

# UNIVERSITY OF HOUSTON COMPLIANCE MATRIX

This **Compliance Matrix** details the decentralized matrix of UH officers 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	Office of the Provost	Paula Myrick Short, Sr. VP, Academic Affairs and Provost <a href="mailto:pshort@uh.edu">pshort@uh.edu</a>	Mark Clarke, Assoc. VP Faculty Development/Affairs <a href="mailto:mclarke@uh.edu">mclarke@uh.edu</a>  Sabrina Hassumani,* Assoc. VP Academic Affairs Finance & Administration <a href="mailto:shassumani@uh.edu">shassumani@uh.edu</a>  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  MAPP 11.03.01 SAM 03.G.01 MAPP and SAMs related to financial accountability
Accounting/Fiscal Management	Finance – Accounts Payable, Tax Department, Financial Reporting and Accounting Services	Raymond Bartlett Sr. AVP for Finance <a href="mailto:rbartlett@central.uh.edu">rbartlett@central.uh.edu</a>	Karin Livingston,* Controller <a href="mailto:klivingston@uh.edu">klivingston@uh.edu</a>	Internal controls; property inventory; accounting, financial reporting, travel, and payment for expenditures	Tax Code; Texas Ed Code; Red Flag Rules
Accreditation	Office of the Provost	Paula Myrick Short, Sr. VP, Academic Affairs and Provost <a href="mailto:pshort@uh.edu">pshort@uh.edu</a>	Miguel Ramos, Interim Assoc. Provost Inst. Research <a href="mailto:Maramos2@uh.edu">Maramos2@uh.edu</a>	University accreditation (SACS); UH Quality Enhancement Plan (QEP)	HEOA, SARA, SACS and Programmatic Accreditations; THECB reporting requirements

Admissions	Student Affairs and Enrollment Services	Richard Walker, VP Student Affairs <a href="mailto:rwalker@uh.edu">rwalker@uh.edu</a>	Mardell Maxwell, Exec. Dir. Of Admissions <a href="mailto:mrm Maxwell@uh.edu">mrm Maxwell@uh.edu</a>	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	Office of University Advancement	Eloise Brice, VP University Advancement <a href="mailto:edstuhr@uh.edu">edstuhr@uh.edu</a>	Steve Mueller, * Exec. Dir., Adv. Bus. Ops <a href="mailto:scmueller@uh.edu">scmueller@uh.edu</a>	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	Office of the Treasurer	Raymond Bartlett, Sr. AVP Finance <a href="mailto:rbartlett@central.uh.edu">rbartlett@central.uh.edu</a>	Roberta Puryear, * Treasurer <a href="mailto:rdpuryear@uh.edu">rdpuryear@uh.edu</a>	Endowment spending; fiduciary obligations; public finance	SEC regulations; State and Federal banking regulations; IRS Regulations; UPMIFA, GLBA
Athletics	Athletics	Chris Pezman, VP Intercollegiate Athletics <a href="mailto:cwpezman@uh.edu">cwpezman@uh.edu</a>	Lauren DuBois, * Sr. Assoc. Athletic Director <a href="mailto:ledubois@uh.edu">ledubois@uh.edu</a>	Gender equality (reporting and compliance); recruiting; records; NCAA compliance; protection of minors; consent and release forms	Equity in Athletics Disclosure Act; Title IX; FERPA; NCAA
Campus Safety and Security	UHPD	Ceaser Moore, Chief of Police <a href="mailto:cmoore@uh.edu">cmoore@uh.edu</a>	<i>Law Enforcement:</i> Rick Gammon, * Police Sergeant <a href="mailto:rgammon@uh.edu">rgammon@uh.edu</a>  <i>Clery and related compliance</i> Jason Marquez, * Clery Coordinator <a href="mailto:jrmarquez@uh.edu">jrmarquez@uh.edu</a>	Emergency planning; law enforcement; campus carry enforcement  <a href="#">Clery Act reporting</a> ; 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	Dona Cornell, VP, General Counsel <a href="mailto:dhcornell@uh.edu">dhcornell@uh.edu</a>	