

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	Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.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	Mark Denney, Sr. AVP for Finance Denney@UHCL.edu	Sherry Hawn, AVP – Business Operations Hawn@UHCL.edu Director – Accounts Payable Rosie Pineda PinedaR@uhcl.edu Director – General Accounting Mila Bautista 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	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	Matt Aschenbrener, Vice President Strategic Enrollment Management aschenbrener@uhcl.edu	<i>Director - Undergrad Admissions -</i> Brandon Byrd ByrdB@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)	Mark Denney, Sr. AVP for Finance Denney@UHCL.edu	Sherry Hawn, AVP – Business Operations 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	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 Kelley Reid 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	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	Mark Denney, Sr. AVP for Finance Denney@UHCL.edu	Sherry Hawn, AVP – Business Operation Hawn@UHCL.edu Executive Director Procurement Debbie Carpenter 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 Dona Cornell, VP, General Counsel dhcornell@uh.edu Maynard@UHCL.edu	LeeBrian Gaskins, Sr. Associate VP for Information Technology Gaskins@UHCL.edu Gautam Taneja – Information Security Officer-UHCL gtaneja@Central.UH.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)	Accessibility Support Center	Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu	Tim Richardson, Associate VP Student Success RichardsonT@UHCL.edu J’Naudia Hunter, Director, Accessibility Support Center HunterJD@UHCL.edu	Access to buildings; accommodations in courses and workplace	ADA (Title I and III); Section 504 of Rehabilitation Act of 1973
Disability Accommodations (Employees)		Mark Denney, Sr. AVP for Finance Denney@UHCL.edu	Yolanda Edmond – AVP, Human Resources / CHRO EdmondY@UhcL.edu		
Equal Opportunity	Equity and Title IX	Brice Yates, Executive Director – Hispanic Serving Institution (HIS) and Minority Serving Institution (MSI) Strategic Initiatives YatesB@UHCL.edu David Brittain, Title IX and Equal Opportunity Officer BrittainD@UHCL.edu	Brice Yates, Executive Director – Hispanic Serving Institution (HIS) and Minority Serving Institution (MSI) Strategic Initiatives YatesB@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 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	Russell Miller, Chief of Police MillerR@UHCL.edu Albert Black, Director – 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 Finance Denney@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	Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu	Kathryn Matthew, Vice Provost 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	Bubba L. Jones, Interim AVP Facilities JonesBu@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	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 VFerguson@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 Provost 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	Yolanda Edmond, AVP – Human Resources/CHRO EdmondY@uhcl.edu <i>Director, HR Operations</i> Erika DeLeon DeLeon@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	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 Counsel VFerguson@uh.edu Yolanda Edmond, AVP – Human Resources/CHRO EdmondY@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 Provost 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	Vacant, Associate Vice President, Global Learning and Strategy <i>Director – Int'l Admissions & Student Services</i> Johna Ma'lena McClendon McClendonJ@UHCL.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	Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.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 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	Jason Babin, Executive Director – Military and Veteran Services babin@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	Mark Denney, Sr. AVP for Finance Denney@UHCL.edu	Sherry Hawn, AVP – Business Operations Hawn@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		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	Christopher Maynard, SR VP Academic Affairs & Provost Maynard@UHCL.edu	Kathryn Matthew, Vice Provost 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	Kathryn Matthew, Vice Provost Matthew@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 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	Sherry Hawn, AVP – Business Operations Hawn@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	LaToya Mills-Thomas, Director – Center for Student Advocacy and Community (CSAC) 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	David Rachita, Dean of Students 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	Regina Pickett, Director Student Health Center Pickett@UHCL.edu <i>Executive Director, Counseling, Health & Career Services</i> Cindy Cook cookc@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