

From the Office of Institutional Compliance

Role

The Institutional Compliance Committee (ICC) supports Chapman University in providing broad oversight of university-related regulatory issues.

Responsibilities

The ICC:

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.

Membership

The Chair of the ICC is the Chief Compliance Officer.

FY 24-25 membership includes:

Name	Title/Department
Peter Aguila	Senior Compliance Investigator/Institutional Compliance
Gail Nishida (Chair)	Chief Compliance Officer/Institutional Compliance
Linda Young	Director of Internal Audit/Internal Audit
Janine DuMontelle (Advisory)	Vice President & General Counsel/Legal Affairs
VACANT (Advisory)	Senior Associate General Counsel/Legal Affairs
Albert Su (Advisory)	Assistant General Counsel/Legal Affairs
Brian Thomason	Vice President & Controller/Financial Services
Essam Ulhaq	Associate Controller/Financial Services
Helen Norris	Chief Information Officer/IS&T
Keith Barros	Chief Information Security Officer/IS&T
Michelle Sypinero	Assistant Vice President/IS&T
Brenda Rushforth	Vice President/Chief Human Resource Officer
Michael Nee	Assistant Vice President of Employee Care and Recognition/HR
Reg Chhen Stewart	Vice President of Diversity, Equity and Inclusion
Martina Nieswandt	Vice President of Research

Name	Title/Department
Jen Donais	Assistant Vice President of Research
Al Vasquez	Vice President/Enterprise Risk and Safety
Rick Gonzalez	Chief/Public Safety
Colleen Wood	Assistant Vice President/Associate Dean of Students/Lead Title IX Coordinator
Tristan Hilpert	Assistant Dean of Students/Student Affairs
Amy Rogan-Mehta	Vice President/University Advancement
Ross Loehner	Assistant Vice President/Strategic Marketing
Kristin Beavers	Director/Center for Global Education
Eileen Besner	Director of Faculty Advancement/Office of Provost
Jim Whitaker	Associate Vice President for Enrollment/Chief Financial Aid Officer/Office of Enrollment

Meetings

The ICC will meet quarterly or more frequently at the discretion of the Chair.

Revised: July 15, 2024

Approved: July 15, 2024