**UNIVERSITY OF HOUSTON-Clear Lake COMPLIANCE MATRIX**

This **Compliance Matrix** details the decentralized matrix of University of Houston – Clear Lake and administrators responsible for specific compliance areas, coordinated and supported by the Office of General Counsel, the Office of Internal Audit, and the Chief Compliance Officer.

The **Accountable Senior Officer with Oversight Responsibilities** “**Responsible Person”** is a member of Administration with overall operational responsibility for the designated compliance area.

The **Functionally Responsible Contact is the administrator or staff member with day-to-day responsibility for the designated compliance area.**

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| Compliance Area | Accountable Department/Office | Accountable Senior Officer with Oversight Responsibilities“Responsible Person” | Functionally Responsible Contact | Representative Issues | Representative Laws and Guidance |
| Academic Affairs Division | Academic Affairs and Provost | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu | Kathryn Matthew, Vice ProvostMatthew@uhcl.eduCollege Deans | Faculty appointments, reappointments, promotions, and tenure; privacy; budgets; SACSAcademic Fee Management Equity Balances; ensuring financial accountability and compliance with state and university guidelinesAcademic honesty | Title VI, VII, IX of Civil Rights Act; FERPA; Texas Ed Code; Faculty HandbookSAM 03.G.01SAMs related to financial accountability |
| Accounting/Fiscal Management | Business Operations  | Mark Denney, Sr. AVP for FinanceDenney@UHCL.edu | Sherry Hawn, AVP – Business OperationsHawn@UHCL.eduDirector – Accounts PayableRosie PinedaPinedaR@uhcl.eduDirector – General Accounting Mila BautistaBautistaM@UHCL.edu | Internal controls; property inventory; accounting, financial reporting, travel, and payment for expenditures | Tax Code; Texas Ed Code; Red Flag Rules |
| Accreditation | Academic Affairs and Provost | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu | Kathryn Matthew, Vice ProvostMatthew@uhcl.edu | University accreditation (SACS); UHCL Quality Enhancement Plan (QEP) | HEOA, SARA, SACSCOC and Programmatic Accreditations; THECB reporting requirements |
| Admissions | Strategic Enrollment Management | Matt Aschenbrener, Vice President Strategic Enrollment Management aschenbrener@uhcl.edu | *Director - Undergrad Admissions* - Brandon Byrd ByrdB@UHCL.edu*Director Admissions Processing* ***-*** Miltonieka Gray-Bell graybell@UHCL.edu*Director, Transfer Adv. & Stdt. Transit*Kristi RickmanRickman@UHCL.edu | Privacy; eligibility for Title IV funds; diversity; non-discrimination | ADA, FERPA, USERRA, Title IV and IX, HEOA, Veterans Programs, DOE Program Integrity Rules; Texas Ed Code |
| Advancement/Planned Giving | University Advancement  | Joe Staley, VP University AdvancementStaleyJ@UHCL.edu | Sherrie Mueller – Director of Planned and Major GiftsMuellerSh@UHCL.edu | Donor instructions; IRS rules on gifts/endowments; state regs on solicitation and confidentiality of donor identity | State registration requirements; Gift terms; IRS regulations; Philanthropy Act of 1995; CAN-SPAM Act |
| Assets, Endowment, Banking | Administration and Finance (Treasury) | Mark Denney, Sr. AVP for FinanceDenney@UHCL.edu | Sherry Hawn, AVP – Business OperationsHawn@UHCL.edu | Endowment spending; fiduciary obligations; public finance | SEC regulations; State and Federal banking regulations; IRS Regulations; UPMIFA, GLBA |
| Campus Safety and Security | UHCL Police Department  | Mark Denney, Sr. AVP for FinanceDenney@UHCL.edu | Russell Miller,Chief of PoliceMillerR@UHCL.edu*Law Enforcement*:Police CaptainLt Kyle PirtlePirtle@UHCL.edu*Clery and related compliance*\* Clery CoordinatorKelley ReidReidKel@UHCL.edu | Emergency planning; law enforcement; campus carry enforcement Clery Act Reporting, VAWA compliance and reporting; Campus SaVE Act reporting | Clery Act; The Campus Sexual Assault Victim Bill of Rights; Campus Sex Crimes Prevention Act; Title IX; VAWA; Campus SaVE Act; Campus Carry law  |
| Compliance and Ethics | Office of Compliance and Ethics | Yolanda Nimmer-Williams, Director – Compliance NimmerWillia@uhcl.edu  | Stacy Zellner, Policy CoordinatorZellnerS@uhcl.edu  | Ethical culture; compliance issues; compliance training | Federal Sentencing Guidelines for Organizations; Federal Ethics statutes; Texas Government and Penal Code; OMB Uniform Guidance; FAR |
