**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](mailto:Maynard@UHCL.edu) | Kathryn Matthew, Vice Provost  [Matthew@uhcl.edu](mailto:Matthew@uhcl.edu)  College Deans | Faculty appointments, reappointments, promotions, and tenure; privacy; budgets; SACS  Academic Fee Management Equity Balances; ensuring financial accountability and compliance with state and university guidelines  Academic honesty | Title VI, VII, IX of Civil Rights Act; FERPA; Texas Ed Code; Faculty Handbook  SAM 03.G.01  SAMs related to financial accountability |
| Accounting/Fiscal Management | Business Operations | Mark Denney, Sr. AVP for Finance  [Denney@UHCL.edu](mailto:Denney@UHCL.edu) | Sherry Hawn, AVP – Business Operations  [Hawn@UHCL.edu](mailto:Hawn@UHCL.edu)  Director – Accounts Payable  Rosie Pineda  [PinedaR@uhcl.edu](mailto:PinedaR@uhcl.edu)  Director – General Accounting  Mila Bautista  [BautistaM@UHCL.edu](mailto:BautistaM@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](mailto:Maynard@UHCL.edu) | Kathryn Matthew, Vice Provost  [Matthew@uhcl.edu](mailto:Matthew@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](mailto:aschenbrener@uhcl.edu) | *Director - Undergrad Admissions* - Brandon Byrd  [ByrdB@UHCL.edu](mailto:ByrdB@UHCL.edu)  *Director Admissions Processing* ***-*** Miltonieka Gray-Bell  [graybell@UHCL.edu](mailto:graybell@UHCL.edu)  *Director, Transfer Adv. & Stdt. Transit*  Kristi Rickman  [Rickman@UHCL.edu](mailto:Rickman@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 Advancement  [StaleyJ@UHCL.edu](mailto:StaleyJ@UHCL.edu) | Sherrie Mueller – Director of Planned and Major Gifts  [MuellerSh@UHCL.edu](mailto:MuellerSh@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 Finance  [Denney@UHCL.edu](mailto:Denney@UHCL.edu) | Sherry Hawn, AVP – Business Operations  [Hawn@UHCL.edu](mailto:Hawn@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 Finance  [Denney@UHCL.edu](mailto:Denney@UHCL.edu) | Russell Miller,Chief of Police  [MillerR@UHCL.edu](mailto:MillerR@UHCL.edu)  *Law Enforcement*:  Police Captain  Lt Kyle Pirtle  [Pirtle@UHCL.edu](mailto:Pirtle@UHCL.edu)  *Clery and related compliance*  \* Clery Coordinator  Kelley Reid  [ReidKel@UHCL.edu](mailto:ReidKel@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](mailto:NimmerWillia@uhcl.edu) | Stacy Zellner, Policy Coordinator  [ZellnerS@uhcl.edu](mailto:ZeenerS@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 Finance  [Denney@UHCL.edu](mailto:Denney@UHCL.edu) | Sherry Hawn, AVP – Business Operation  [Hawn@UHCL.edu](mailto:Hawn@UHCL.edu)  Executive Director Procurement  Debbie Carpenter  [carpenter@uhcl.edu](mailto:carpenter@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.edu](mailto:Maynard@UHCL.edu)  Dona Cornell, VP, General Counsel dhcornell@uh.edu [Maynard@UHCL.edu](mailto:Maynard@UHCL.edu) | LeeBrian Gaskins, Sr. Associate VP for Information Technology  [Gaskins@UHCL.edu](mailto:Gaskins@UHCL.edu)  Anthony Scaturro – Information Security Officer  [Scaturro@UHCL.edu](mailto:Scaturro@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.edu](mailto:Maynard@UHCL.edu)  Mark Denney, Sr. AVP for Finance  [Denney@UHCL.edu](mailto:Denney@UHCL.edu) | Tim Richardson, Associate VP Student Success  [RichardsonT@UHCL.edu](mailto:RichardsonT@UHCL.edu)  J’Naudia Hunter, Director, Accessibility Support Center  [HunterJD@UHCL.edu](mailto:HunterJD@UHCL.edu)  Yolanda Edmond – AVP, Human Resources / CHRO  [EdmondY@Uhcl.edu](mailto:EdmondY@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 Initiatives  [YatesB@UHCL.edu](mailto:YatesB@UHCL.edu)  David Brittain, Title IX and Equal Opportunity Officer  [BrittainD@UHCL.edu](mailto:BrittainD@UHCL.edu) | Brice Yates, Executive Director – Hispanic Serving Institution (HIS) and Minority Serving Institution (MSI) Strategic Initiatives  [YatesB@UHCL.edu](mailto:YatesB@UHCL.edu)  David Brittain, Title IX and Equal Opportunity Officer  [BrittainD@UHCL.edu](mailto:BrittainD@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 Finance  [Denney@UHCL.edu](mailto:Denney@UHCL.edu) | Russell Miller,Chief of Police  [MillerR@UHCL.edu](mailto:MillerR@UHCL.edu)  Albert Black, Director – Environment Health and Safety and Emergency Mgt.  [BlackA@UHCL.edu](mailto: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 Finance  [Denney@UHCL.edu](mailto:Denney@UHCL.edu) | Russell Miller,Chief of Police  [MillerR@UHCL.edu](mailto:MillerR@UHCL.edu)  Albert Black, Director – Environment Health and Safety and Emergency Mgt.  [BlackA@UHCL.edu](mailto:BlackA@UHCL.edu) | Lab safety; waste management  Vehicle, 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](mailto:Maynard@UHCL.edu) | Kathryn Matthew, Vice Provost  [Matthew@uhcl.edu](mailto:Matthew@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 Finance  [Denney@UHCL.edu](mailto:Denney@UHCL.edu) | Bubba L. Jones, Interim AVP Facilities  [JonesBu@uhcl.edu](mailto:Kitchen@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 management  Capital level construction management; THECB capital expenditure reporting; facilities inventory certification  Project 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](mailto:aschenbrener@uhcl.edu) | Holly Nolan, Executive Dir., Fin. Aid Compliance  [Nolan@UHCL.edu](mailto:Nolan@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](mailto:dhcornell@uh.edu) | Valerie Coleman-Ferguson – Associate General Counsel  [VIFerguson@uh.edu](mailto:VIFerguson@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](mailto:Maynard@UHCL.edu) | Kathryn Matthew, Vice Provost  [Matthew@uhcl.edu](mailto:Matthew@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 Finance  [Denney@UHCL.edu](mailto:Denney@UHCL.edu) | Yolanda Edmond, AVP – Human Resources/CHRO  [EdmondY@uhcl.edu](mailto:villarrealma@uhcl.edu)  *Director, HR Operations*  Erika DeLeon  [DeLeon@UHCL.edu](mailto:DeLeon@UHCL.edu)  Director, HR Services  Abby Varela  [Varela@UHCL.edu](mailto:Varela@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](mailto: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](mailto:dhcornell@uh.edu) | Valerie Coleman-Ferguson – Associate General Counsel  [VIFerguson@uh.edu](mailto:VIFerguson@uh.edu)  Yolanda Edmond, AVP – Human Resources/CHRO  [EdmondY@uhcl.edu](mailto:villarrealma@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](mailto:Maynard@UHCL.edu) | Kathryn Matthew, Vice Provost  [Matthew@uhcl.edu](mailto:Matthew@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](mailto:Maynard@UHCL.edu) | Vacant, Associate Vice President, Global Learning and Strategy  *Director – Int’l Admissions & Student Services*  Johna Ma’Lena McClendon  [McClendonJ@UHCL.edu](mailto:McClendonJ@UHCL.edu)  *Executive Director, Education Abroad/Sch Serv.