Susan Koch, * Chief Compliance Officer <a href="mailto:sfkoch2@uh.edu">sfkoch2@uh.edu</a>	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	Office of Contract Administration	Dona Cornell, VP, General Counsel <a href="mailto:dhcornell@uh.edu">dhcornell@uh.edu</a>	<i>Contracts:</i> Mark Yzaguirre, Assoc. VC/VP & Assoc. GC, <a href="mailto:myzaguirre@uh.edu">Office of Contracts Administration myzaguirre@uh.edu</a>  Donna Halton, Contract Manager <a href="mailto:contractadmin@uh.edu">contractadmin@uh.edu</a>  <i>Real Estate &amp; Construction Contracts:</i> <a href="mailto:recc@central.uh.edu">recc@central.uh.edu</a>	Contract administration; compliance with relevant state contracting laws	Texas Government Code; Texas Education Code
Copyright	University Information Technology	Dennis Fouty, Assoc. VP IT <a href="mailto:dfouty@uh.edu">dfouty@uh.edu</a>  Dona Cornell, VP, General Counsel <a href="mailto:dhcornell@uh.edu">dhcornell@uh.edu</a>	Mary Dickerson, Ass't VP, IT Security <a href="mailto:mdickerson@uh.edu">mdickerson@uh.edu</a>	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	Center for Students with Disabilities	Richard Walker, VP Student Affairs <a href="mailto:rwalker@uh.edu">rwalker@uh.edu</a>	Cheryl Amoruso, Dir., CSD <a href="mailto:camoruso@uh.edu">camoruso@uh.edu</a>	Access to buildings; accommodations in courses and workplace	ADA (Title I and III); Section 504 of Rehabilitation Act of 1973
Diversity and Affirmative Action	<a href="#">Equal Opportunity Services</a>	Jim McShan, VP Administration & Finance <a href="mailto:jmcshan@uh.edu">jmcshan@uh.edu</a>	Toni Benoit,* Director, Investigations, EOS <a href="mailto:tjsanchez@uh.edu">tjsanchez@uh.edu</a>	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	Malcolm Davis, AVP Public Safety & Security <a href="mailto:mdavis@uh.edu">mdavis@uh.edu</a>	Kelly Boysen, * Dir. Emergency Mgmt <a href="mailto:krboysen@uh.edu">krboysen@uh.edu</a>	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	<a href="#">Environmental Health &amp; Life Safety</a>	Malcolm Davis, AVP Public Safety & Security <a href="mailto:mdavis@uh.edu">mdavis@uh.edu</a>	Emmett Sullivan, * Manager, Safety <a href="mailto:esullivan@uh.edu">esullivan@uh.edu</a>  Chris McDonald, UH Fire Marshal <a href="mailto:cjmcdona@central.uh.edu">cjmcdona@central.uh.edu</a>	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	<a href="#">Division of Research</a>	Amr Elnashai, VP Research and Technology Transfer <a href="mailto:elnashai@uh.edu">elnashai@uh.edu</a>	Sandy Ulmer, Research Contracts Officer <a href="mailto:snbrown2@uh.edu">snbrown2@uh.edu</a>	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	David Oliver, AVP Facilities <a href="mailto:jdoliver@uh.edu">jdoliver@uh.edu</a>	<p><i>Facility Business Ops &amp; Compliance:</i> Altaf Rajan,* Exec. Dir. Facilities Business Ops &amp; Compliance <a href="mailto:arajan@uh.edu">arajan@uh.edu</a></p> <p><i>Facility Services:</i> Jeffrey Benjamin, Exec. Dir., Facilities Services <a href="mailto:Jlbenja2@uh.edu">Jlbenja2@uh.edu</a></p> <p><i>Facilities Planning &amp; Construction:</i> Nick Merry, Exec. Dir., FPC <a href="mailto:nlmerry@uh.edu">nlmerry@uh.edu</a></p> <p><i>Facilities Planning:</i> Christa Rieck, Exec. Dir., Facilities Planning <a href="mailto:Choward4@uh.edu">Choward4@uh.edu</a></p>	<p>Contract processing and management, financial control management, business oversight (IT, customer service, communications)</p> <p>Campus maintenance and operations; minor planned construction and repair projects management</p> <p>Capital level construction management; THECB capital expenditure reporting; facilities inventory certification</p> <p>Project development, deferred maintenance fund distribution, BOR approval</p>	TCEQ regs, Life Safety Code, THECB reporting and approval requirements; Tex. Education Code §61