| Contract Administration  | Business Operations  | Mark Denney, Sr. AVP for FinanceDenney@UHCL.edu | Sherry Hawn, AVP – Business OperationHawn@UHCL.eduExecutive Director ProcurementDebbie Carpentercarpenter@uhcl.edu | Contract administration; compliance with relevant state contracting laws  | Texas Government Code; Texas Education Code |
| Copyright | Information Technology | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.eduDona Cornell, VP, General Counsel dhcornell@uh.edu Maynard@UHCL.edu |  LeeBrian Gaskins, Sr. Associate VP for Information TechnologyGaskins@UHCL.eduAnthony Scaturro – Information Security OfficerScaturro@UHCL.edu | Fair Use; course materials; music downloads; university logos and licensing; peer to peer file sharing  | Digital Millennium Copyright Act; Copyright Act; HEOA; Visual Arts Rights Act; Bayh-Dole Act; CREATE Act; Copyright Term Extension Act; Lanham Act; Trademark Revision Act; TEACH Act |
| Disability Accommodations (Students)Disability Accommodations (Employees) | Accessibility Support Center | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.eduMark Denney, Sr. AVP for FinanceDenney@UHCL.edu | Tim Richardson, Associate VP Student Success RichardsonT@UHCL.eduJ’Naudia Hunter, Director, Accessibility Support CenterHunterJD@UHCL.eduYolanda Edmond – AVP, Human Resources / CHROEdmondY@Uhcl.edu  | Access to buildings; accommodations in courses and workplace | ADA (Title I and III); Section 504 of Rehabilitation Act of 1973 |
| Equal Opportunity  | Equity and Title IX | Brice Yates, Executive Director – Hispanic Serving Institution (HIS) and Minority Serving Institution (MSI) Strategic InitiativesYatesB@UHCL.eduDavid Brittain, Title IX and Equal Opportunity OfficerBrittainD@UHCL.edu | Brice Yates, Executive Director – Hispanic Serving Institution (HIS) and Minority Serving Institution (MSI) Strategic InitiativesYatesB@UHCL.eduDavid Brittain, Title IX and Equal Opportunity OfficerBrittainD@UHCL.edu | Discrimination in hiring/promoting practices; gender discrimination; age discrimination; hostile work environment; Title IX compliance | Age Discrimination Act; Exec Order 11246(AA), Equal Pay Act, Title VI, VII, IX; Fair Housing Act; Pregnancy Discrim. Act; FMLA; Older Workers Benefit Protection Act; Uniformed Services Employment and Reemployment Act |
| Emergency Management | Office of Emergency Management | Mark Denney, Sr. AVP for FinanceDenney@UHCL.edu | Russell Miller,Chief of PoliceMillerR@UHCL.eduAlbert Black, Director – Environment Health and Safety and Emergency Mgt. BlackA@UHCL.edu | Emergency preparedness planning; continuity of operations planning; emergency operations center | Texas Education Code (multi-hazard emergency operations plan); State Office of Risk Management Continuity Policy  |
| Environmental Health & Safety | Environmental, Health and Safety | Mark Denney, Sr. AVP for FinanceDenney@UHCL.edu | Russell Miller,Chief of PoliceMillerR@UHCL.eduAlbert Black, Director – Environment Health and Safety and Emergency Mgt. BlackA@UHCL.edu | Lab safety; waste managementVehicle, fire, building and facilities safety and codes | OSHA, CERCLA, Toxic Substance Control Act, Clean Air Act, Clean Water Act; NFPA 1, NFPA 2 |
| Export Control | Office of Sponsored Programs | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu | Kathryn Matthew, Vice ProvostMatthew@uhcl.edu | Research publication restrictions; shipment and deemed export of data technology, biological and chemical materials to a foreign country; I-129 new hire license determination; technology control plans; guidance on travel to embargoed or sanctioned country for research or teaching; travel with export controls-related equipment, tech, or data; CITI training; unmanned aircraft systems related to research | US Dep’t of Commerce Bureau of Industry and Security (BIS) through its Export Administration Regs (EAR); US Dep’t of State Directorate of Defense Trade Controls (DDTC) through International Traffic in Arms Regs (ITAR); US Dep’t of Treasury Office of Foreign Assets Control (OFAC) NSDD 189 |
