
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.

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	Dr. Edward R. Waller, Interim SR VP Academic Affairs & Provost Waller@Uuhcl.edu	Kathryn Matthew, Vice Provost 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	Terry Hanson, VP for Administration and Finance HansonT@uhcl.edu	Dr. Deepu Kurian, AVP – Business Operations kurian@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	Dr. Edward R. Waller, Interim SR VP Academic Affairs & Provost Waller@Uuhcl.edu	Kathryn Matthew, Vice Provost Matthew@uhcl.edu	University accreditation (SACS); UHCL Quality Enhancement Plan (QEP)	HEOA, SARA, SACSCOC and Programmatic Accreditations; THECB reporting requirements

Admissions	Strategic Enrollment Management	Dr. Ann Theodori, Vice President Strategic Enrollment Management Theodori@uhcl.edu	<i>AVP, Recruit & Admissions</i> Ana Rodriguez RodriguezAna@uhcl.edu <i>Director Admissions Processing -</i> Miltonieka Gray-Bell graybell@UHCL.edu <i>Director, Transfer Adv. & Std. Transit</i> Kristi Rickman 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	Sherrie Mueller – Director of Planned and Major Gifts 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)	Terry Hanson, VP for Administration and Finance HansonT@uhcl.edu	Dr. Deepu Kurian, AVP – Business Operations kurian@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	Terry Hanson, VP for Administration and Finance HansonT@uhcl.edu	Russell Miller, Chief of Police MillerR@UHCL.edu <i>Law Enforcement.</i> Assistant Chief Andrea Black blackaj@uhcl.edu <i>Clery and related compliance</i> * Clery Coordinator Damon Hines HinesD@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 Coordinator ZellnerS@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	Terry Hanson, VP for Administration and Finance Baylor@UHCL.edu	Dr. Deepu Kurian, AVP – Business Operations kurian@uhcl.edu	Contract administration; compliance with relevant state contracting laws	Texas Government Code; Texas Education Code

Copyright	Information Technology	<p>Dr. Edward R. Waller, Interim SR VP Academic Affairs & Provost Maynard@UHCL.edu</p> <p>Dona Cornell, VP, General Counsel dhcornell@uh.edu Maynard@UHCL.edu</p>	<p>LeeBrian Gaskins, Sr. Associate VP for Information Technology Gaskins@UHCL.edu</p> <p>Gautam Taneja – Information Security Officer-UHCL gtaneja@Central.UH.Edu</p>	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)	Accessibility Support Center	Terry Hanson, VP for Administration and Finance HansonT@uhcl.edu	<p>Tim Richardson, Associate VP Student Success RichardsonT@UHCL.edu</p> <p>Dr. J’Naudia Hunter, Director, Accessibility Support Center HunterJD@UHCL.edu</p>	Access to buildings; accommodations in courses and workplace	ADA (Title I and III); Section 504 of Rehabilitation Act of 1973
Disability Accommodations (Employees)		Terry Hanson, VP for Administration and Finance HansonT@uhcl.edu	Cynthia Springer – AVP, Human Resources / CHRO springerC@uhcl.edu		
Equal Opportunity	Equity and Title IX	David Brittain, Title IX and Equal Opportunity Officer BrittainD@UHCL.edu	David Brittain, Title IX and Equal Opportunity Officer 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 Discrimination Act; FMLA; Older Workers Benefit Protection Act; Uniformed Services Employment and Reemployment Act
Emergency Management	Office of Emergency Management	Terry Hanson, VP for Administration and Finance HansonT@uhcl.edu	<p>Russell Miller, Chief of Police MillerR@UHCL.edu</p> <p>Albert Black, Director – Emergency Mgt. BlackA@UHCL.edu</p>	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	Terry Hanson, VP for Administration and Finance HansonT@uhcl.edu	Russell Miller, Chief of Police MillerR@UHCL.edu Albert Black, Director –Emergency Mgt. 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	Dr. Edward R. Waller, Interim SR VP Academic Affairs & Provost Waller@Uuhcl.edu	Dr. Matthew Reichert, Associate Provost Research / Sponsored Pgms. reichertW@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	Terry Hanson, VP for Administration and Finance HansonT@uhcl.edu	Doug Wells, AVP Facilities WellsDo@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	Dr. Ann Theodori, Vice President Strategic Enrollment Management Theodori@uhcl.edu	Holly Nolan, Executive Dir., Fin. Aid Compliance 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	Valerie Coleman-Ferguson – Associate General Counsel 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	Dr. Edward R. Waller, Interim SR VP Academic Affairs & Provost Waller@Uuhcl.edu	Dr. Matthew Reichert, Associate Provost Research / Sponsored Pgms. ReichertW@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	Terry Hanson, VP for Administration and Finance HansonT@uhcl.edu	Cynthia Springer – AVP, Human Resources / CHRO springerC@uhcl.edu Director, HR Services Abby Varela 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	Dr. Edward R. Waller, Interim SR VP Academic Affairs & Provost Waller@Uuhcl.edu		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 Counsel VIFerguson@uh.edu Cynthia Springer – AVP, Human Resources / CHRO springerC@uhcl.edu	Visa status; eligibility for employment	Immigration & Nationality Act

