

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 pshort@uh.edu	Mark Clarke, Assoc. VP Faculty Development/Affairs mclarke@uh.edu Sabrina Hassumani,* Assoc. VP Academic Affairs Finance & Administration shassumani@uh.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 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 rbartlett@central.uh.edu	Karin Livingston,* Controller klivingston@uh.edu	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 pshort@uh.edu	Miguel Ramos, Interim Assoc. Provost Inst. Research Maramos2@uh.edu	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 rwalker@uh.edu	Mardell Maxwell, Exec. Dir. Of Admissions mrm Maxwell@uh.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	Office of University Advancement	Eloise Brice, VP University Advancement edstuhr@uh.edu	Steve Mueller,* Exec. Dir., Adv. Bus. Ops scmueller@uh.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	Office of the Treasurer	Raymond Bartlett, Sr. AVP Finance rbartlett@central.uh.edu	Roberta Puryear,* Treasurer rdpuryear@uh.edu	Endowment spending; fiduciary obligations; public finance	SEC regulations; State and Federal banking regulations; IRS Regulations; UPMIFA, GLBA
Athletics	Athletics	Chris Pezman, VP Intercollegiate Athletics cwpezman@uh.edu	Lauren DuBois,* Sr. Assoc. Athletic Director ledubois@uh.edu	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 cmoore@uh.edu	<i>Law Enforcement:</i> Rick Gammon,* Police Sergeant rgammon@uh.edu <i>Clery and related compliance</i> Jason Marquez,* Clery Coordinator jrmarquez@uh.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	Dona Cornell, VP, General Counsel dhcornell@uh.edu	Susan Koch,* Chief Compliance Officer sfkoch2@uh.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	Office of Contract Administration	Dona Cornell, VP, General Counsel dhcornell@uh.edu	<i>Contracts:</i> Mark Yzaguirre, Assoc. VC/VP & Assoc. GC, Office of Contracts Administration myzaguirre@uh.edu Donna Halton, Contract Manager contractadmin@uh.edu <i>Real Estate & Construction Contracts:</i> recc@central.uh.edu	Contract administration; compliance with relevant state contracting laws	Texas Government Code; Texas Education Code
Copyright	University Information Technology	Dennis Fouty, Assoc. VP IT dfouty@uh.edu Dona Cornell, VP, General Counsel dhcornell@uh.edu	Mary Dickerson, Ass't VP, IT Security mdickerson@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	Center for Students with Disabilities	Richard Walker, VP Student Affairs rwalker@uh.edu	Cheryl Amoruso, Dir., CSD camoruso@uh.edu	Access to buildings; accommodations in courses and workplace	ADA (Title I and III); Section 504 of Rehabilitation Act of 1973
Diversity and Affirmative Action	Equal Opportunity Services	Jim McShan, VP Administration & Finance jmcshan@uh.edu	Toni Benoit,* Director, Investigations, EOS tjsanchez@uh.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	Jim McShan, VP Administration & Finance jmcshan@uh.edu	Kelly Boysen, * Dir. Emergency Mgmt krboysen@uh.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 & Safety	Jim McShan, VP Administration & Finance jmcshan@uh.edu	Lisa Benford, Dir. EHS lbenford@uh.edu Emmett Sullivan, * Manager, Safety esullivan@uh.edu Chris McDonald, UH Fire Marshal cjmcdona@central.uh.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	Division of Research	Amr Elnashai, VP Research and Technology Transfer elnashai@uh.edu	Sandy Ulmer, Research Contracts Officer snbrown2@uh.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	David Oliver, AVP Facilities jdoliver@uh.edu	<p><i>Facility Business Ops & Compliance:</i> Magda Alanis,* Exec. Dir. Facilities Business Ops & Compliance malanis4@central.uh.edu</p> <p><i>Facility Services:</i> Jeffrey Benjamin, Exec. Dir., Facilities Services Jlbenja2@uh.edu</p> <p><i>Facilities Construction:</i> Nick Merry, Exec. Dir., FPC nlmerry@uh.edu</p> <p><i>Facilities Planning:</i> Christa Rieck, Exec. Dir., Facilities Planning Choward4@uh.edu</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 rwalker@uh.edu Briget Jans, Exec. Dir., Student Fin. Aid bajans@uh.edu	Salomon Medina,* Asst. Dir., Fin. Aid Compliance sdmedina@uh.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	Dona Cornell, VP, General Counsel dhcornell@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	Division of Research	Amr Elnashai, VP Research and Technology Transfer elnashai@uh.edu	Beverly Rymer,* Exec. Dir., Office of Contracts and Grants brymer@uh.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	Jim McShan, VP Administration & Finance jmcshan@uh.edu	Sandra Armstrong, * Assoc. VP HR sgarmstrong@uh.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)	International Student and Scholar Services	Paula Myrick Short, Sr. VP, Academic Affairs and Provost pmsshort@uh.edu	Anita Gaines, Director ISSS againes@uh.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	Kate Hammons, Immigration Specialist kehammons@uh.edu Valerie Coleman-Ferguson, Assoc. GC viferguson@uh.edu	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 elnashai@uh.edu	Tom Campbell, Exec. Dir., OTTI tomcampbell@uh.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	Office of the Provost UH Global	Paula Myrick Short, Sr. VP, Academic Affairs and Provost pmsshort@uh.edu	Jaime Ortiz, VP Global Strategies Jortiz10@uh.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	UIT Security Office of the General Counsel	Dennis Fouty, Assoc. VP IT dfouty@uh.edu Dona Cornell, VP, General Counsel, Privacy Officer dhcornell@uh.edu	Mary Dickerson,* Ass't VP, IT Security mdickerson@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	Lisa Holdeman, VP lholdeman@uh.edu	Eric Gerber,* Exec. Dir. egerber@uh.edu		
Minors on Campus	Campus Program for Minors	Richard Walker, VP Student Affairs rwalker@uh.edu	Kamran Riaz, Associate Dean of Students kriaz@uh.edu	Summer camps; K-12 programs	TEC § 51.976