| Facilities | Facilities, Maintenance, and Construction | Mark Denney, Sr. AVP for FinanceDenney@UHCL.edu | Bubba L. Jones, Interim AVP FacilitiesJonesBu@uhcl.edu | Contract processing and management, financial control management, business oversight (IT, customer service, communications)Campus maintenance and operations; minor planned construction and repair projects managementCapital level construction management; THECB capital expenditure reporting; facilities inventory certificationProject development, deferred maintenance fund distribution, BOR approval | TCEQ regs, Life Safety Code, THECB reporting and approval requirements; Tex. Education Code §61  |
| Financial Aid | Strategic Enrollment Management  | Matt Aschenbrener, Vice President Strategic Enrollment Management aschenbrener@uhcl.edu | Holly Nolan, Executive Dir., Fin. Aid ComplianceNolan@UHCL.edu | Eligibility for Title IV funds; federal work study; federal and state awards and disbursements; reporting obligations | Title IV; THECB; Gainful Employment Regulations; HEOA; FERPA; Solomon Amendment; OMB Circular A-21; IRC; UPMIFA; Student Loan Default Prevention Initiative Act |
| Governance | Office of General Counsel | Dona Cornell, VP, General Counsel dhcornell@uh.edu  | Valerie Coleman-Ferguson – Associate General CounselVIFerguson@uh.edu  | Transparency; conflicts of interest; Regent duties and responsibilities; governance; ethics | Open Meetings Act; Texas Government Code Title VI; Texas Education Code Ch. 111; SACS; BOR policies |
| Grant Administration | Academic Affairs - Office of Sponsored Programs | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu | Kathryn Matthew, Vice ProvostMatthew@uhcl.edu | Pre and Post Award Requirements; Financial Reporting; Regulatory Review; Effort Reporting | OMB Uniform Guidance; HEOA; HHS/NIH Regulations; Byrd Amendment; Texas Education Code |
| Human Resources | Human Resources | Mark Denney, Sr. AVP for FinanceDenney@UHCL.edu | Yolanda Edmond, AVP – Human Resources/CHROEdmondY@uhcl.edu*Director, HR Operations*Erika DeLeonDeLeon@UHCL.eduDirector, HR ServicesAbby VarelaVarela@UHCL.edu | Employment benefits; FMLA; USERRA; wage/hour; personnel policies; recruiting/hiring; training; termination and early retirement; I-9 verification; grievances | FLSA; FMLA; FCRA, Drug-Free Workplace Act; FACTA; Immigration & Nationality Act; Labor Management Relations Act; OWBPA; USERRA |
| Immigration (Nonimmigrant Students and J Visa Exchange Visitors) | Academic Affairs - Global Learning and Strategy | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu | Vacant, Global Learning and Strategy | Visa status; eligibility for student employment | Immigration & Nationality Act; F Visa and J Visa regulations  |
| Immigration (Faculty and Staff) | Office of General Counsel/Human Resources | Dona Cornell, VP, General Counsel dhcornell@uh.edu | Valerie Coleman-Ferguson – Associate General CounselVIFerguson@uh.eduYolanda Edmond, AVP – Human Resources/CHROEdmondY@uhcl.edu | Visa status; eligibility for employment | Immigration & Nationality Act |
| Intellectual Property & Technology Transfer | Academic Affairs – Sponsored Programs | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu | Kathryn Matthew, Vice ProvostMatthew@uhcl.edu | Research-related invention disclosures; technology licensing; commercialization and patents | Bayh-Dole Act; Tech Transfer Act; Dep’t of Commerce regs; NIH guidelines  |
| International Activities and Programs | Academic Affairs | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu | Vacant, Associate Vice President, Global Learning and Strategy*Director – Int’l Admissions & Student Services*Johna Ma’Lena McClendonMcClendonJ@UHCL.edu*Executive Director, Education Abroad/Sch Serv.*Bianca SchonbergSchonberg@UHCL.edu | Foreign scholars and students; study abroad; visiting artists and lecturers | Immigration and Nationality Act; SEVIS regs; Mutual Education and Cultural Exchange Act |
| Information Technology/Privacy & Security | Academic Affairs – Information Technology | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu | LeeBrian Gaskins, Sr. Associate VP for Information TechnologyGaskins@UHCL.eduAnthony Scaturro – Information Security OfficerScaturro@UHCL.edu  | Privacy; identity theft; virus and hacking prevention | FISMA; FERPA; HIPAA; Texas Privacy Act; GDPR; Gramm Leach Bliley Act; Digital Millennium Copyright Act; No Electronic Theft Act; FACTA |
| Marketing and Communications | Marketing and Communications | Joe Staley, VP University Advancement StaleyJ@UHCL.edu | Daniel Ramirez, AVP Marketing and Communicationsramirezd@UHCL.eduValerie Coleman-Ferguson – Associate General CounselVIFerguson@uh.edu | UHCL Branding; Public Relations; Media Relations; Campus Communications and Trademark Management (legal protection, management and enforcement of the rights of the Marks of the Board, the System and the component universities) | SAM 01.D.03 – Trademark Management |
