



STEVENS INSTITUTE OF TECHNOLOGY

Compliance Guide – October 1, 2012

Making Compliance Part of Your Job

Every member of the Stevens community should consider compliance with laws, regulations and Stevens policies as part of his or her job. This responsibility is not only to your supervisor but is also a larger institutional responsibility. For this reason, compliance must be thought of and addressed on an institutional basis.

Keeping current with changes in the laws and regulations which apply to your subject matter area can be challenging and it is important to know that there are University resources available to help you. As you conduct your work, identify areas where you either know or suspect there are compliance and legal issues and reach out for help from others within your office and the University offices identified below on a regular basis.

We all work within departments and units with a supervisory structure and, as a general matter, it is important that we work within those structures. Consulting with colleagues within your department or unit as you plan and conduct your work is important. While you should discuss whether your work presents legal or compliance issues at this level, it is important for all to understand that legal and compliance judgments – including whether or not a legal or compliance issue exists – should be made in consultation with the personnel at Stevens who have experience and training in these areas and hold responsibility for making these judgments on behalf of Stevens. In some situations, your supervisor or another colleague may be “expert” in a particular area and should always be consulted for their guidance. However, seeking legal advice or raising a compliance issue outside of your department does **not** mean that you are questioning your supervisor or another colleague but, rather, should be a practice with which all in the department are comfortable.

Raising a legal or compliance question may take additional time and may involve consulting with others across the University. In all cases, the time and effort spent to raise issues, obtain advice and come to conclusions that Stevens as an institution can be comfortable with are well worth any effort expended. The benefit of collaborating with others across the institution is that a larger group at Stevens will share a common understanding and work together towards a common institutional goal. This attitude towards collaboration should be supported, rewarded and instilled in every member of our community.

Every member of the community should – and should feel free to – seek legal advice and raise compliance questions or issues **directly** with University employees who are here to help. While it is preferable that your supervisor be involved in this discussion to broaden the analysis

and obtain the benefit of the supervisor's expertise, this is not a prerequisite to seeking legal or compliance guidance. Supervisors should, as part of their responsibilities, support their staff in these efforts. Cultivating a community where compliance is valued and supported requires that we work collaboratively across the University and recognize that compliance with law, regulations and policies is an institutional goal that must be managed and administered with broad institutional involvement.

Stevens Resources to Support Compliance

Stevens has a number of offices that are available to work with you to support legal, regulatory and policy compliance and you should feel free to contact any of them. It is advisable that you consult these offices at an early stage of your work. These offices and a brief description of their staffing and functions are below:

1. The Office of Audit Services, Risk and Compliance: This Office is led by the Chief Compliance Officer, Chuck Shaw, who is responsible for overseeing Stevens' compliance efforts, supporting people with questions about compliance, overseeing environmental health and safety and coordinating Stevens' compliance efforts with senior officers of the University and the Board of Trustees. This Office also houses Audit Services which may be involved in audits or investigations on particular compliance matters.

2. The Office of the General Counsel: The Office of the General Counsel (OGC) is led by Kathy Schulz who is responsible for all legal affairs of the University and for identifying outside counsel to assist in particular matters. The Office consists of two attorneys and has experience in a broad range of legal areas. If you believe you have a legal or compliance question, please do not hesitate to reach out to this Office.

3. The Office of Sponsored Programs: The Office of Sponsored Programs (OSP) is responsible for administering Stevens' externally funded grants and contracts. This Office is led by Barbara DeHaven and also has numerous experts on staff including a compliance expert and an export control expert. The grants and contracts administered by this Office require compliance with a large number of state, federal and local laws and regulations as well as adherence to sponsor terms and conditions.

4. Procurement: The Procurement Office, led by Jeff Hadley as Interim Director and Purchasing Manager, works to acquire goods and services on behalf of the University for all purposes including educational, research and administrative purposes. This Office works closely with OGC and OSP to obtain legal advice where necessary and to ensure that procurement contracts comply with the requirements imposed on Stevens due to its status as a federal, state or local contractor.

5. The Office of Human Resources: The Office of Human Resources is available for advice on human resources, compensation, benefits, ERISA, unionized labor and related matters. This Office is led by the Vice President for Human Resources, Mark Samolewicz, who serves as the University's Ombudsman and one of the two Title IX Coordinators appointed by the University (with Joseph Stahley being the other).

These offices work together in a coordinated manner and are led by a Vice President or have a reporting relationship directly to a Vice President. To ensure coordination and overall University compliance, the Vice Presidents are all members of the Risk and Compliance Steering Committee of the University. This Committee meets monthly to review compliance matters at Stevens and evaluate efforts in particular areas. In addition, a separate Risk and Safety Committee meets monthly to focus on compliance issues involving safety and health issues. These Committees report to the Audit Committee of the Stevens Board of Trustees on a periodic basis.

To assist the University in investigating or otherwise dealing with compliance matters, it is critically important that all members of the Stevens community comply promptly with any requests or inquiries from the Office of the General Counsel or the Office of Compliance, Risk and Audit Services. All members of the Stevens community are instructed that they should – and should feel free to – comply with any such request or inquiry (including requests for documents or materials which would otherwise be considered confidential) in a direct manner and without the need to first notify or involve a supervisor or other person.

Methods for Reporting Compliance Issues

Compliance issues may be reported directly to any of the offices listed above. If you wish to raise an issue, please raise it promptly and responsibly. While you may first discuss the matter with your supervisor, you are not required to do so.

Stevens instituted a Compliance Hotline (<http://www.stevens.edu/sit/trustees/general-counsel>) in November, 2011, which may be used to report complaints or compliance problems on an identified or anonymous basis. Reports which are directed to the Hotline are reviewed by a small group of senior personnel and responded to within the online program. The timing for a response will vary depending upon the matter.

Stevens has adopted a policy known as the Conscientious Employee or “Whistle-blower” Protection Policy (http://www.stevens.edu/provost/fileadmin/provost/pdf/Whistle-Blower_Policy_10dec2010.pdf). Stevens will not take or permit to be taken any retaliatory action against an employee who reports a compliance concern in compliance with this Policy or otherwise as directed by this Guide.

This Guide does not purport to identify any particular legal or compliance matter but is intended to help members of the Stevens community in thinking about these matters. If you have questions about your work or office, what specific legal and compliance requirements apply, or otherwise have questions about this Guide, please reach out to the Offices described above. This Guide will be updated once each academic year.