Intellectual Property & Technology Transfer	Academic Affairs – Sponsored Programs	Dr. Edward R. Waller, Interim SR VP Academic Affairs & Provost Waller@Uuhcl.edu	Dr. Matthew Reichert, Associate Provost Research / Sponsored Pgms. ReichertW@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	Dr. Edward R. Waller, Interim SR VP Academic Affairs & Provost Waller@Uuhcl.edu	<i>Executive Director, Education Abroad/Sch Serv.</i> Bianca Schonberg 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	Dr. Edward R. Waller, Interim SR VP Academic Affairs & Provost Waller@Uuhcl.edu	LeeBrian Gaskins, Sr. Associate VP for Information Technology Gaskins@UHCL.edu Gautam Taneja – Information Security Officer-UHCL gtaneja@Central.UH.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 Communications ramirezd@UHCL.edu Valerie Coleman-Ferguson – Associate General Counsel VFerguson@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	Luis De Leon Polanco, Director – Military and Veteran Services PolancoDeLeo@uhcl.edu		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	Yolanda Nimmer-Williams Director – Compliance NimmerWillia@uhcl.edu Esther Herrera Senior Manager, Training & Development HerreraEs@uhcl.edu	Campus programs for minors	TEC § 51.976

Purchasing/Procurement	Purchasing	Terry Hanson, VP for Administration and Finance HansonT@uhcl.edu	Dr. Deepu Kurian, AVP – Business Operations kurian@uhcl.edu <i>Executive Director, Auxiliary & Procurement</i> Debra Carpenter 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	Matthew Peak, Assoc. Director – Archives & Special Collection Peek@uhcl.edu Stacy Zellner, Policy Coordinator ZellnerS@uhcl.edu	Record retention; litigation holds; response to Public Information Act requests; discovery requests	Texas Public Information Act ; FERPA; HIPAA
Research Animal Care and Use	Office of Sponsored Programs	Dr. Edward R. Waller, Interim SR VP Academic Affairs & Provost Waller@Uuhcl.edu	Dr. Matthew Reichert, Associate Provost Research / Sponsored Pgms. ReichertW@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	Dr. Edward R. Waller, Interim SR VP Academic Affairs & Provost Waller@Uuhcl.edu	Dr. Matthew Reichert, Associate Provost Research / Sponsored Pgms. ReichertW@uhcl.edu	Regulatory and ethical aspects of research involving: <ul style="list-style-type: none"> • 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	Mathew Perry, Director - Residential Life / Associate Dean of Students PerryM@UHCL.edu	Reasonable accommodations; student allergies	ADA; OSHA; State and local regs; Clery Act

Risk Management	Risk Management	Terry Hanson, VP for Administration and Finance HansonT@uhcl.edu	Dr. Deepu Kurian, AVP – Business Operations kurian@uhcl.edu Lidia Quiroga – Contract Administration Specialist 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 David Brittain, Title IX and Equal Opportunity Officer BrittainD@UHCL.edu	Dr. Laquala Dixon, Assist VP / Dean of Students DixonL@uhcl.edu David Brittain, Title IX and Equal Opportunity Officer 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	Dr. Laquala Dixon, Assist VP / Dean of Students DixonL@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	<i>Interim Director, Counseling and Mental Health</i> Jason Boothe Boothe@uhcl.edu	Health care privacy	HIPAA, HITECH and FERPA
Support Organizations	Office of Advancement	Joe Staley, VP University Advancement StaleyJ@UHCL.edu	Sherrie Mueller – Director of Planned and Major Gifts MuellerSh@UHCL.edu	Expenses, scholarship criteria	SAM 08.A.02 -- Private Support Organizations and Foundations