

Risk Management

Hire Compliance Officer

Goal Description:

Compliance Officer hired 7/18/2016.

RELATED ITEMS -----

RELATED ITEM LEVEL 1

Best Practices for Compliance Programs

Learning Objective Description:

Compliance Officer has developed guidelines for a Compliance Program to include a Committee.

RELATED ITEM LEVEL 2

Effective Compliance Program

Indicator Description:

Draft program that addresses federal, state, TSUS regulations for presentation to Cabinet.

Attached Files

 [Compliance Program Charter](#)

 [Compliance Matrix Q2](#)

Criterion Description:

Review and benchmark appropriate federal, state, TSUS regulations.

Regulations that pose significant risk to operations and/or reputation.

Implement and chair a formal Institutional Compliance Committee.

Develop and publish the Institutional Compliance Website.

Findings Description:

*Compliance Charter Approved

*Committee Approved, Members Selected, Inaugural Meeting 6/2017.

*Institutional Compliance Website Developed and Published.

...Link - <http://www.shsu.edu/dept/human-resources/compliance/index.html>

*Compliance Officer is approximately 95% complete with identifying personnel responsible for the approximately 250 documents necessary for compliance with federal, state, local and institutional compliance.

Minimize Risk To Employees And Facilities

Goal Description:

The primary goal of the Risk Management Department is to minimize risk to employees and facilities.

RELATED ITEMS -----

RELATED ITEM LEVEL 1

Emergency Operations Planning

Performance Objective Description:

Completion of the Emergency Operations Plan (EOP) including functional annexes necessary to achieve level of preparedness defined as "Basic" based on criteria established by the Texas Division of Emergency Management.

NOTE: This function has been moved to UPD to commence 9/1/2016.

RELATED ITEM LEVEL 2

Basic BCP Checklist/Crosswalk

KPI Description:

A checklist (Texas Continuity Crosswalk) will be used to document progress in completing the basic Business Continuity Plan (BCP). The goal for completion is December 2014. Once the Basic plan is complete, we want to sustain the basic level through training and simulation exercises. Exercises are evaluated according to the Homeland Security Exercise and Evaluation Program(HSEEP).

Results Description:

RELATED ITEM LEVEL 2

Consultant Selection**KPI Description:**

Selection of a consultant by 1/30/2013 to develop the University's Business Continuity Plan is paramount to the completion of the Emergency Operations Planning objective. The consultant is to deliver the completed plan by 10/1/2014. The criteria for selecting the consultant is identified in the attached Request for Proposal.

Results Description:

RELATED ITEM LEVEL 2

Training Sessions**KPI Description:**

Purchase and/or develop safety training programs for SHSU employees.

Develop a golf cart policy (Slow Moving Vehicles).

Attached Files

 [Final Drive Slow Moving Vehicles](#)

 [List of Available Safety Training Programs](#)

Results Description:

* Reviewed safety programs provided by Risk Management consultants USI. Their program is Tin Can compliant and would not work with our current LMS. SHSU LMS will become Tin Can compliant by 1/2018 and the USI training program will be reviewed again.

* Developed a golf cart safety programs and revised the Slow Moving Vehicle (Golf Cart) Guidelines.

* Purchased a comprehensive safety training program package from Simply Compliance. Approximately 98 training programs will be available to SHSU personnel either on line or via classroom training. Training throughout the year is intended to ensure compliance.