

# COMPLIANCE MATTERS.

News and Insights from Chapman's Department  
of Institutional Compliance and Internal Audit

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## What is Institutional Compliance?

By Gail Nishida, Chief Compliance Officer

The Office of Institutional Compliance is responsible for coordinating compliance oversight, monitoring, and reporting. Although Institutional Compliance coordinates compliance efforts campus-wide, departments and individuals with compliance responsibilities are subject-matter experts in their respective areas and should continue to be your first contact for specific compliance questions. Chapman University is committed to conducting its affairs ethically and in compliance with governing laws, regulations, and policies.

Additionally, there is an **Institutional Compliance Committee (ICC)** made up of senior members of the Chapman community to help provide broad oversight of university-related regulatory issues.

We'll dive into the ICC in-depth on the next page.

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## What does the ICC do?

1. Provides guidance and input on the development of a comprehensive compliance program.
2. Identifies and discusses compliance related topics that could affect the university.
3. Promotes compliance within the members' respective units and throughout the university.
4. Aids in the identification of compliance risks where exposures may not be fully addressed.
5. Assists in the identification of compliance-related educational needs.
6. Identifies policies and procedures that are needed to ensure regulatory requirements.
7. Develops, implements, and improves the compliance program within the members' respective units, based on best practices delineated in the U.S. Federal Sentencing Guidelines.
8. Encourages open communication among campus compliance units and senior university leadership.

## Who is on the ICC?

### Member

### Representing Area

Kristen Beavers

Center for Global Education

Eileen Besner

Faculty Affairs

Jill Borland

Office of Research

Michael Briggs

Office of Research

Behzad Binesh

Financial Services

<b>Member</b>	<b>Representing Area</b>
Allan Brooks	Risk Management
LB Brown	Academic Affairs
Randy Burba	Public Safety
John Cebula	Financial Services
Janine DuMontelle (Advisory)	Legal Affairs
Rick Gonzalez	Public Safety
Ross Loehner	Strategic Marketing
Gail Nishida (Chair)	Institutional Compliance
Michael Nee	Human Resources
Helen Norris	IS&T
Dan Ojeda (Advisory)	Legal Affairs
Corey Rizuto	Internal Audit
Albert Roberson	Human Resources
Tom Piechota	Office of Research
George Viegas	Information Security
Michele Wanner	University Advancement
Jim Whitaker	Enrollment/Financial Award
DeAnn Yocum-Gaffney	Student Affairs

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## Friendly Reminder—Annual Ethics Training

Please ensure you have completed your annual, mandated Ethics Training! The training invites are assigned by HR and will come through EverFi.

Should you have any questions, please reach out to us at

[compliance@chapman.edu](mailto:compliance@chapman.edu)





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## COVID-19 Update

The Office of Institutional Compliance is still fully operational during this time. Although no in-person meetings or interviews will take place until the public health crisis has passed, we are still conducting investigations and providing guidance on compliance related issues. Please contact us at [compliance@chapman.edu](mailto:compliance@chapman.edu) if you have any questions or concerns.