Financial Aid	Office of Scholarships and Financial Aid	Richard Walker, VP Student Affairs <a href="mailto:rwalker@uh.edu">rwalker@uh.edu</a>  Briget Jans, Exec. Dir., Student Fin. Aid <a href="mailto:bajans@uh.edu">bajans@uh.edu</a>	Salomon Medina,* Asst. Dir., Fin. Aid Compliance <a href="mailto:sdmedina@uh.edu">sdmedina@uh.edu</a>	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 <a href="mailto:dhcornell@uh.edu">dhcornell@uh.edu</a>	Dona Cornell, VP, General Counsel <a href="mailto:dhcornell@uh.edu">dhcornell@uh.edu</a>	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	Division of Research	Amr Elnashai, VP Research and Technology Transfer <a href="mailto:elnashai@uh.edu">elnashai@uh.edu</a>	Beverly Rymer,* Exec. Dir., Office of Contracts and Grants <a href="mailto:brymer@uh.edu">brymer@uh.edu</a>	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	Jim McShan, VP Administration & Finance <a href="mailto:jmcshan@uh.edu">jmcshan@uh.edu</a>	Sandra Armstrong, * Assoc. VP HR <a href="mailto:sgarmstrong@uh.edu">sgarmstrong@uh.edu</a>	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)	International Student and Scholar Services	Paula Myrick Short, Sr. VP, Academic Affairs and Provost <a href="mailto:pmsshort@uh.edu">pmsshort@uh.edu</a>	Anita Gaines, Director ISSS <a href="mailto:againes@uh.edu">againes@uh.edu</a>	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 <a href="mailto:dhcornell@uh.edu">dhcornell@uh.edu</a>	Kate Hammons, Immigration Specialist <a href="mailto:kehammons@uh.edu">kehammons@uh.edu</a>  Valerie Coleman-Ferguson, Assoc. GC <a href="mailto:viferguson@uh.edu">viferguson@uh.edu</a>	Visa status; eligibility for employment	Immigration & Nationality Act
Intellectual Property & Technology Transfer	Office of Technology Transfer and Innovation	Amr Elnashai, VP Research and Technology Transfer <a href="mailto:elnashai@uh.edu">elnashai@uh.edu</a>	Tom Campbell, Exec. Dir., OTTI <a href="mailto:tomcampbell@uh.edu">tomcampbell@uh.edu</a>	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	Office of the Provost UH Global	Paula Myrick Short, Sr. VP, Academic Affairs and Provost <a href="mailto:pmsshort@uh.edu">pmsshort@uh.edu</a>	Jaime Ortiz, VP Global Strategies <a href="mailto:Jortiz10@uh.edu">Jortiz10@uh.edu</a>	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	UIT Security  Office of the General Counsel	Dennis Fouty, Assoc. VP IT <a href="mailto:dfouty@uh.edu">dfouty@uh.edu</a>  Dona Cornell, VP, General Counsel, Privacy Officer <a href="mailto:dhcornell@uh.edu">dhcornell@uh.edu</a>	Mary Dickerson,* Ass't VP, IT Security <a href="mailto:mdickerson@uh.edu">mdickerson@uh.edu</a>	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	Lisa Holdeman, VP <a href="mailto:lholdeman@uh.edu">lholdeman@uh.edu</a>	Eric Gerber,* Exec. Dir. <a href="mailto:egerber@uh.edu">egerber@uh.edu</a>		
Minors on Campus	Campus Program for Minors	Richard Walker, VP Student Affairs <a href="mailto:rwalker@uh.edu">rwalker@uh.edu</a>	Kamran Riaz, Associate Dean of Students <a href="mailto:kriaz@uh.edu">kriaz@uh.edu</a>	Summer camps; K-12 programs	TEC § 51.976