| Military and Veterans Services | Military and Veterans Services | Tina Powellson, VP Student Affairstina.powellson@uhcl.edu | Jason Babin, Executive Director – Military and Veteran Servicesbabin@uhcl.edu |  | Hazelwood; VA Certification; Veterans Program; HEA 34.C.F.R. §668.18 |
| Minors on Campus | Campus Program for Minors | Yolanda Nimmer-WilliamsDirector – Compliance NimmerWillia@uhcl.edu | Yolanda Nimmer-WilliamsDirector – Compliance NimmerWillia@uhcl.eduEsther HerreraSenior Manager, Training & DevelopmentHerreraEs@uhcl.edu  | Campus programs for minors | TEC § 51.976 |
| Purchasing/Procurement | Purchasing | Mark Denney, Sr. AVP for FinanceDenney@UHCL.edu | Sherry Hawn, AVP – Business OperationsHawn@UHCL.edu*Executive Director, Auxiliary & Procurement*Debra Carpentercarpenter@uhcl.edu | Contract administration; compliance state purchasing rules; procurement process | Texas Government Code; OMB Uniform Guidance; FAR, Anti-Kickback Act; Contracts Dispute Act; E-Sign Act; Davis-Bacon Act |
| Records  | Office of the General Counsel | Dona Cornell, VP, General Counsel dhcornell@uh.edu |  | Record retention; litigation holds; response to Public Information Act requests; discovery requests | [Texas Public Information Act](http://www.uh.edu/legal-affairs/general-counsel/texas-public-information/); FERPA; HIPAA |
| Research Animal Care and Use | Office of Sponsored Programs | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu | Kathryn Matthew, Vice ProvostMatthew@uhcl.edu | The care and use of animals in biomedical research  | Animal Welfare Act, National Institutes of Health Office of Laboratory Animal Welfare, United States Department of Agriculture, AAALAC International   |
| Research Ethics/Compliance | Research integrity & Oversight | Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu | Kathryn Matthew, Vice ProvostMatthew@uhcl.edu | Regulatory and ethical aspects of research involving:* Human Subjects
* Animal Research
* Research Conflict of Interest
* Research Misconduct
* Responsible Conduct of Research
 | DHHS; PHS; USDA; FDA; ORI; NIH/NSF; FERPA; HIPAA; AAALAC accreditation |
| Residential Life and Housing  | Student Housing & Residential Life | Tina Powellson, VP Student Affairstina.powellson@uhcl.edu | Mathew Perry, Director - Residential LifePerryM@UHCL.edu | Reasonable accommodations; student allergies | ADA; OSHA; State and local regs; Clery Act |
| Risk Management | Risk Management | Mark Denney, Sr. AVP for FinanceDenney@UHCL.edu | Sherry Hawn, AVP – Business OperationsHawn@UHCL.eduLidia Quiroga – Contract Administration SpecialistQuirogaLi@UHCL.edu | Property and liability insurance; workers compensation; drones | Insurance claims; TX Workers’ Compensation Act |
| Sexual Violence and Sexual Harassment (Student) | Center for Student Advocacy and Community (CSAC) | Tina Powellson, VP Student Affairstina.powellson@uhcl.eduDavid Brittain, Title IX and Equal Opportunity OfficerBrittainD@UHCL.edu | LaToya Mills-Thomas, Director – Center for Student Advocacy and Community (CSAC)David Brittain, Title IX and Equal Opportunity OfficerBrittainD@UHCL.edu | Sexual assault and harassment; stalking  | Title IX; Violence Against Women Act; Campus Sex Crimes Prevention Act, FERPA |
| Student Affairs | Dean of Students | Tina Powellson, VP Student Affairstina.powellson@uhcl.edu | David Rachita, Dean of Studentsrachita@uhcl.edu | Student organizations; student discipline; residential life; ADA/504 in housing and educational programs | ADA/Rehabilitation Act of 1973; FERPA; HEOA; Title IX; Texas Ed Code |
| Student Health Services | Health Center / Counseling /  | Tina Powellson, VP Student Affairstina.powellson@uhcl.edu | Regina Pickett, Director Student Health CenterPickett@UHCL.edu*Executive Director, Counseling, Health & Career Services* Cindy Cookcookc@uhcl.edu | Health care privacy | HIPAA, HITECH and FERPA |
| Support Organizations  | Office of Advancement | Joe Staley, VP University AdvancementStaleyJ@UHCL.edu | Sherrie Mueller – Director of Planned and Major GiftsMuellerSh@UHCL.edu | Expenses, scholarship criteria | SAM 08.A.02 -- Private Support Organizations and Foundations |