Purchasing/Procurement	Purchasing	Karin Livingston, Controller klivingston@uh.edu	Jack Tenner, Director, Purchasing jdtenner@uh.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	Division of Research	Amr Elnashai, VP Research and Technology Transfer elnashai@uh.edu	David Brammer, Executive Director Animal Care Operations dwbammer@uh.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	Amrr Elnashai, VP Research and Technology Transfer elnashai@uh.edu	Kirstin Holzschuh,* Exec. Dir., Research Compliance kmrochford@uh.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	Richard Walker, VP Student Affairs rwalker@uh.edu	Leanica Adams,* Coordinator, SHRL Emerg & Risk javera2@central.uh.edu	Reasonable accommodations; student allergies	ADA; OSHA; State and local regs; Clery Act

Risk Management	Risk Management	Roberta Puryear, Treasurer rdpuryear@uh.edu	Wayne Brown,* Dir., Risk Management wwbrown@uh.edu	Property and liability insurance; workers compensation; drones	Insurance claims; TX Workers' Compensation Act
Sexual Violence and Sexual Harassment (Student)	Equal Opportunity Services	Jim McShan, VP Administration & Finance jmcshan@uh.edu	Toni Benoit, Director, Investigations, EOS tjsanchez@uh.edu	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 rwalker@uh.edu	William Munson,* Dean of Students wmunson@uh.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	Richard Walker, VP Student Affairs rwalker@uh.edu	Vanessa Tilney, MD, Exec. Dir. Student Health Center vktilney@uh.edu Rodrick Jordan,* Assoc. Dir. rkjordan@uh.edu	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 Phillip Hurd (representative of the Office of Internal Audit and UH System Compliance) and Lauri Ruiz (representative of the Office of General Counsel).