Purchasing/Procurement	Purchasing	Karin Livingston, Controller <a href="mailto:klivingston@uh.edu">klivingston@uh.edu</a>	Jack Tenner, Director, Purchasing <a href="mailto:jddenner@uh.edu">jddenner@uh.edu</a>	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 <a href="mailto:dhcornell@uh.edu">dhcornell@uh.edu</a>		Record retention; litigation holds; response to Public Information Act requests; discovery requests	<a href="#">Texas Public Information Act</a> ; FERPA; HIPAA
Research Animal Care and Use	Division of Research	Amr Elnashai, VP Research and Technology Transfer <a href="mailto:elnashai@uh.edu">elnashai@uh.edu</a>	David Brammer, Executive Director Animal Care Operations <a href="mailto:dwbammer@uh.edu">dwbammer@uh.edu</a>	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	<a href="#">Research Integrity &amp; Oversight</a>	Amrr Elnashai, VP Research and Technology Transfer <a href="mailto:elnashai@uh.edu">elnashai@uh.edu</a>	Kirstin Holzschuh,* Exec. Dir., Research Compliance <a href="mailto:kmrochford@uh.edu">kmrochford@uh.edu</a>	Regulatory and ethical aspects of research involving: <ul style="list-style-type: none"> <li>• Human Subjects</li> <li>• Animal Research</li> <li>• Research Conflict of Interest</li> <li>• Research Misconduct</li> <li>• Responsible Conduct of Research</li> </ul>	DHHS; PHS; USDA; FDA; ORI; NIH/NSF; FERPA; HIPAA; AAALAC accreditation
Residential Life and Housing	Student Housing & Residential Life	Richard Walker, VP Student Affairs <a href="mailto:rwalker@uh.edu">rwalker@uh.edu</a>	Leanica Adams,* Coordinator, SHRL Emerg & Risk <a href="mailto:javera2@central.uh.edu">javera2@central.uh.edu</a>	Reasonable accommodations; student allergies	ADA; OSHA; State and local regs; Clery Act

Risk Management	Risk Management	Roberta Puryear, Treasurer <a href="mailto:rdpuryear@uh.edu">rdpuryear@uh.edu</a>	Wayne Brown,* Dir., Risk Management <a href="mailto:wwbrown@uh.edu">wwbrown@uh.edu</a>	Property and liability insurance; workers compensation; drones	Insurance claims; TX Workers' Compensation Act
Sexual Violence and Sexual Harassment (Student)	<a href="#">Equal Opportunity Services</a>	Jim McShan, VP Administration & Finance <a href="mailto:jmcshan@uh.edu">jmcshan@uh.edu</a>	Toni Benoit, Director, Investigations, EOS <a href="mailto:tisanchez@uh.edu">tisanchez@uh.edu</a>	Sexual assault and harassment; stalking	Title IX; Violence Against Women Act; Campus Sex Crimes Prevention Act, FERPA
Student Affairs	Dean of Students	Richard Walker, VP Student Affairs <a href="mailto:rwalker@uh.edu">rwalker@uh.edu</a>	William Munson,* Dean of Students <a href="mailto:wmunson@uh.edu">wmunson@uh.edu</a>	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	Richard Walker, VP Student Affairs <a href="mailto:rwalker@uh.edu">rwalker@uh.edu</a>	Vanessa Tilney, MD, Exec. Dir. Student Health Center <a href="mailto:vktilney@uh.edu">vktilney@uh.edu</a>  Rodrick Jordan,* Assoc. Dir. <a href="mailto:rkjordan@uh.edu">rkjordan@uh.edu</a>	Health care privacy	HIPAA, HITECH and FERPA

\*Those names marked with an **asterisk** denote members of the UH Institutional Compliance Committee. The UH Institutional Compliance Committee also includes Don Guyton (representative of the Office of Internal Audit) and Lauri Ruiz (representative of the Office of General Counsel).