

Compliance Tips for the Month – July 2019

Conflicts of Interests: Reporting and Documentation Reminders

The following are reminders regarding the University's [Conflicts of Interest Policy 12](#):

1. Faculty utilizing their own authored books in class should complete the [Conflict of Interest Checklist](#) (“Checklist” or “Form”) entitled, “Instructional Materials Originating From A Faculty Author, Performer, or Developer.” The Checklist, together with any required, accompanying materials, should be completed whether or not the Faculty member receives royalties.
2. From the Checklist above, please ensure that signatures from the Department Chair and Dean are present on the Form. If the Department has a Textbook Committee, please ensure that Textbook Committee Chair also signs the Checklist.
3. For other conflicts of interest, the [Conflicts of Interest Disclosure Statement](#) (“Disclosure Statement”) should be utilized and submitted. Please also remember to sign the Disclosure Statement prior to submission.
4. All materials related to Conflicts of Interest should be submitted to the attention of the University Counsel's Office, Cope Administration Building, Suite 209. Please note that incomplete materials will be returned with written guidance regarding the additional information that is needed.
5. For additional information and/or questions regarding Conflicts of Interest (“COI”) or the University's COI review process, please contact the following offices or view the resources listed below:
 - Office of Compliance and Enterprise Risk Management – [Conflicts of Interest Resource Page](#)
 - Office of University Counsel

Records Management: Labeling Boxes for On-Site Storage, Records Holding Report, and Database

During a recent review of some of the University's on-site records storage facilities/warehouses, some boxes present were not labeled. Please ensure that all boxed records sent for storage to a University warehouse and/or to the Archives are clearly labeled with the following:

- A description of the contents
- The State Records Disposition Authorization ("RDA") or Statewide ("SW") number.
- Department or Division
- Year

The above box labeling protocol will help us better prepare for any future audit of the University's on-site storage and records by the State's Records Management Division. Therefore, if you boxes at any of the University's warehouses that are not labeled, please contact the following resources to complete the labeling of your department's/division's boxes:

- Carroll Lewis, Records Officer/Director of Financial Compliance – Finance and Accounting Department
- Hector del Callar – Office of Compliance and Enterprise Risk Management

In addition, the University submitted its annual Records Holding Report to the State's Record Management Division on June 27, 2019. Many thanks to all Records Coordinators who input records on behalf of their departments and/or divisions.

The University's internal Records Retention Database will re-open July 8, 2019. Additional information regarding a future Records Management web-meeting, as well as the University's records destruction day are forthcoming.

For questions or concerns regarding the Records Retention Database and/or the University's Records Management process, please contact RDAretenion@mtsu.edu.

Higher Education Updates

For regulatory compliance updates concerning higher education, the following are some resources:

- Office of Compliance and Enterprise Risk Management – [Higher Education Updates page](#).
- [Higher Education Compliance Alliance](#)

Thank you.

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I AM *true* **BLUE.**

MIDDLE TENNESSEE STATE UNIVERSITY

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