*  Bianca Schonberg  [Schonberg@UHCL.edu](mailto:Schonberg@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](mailto:Maynard@UHCL.edu) | LeeBrian Gaskins, Sr. Associate VP for Information Technology  [Gaskins@UHCL.edu](mailto:Gaskins@UHCL.edu)  Anthony Scaturro – Information Security Officer  [Scaturro@UHCL.edu](mailto:Scaturro@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](mailto:StaleyJ@UHCL.edu) | Daniel Ramirez, AVP Marketing and Communications  [ramirezd@UHCL.edu](mailto:ramirezd@UHCL.edu)  Valerie Coleman-Ferguson – Associate General Counsel  [VIFerguson@uh.edu](mailto:VIFerguson@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 Affairs  [tina.powellson@uhcl.edu](mailto:tina.powellson@uhcl.edu) | Jason Babin, Executive Director – Military and Veteran Services  [babin@uhcl.edu](mailto:babin@uhcl.edu?subject=) |  | Hazelwood; VA Certification; Veterans Program; HEA 34.C.F.R. §668.18 |
| Minors on Campus | Campus Program for Minors | Yolanda Nimmer-Williams  Director – Compliance  [NimmerWillia@uhcl.edu](mailto:tina.powellson@uhcl.edu) | Yolanda Nimmer-Williams  Director – Compliance  [NimmerWillia@uhcl.edu](mailto:tina.powellson@uhcl.edu)  Esther Herrera  Senior Manager, Training & Development  [HerreraEs@uhcl.edu](mailto:HerreraEs@uhcl.edu) | Campus programs for minors | TEC § 51.976 |
| Purchasing/Procurement | Purchasing | Mark Denney, Sr. AVP for Finance  [Denney@UHCL.edu](mailto:Denney@UHCL.edu) | Sherry Hawn, AVP – Business Operations  [Hawn@UHCL.edu](mailto:Hawn@UHCL.edu)  *Executive Director, Auxiliary & Procurement*  Debra Carpenter  [carpenter@uhcl.edu](mailto:carpenter@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](mailto: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](mailto:Maynard@UHCL.edu) | Kathryn Matthew, Vice Provost  [Matthew@uhcl.edu](mailto:Matthew@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](mailto:Maynard@UHCL.edu) | Kathryn Matthew, Vice Provost  [Matthew@uhcl.edu](mailto:Matthew@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 Affairs  [tina.powellson@uhcl.edu](mailto:tina.powellson@uhcl.edu) | Mathew Perry, Director - Residential Life  [PerryM@UHCL.edu](mailto:PerryM@UHCL.edu) | Reasonable accommodations; student allergies | ADA; OSHA; State and local regs; Clery Act |
| Risk Management | Risk Management | Mark Denney, Sr. AVP for Finance  [Denney@UHCL.edu](mailto:Denney@UHCL.edu) | Sherry Hawn, AVP – Business Operations  [Hawn@UHCL.edu](mailto:Hawn@UHCL.edu)  Lidia Quiroga – Contract Administration Specialist  [QuirogaLi@UHCL.edu](mailto:QuirogaLi@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 Affairs  [tina.powellson@uhcl.edu](mailto:tina.powellson@uhcl.edu)  David Brittain, Title IX and Equal Opportunity Officer  [BrittainD@UHCL.edu](mailto:BrittainD@UHCL.edu) | LaToya Mills-Thomas, Director – Center for Student Advocacy and Community (CSAC)  David Brittain, Title IX and Equal Opportunity Officer  [BrittainD@UHCL.edu](mailto:BrittainD@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 Affairs  [tina.powellson@uhcl.edu](mailto:tina.powellson@uhcl.edu) | David Rachita, Dean of Students  [rachita@uhcl.edu](mailto:rachita@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 Affairs  [tina.powellson@uhcl.edu](mailto:tina.powellson@uhcl.edu) | Regina Pickett, Director Student Health Center  [Pickett@UHCL.edu](mailto:Pickett@UHCL.edu)  *Executive Director, Counseling, Health & Career Services*  Cindy Cook  [cookc@uhcl.edu](mailto:cookc@uhcl.edu) | Health care privacy | HIPAA, HITECH and FERPA |
| Support Organizations | Office of Advancement | Joe Staley, VP University Advancement  [StaleyJ@UHCL.edu](mailto:StaleyJ@UHCL.edu) | Sherrie Mueller – Director of Planned and Major Gifts  [MuellerSh@UHCL.edu](mailto:MuellerSh@UHCL.edu) | Expenses, scholarship criteria | SAM 08.A.02 -- Private Support Organizations and Foundations |