt; K. Musselman; B. Allen; W. Waits; and T. Wallace

Members Absent:

Becky Cole
Dr. M. Wilson
J. Porter

Optional Members

A. Thomas

Executive Oversight Provided By:

A. Thomas – Vice President for Business and Finance

Note/Meeting Minute Recorder:

G. Stephens (Chair; meeting minute recorder)

Minutes

1. **Approval of Prior Meeting Minutes from 2/14/2018.** The meeting minutes from February 14, 2018 of the Enterprise Compliance and Risk Management Committee (ECRMC or Committee) were presented to the Committee for review. Hearing no comments or changes to the February 2018 meeting minutes, Ms. Stephens asked for a

motion to approve the minutes. The motion was made by Dr. David Butler. The motion was carried by Faculty Senate President, Dr. Pippa Holloway.

- 2. Review of Institutional Compliance Plan.** The Institutional Compliance Plan (Plan) was reviewed by Committee members prior to the December 2018 meeting. Ms. Stephens explained that the Plan's purposes was to: (1) document MTSU's compliance and risk management program procedures; (2) align with the eight (8) elements of an effective compliance program (including the adding element of risk management) as provided within the United States Sentencing Guidelines; and (3) serve as a resource to Faculty, Staff, and Administrators. Ms. Stephens asked for any recommended edits and/or changes to the Plan.

Dr. Holloway suggested removing the word "Faculty" in front of the title "Faculty Department Chairs" and explained that the title "Department Chair" was a term of art. Kathy Musselman and others also recommended the removal of fax numbers under the list of resources, as well as adding her office to the resource list. Captain Jeff Martinez requested a change in the contact email address for the University Police Department. Ms. Stephens agreed to make the edits and to add additional resource information for the Offices of Veterans Affairs; the Information Technology Division (ITD); and Athletics.

Dr. Holloway asked that Section 12.0 – Enforcement, be revised to provide greater clarity, specificity, and guidance. Dr. Holloway also explained that most Faculty members do not consider themselves as members of management; therefore, some sections of 12.0 should be revised. Dr. Sekou Franklin agreed with the statements made by Dr. Holloway, and additionally explained the helpfulness of rephrasing the information contained in Section 12.0. Finally, Dean Bonnie Allen recommended separating the resources section of the Plan (Section 9.0) into a resource section for students and one for Faculty and Staff.

- 3. MTSU Risk Philosophy Revision Review.** As a follow-up item from the first quarter 2018 meeting, Committee members were provided an updated MTSU Risk Philosophy for their review during the meeting. Dr. Holloway suggested capitalizing all references to faculty and staff within the document for consistency. In addition, and in an email received after the meeting adjourned, Dr. Rick Sluder suggested a revision to the wording in the second sentence of the Risk Philosophy.
- 4. Updates on the Work of the ECRMC Subcommittees.** Ms. Stephens provided an update on the Q4 ECRMC Subcommittee meetings. The Ethics, Privacy, and Confidentiality Subcommittee's meeting included: (a) a high-level summary of the two ethics cases reviewed in 2018; (b) information on the 2018 Ethics training module, as well as the number of full-time employees who successfully completed the training (a total of 710); (c) revisions to the Ethics training module for 2019 that would improve ADA accessibility; (d) a summary regarding the MTSU's first ever Compliance and

Ethics training event; and (e) an update concerning Policy revisions for MTSU Policy 10 – Ethics and Code of Conduct, as well as MTSU Policy 12 – Conflict of Interests. The Q4 meeting of the Healthcare and HIPAA Compliance Subcommittee included discussions on: (a) annual HIPAA training for all Campus Pharmacy and Health Services Staff; (b) revisions to MTSU Policy 85 – Health Insurance Portability and Accountability Act; and (c) security updates for secure document sending that were installed by ITD to assist in the safeguarding of Personal Information and Protected Health Information.

5. **Year-End Review of Compliance and ERM Activities.** Ms. Stephens provided an update on the activities and work of the Office of Compliance and Enterprise Risk Management (ERM).
6. **Other Topics/Discussion.** Ms. Lynn Morgan of Athletics Compliance mentioned an Athletics training module that her department will utilize in the future, which will be presented for review at a later date. Finally, in an email after the meeting, Dr. Sluder suggested that the monthly Compliance Tips should be posted on the Compliance and ERM department’s webpage as an additional resource.
7. **Adjourn.** The meeting adjourned at 11:54 am. The motion to adjourn was made by Dr. Butler and was carried by Dr. Holloway.