Managing Regulatory Compliance Risks

As part of the University’s efforts to manage risk from an enterprise-wide perspective, in December 2008 the Chancellor and the Cabinet approved the establishment of a Compliance Advisory Committee.

Institutions of higher education including Syracuse University have been impacted operationally and financially by an array of legislation and regulations over the past several years. Some of the legislation and regulations were not necessarily directed at higher education but ultimately did have an effect upon higher education. These include the US Patriot Act, HIPAA, Gramm-Leach-Bliley, the Department of Homeland Security’s Chemical Facility Security Rule in the fall 2007 and most recently the Federal Trade Commission’s Fair and Accurate Credit Transactions Act, aka “Red Flag” regulation. There are many other laws and regulations directed toward higher education, such as the multitude of amendments to the Higher Education Opportunity Act signed into law by President Bush in August 2008.

Therefore, the Committee will act as a resource for the University’s multi-disciplinary approach to regulatory compliance. The purpose of the Compliance Advisory Committee is to:

1. Assist the University in its efforts to raise awareness regarding regulatory compliance and to guide schools/colleges and departments in meeting compliance requirements.

2. Identify ways that the University, schools/colleges, and departments can better identify proposed federal, state and local legislation and once identified, work with the Office of Government and Community Relations to assist in monitoring the proposed rules, regulations or legislation. When the law, rule, or regulation is promulgated, identify the applicable owner(s) of the regulation within the University.

3. Serve as a resource to the University community on matters of regulatory compliance.

4. Implement and conduct training and informational programs where needed.

5. In coordination with the applicable ownership departments, review current policies, procedures, and reporting requirements in place as a means to evaluate the level of compliance with laws and regulations for adequacy.

6. Conduct an inventory of the current laws and regulations the University must comply with including the University department or school/college having responsibility/ownership for compliance, a specific contact person within that department, and a brief description of the compliance requirements.

7. Develop a mechanism to provide University public comment through the Office of Government and Community Relations during any legislative rule-making activity if warranted.

8. Issue a report on the “state of compliance at the University” at least annually to the Chancellor’s Cabinet.

Members of the Committee include: Co-chairs, Steve Colucci (Audit & Management Advisory Services) and David Pajak (Risk Management), Kal Alston (Academic Affairs), Kaye Diversy (Financial Aid), Rob Edson (Athletics), Peter Englot (Public Affairs), Tom Evans (General Counsel), Becca Foor (Computers), Trish Lowery (Sponsored Programs), Beth Rougeux (Government and Community Relations), Chris Sedore (Information Technology Services), Neil Strodel (Human Resources) and Toni Wolfe (Student Affairs).

If you have any questions about the Compliance Advisory Committee, please contact Steve Colucci at x 5159 or scolucci@syr.edu or David Pajak at x5334 or dpajak@syr.edu.
Higher Education Industry Update

On Monday December 15, 2008 Jean Demchak, the Managing Director, Education Practice Group for Marsh, Inc. presented on the risks facing the higher education industry. Attendees included directors, managers and senior staff from Risk Management, Environmental Health Office and the Safety Department. Topics included economic impact, insurance market update, and emerging risks.

Employee Spotlight

Please welcome Dan Delpha to the Safety Department. Dan joined our staff in October 2008 as a fire/safety inspector. He replaced Scott Evener who went on to work for Cortland County as the Safety Officer. Dan was born and raised in the Camillus area where he volunteers in the Town of Camillus as a firefighter with the Fairmount Fire Department. Dan enjoys the outdoors, camping and spending time with family and friends. We are pleased that David Paul has been promoted. David worked for the Safety Department part-time for three years prior to becoming a fire/safety inspector. David replaces Jeff Cardinali. Jeff is now the Chief of the Dewitt Fire Department. David brings 15 years of fire service to the University. He is a NYS Fire Instructor and a certified NYS Fire Inspector. David enjoys camping, canoeing, traveling and Yankee games.

Years of Service

Risk Management is proud to congratulate Allison Piccionli (Environmental Health Office) for 5 years of service, and Brian O'Hara (Safety Department) for 10 years of service.

Upcoming Workshops

Minors on Campus. - The Risk Management Department is hosting a second Minors on Campus Risk Awareness Workshop on Wednesday, April 1st at 10:00 a.m. in room 500 Hall of Languages. The workshop will focus on legal liabilities and risk management best practices. Presenters are representatives from Risk Management, Bond, Schoenbeck & King, and Arthur J. Gallagher (SU’s Liability Insurance broker). Registration details can be found on the Risk Management Department website at http://riskmanagement.syr.edu.

Emergency Management Staff 2 Staff Session. - Join David Pajak, director of Risk Management and chief emergency management officer; John Rossiter, manager of Safety; James McCumber, director of Environmental Health; Dr. James Jacobs, director of Health Services; and Anthony Cullin, director of Public Safety, to learn more about the elements of the University’s institution-wide emergency management program and what you can do to be prepared in the event of an emergency on campus. The Staff 2 Staff session is being held on Thursday, April 23rd at 500 Hall of Languages and begins at noon and will end at 1:30 p.m. To register go to http://humanresources.syr.edu and click on the Staff 2 Staff link.