

UNIVERSITY OF HOUSTON-DOWNTOWN COMPLIANCE MATRIX

This **Compliance Matrix** details the decentralized matrix of UHD 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	Eric Carl Link, Provost & Senior VP, Academic & Student Affairs linkc@uhd.edu	Jerry Johnson, Assoc. VP, Faculty, Research and Sponsored Programs. johnsonj@uhd.edu Michelle Moosally, Assoc. VP, Programming & Curriculum moosallym@uhd.edu Chris Rodney, Executive Director, Financial Affairs rodneyc@uhd.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 PSs and SAMs related to financial accountability
Accounting/Fiscal Management	Business Affairs – Accounts Payable & Travel, Financial Reporting and Accounting Services, Treasury Support, Student Business Services/Bursar	David Bradley, VP, Administration and Finance bradleyd@uhd.edu	Christina Ordóñez-Campos Asst. VP/CAO, Business Affairs ordonezcampos@uhd.edu	Internal controls; property management; , financial accounting & reporting, travel & accounts payable payment processing, student account billing and collections, cash handling, accounts receivable payment processing	IRS Rules and Regulations; Texas Education Code; Red Flag Rules; Texas Government Code, Prompt Payment Act, Governmental Accounting Standards Board (GASB), DOE Rules and Regulations, Generally Accepted Accounting Principles

					(GAAP), State of Texas Comptroller's Rules and Regulations
Accreditation	Office of the Provost	Eric Carl Link, Provost & Senior VP, Academic & Student Affairs linkc@uhd.edu	Lea Campbell, Exec. Director, Assessment & Accreditation campbellc@uhd.edu	University accreditation (SACS); UH Quality Enhancement Plan (QEP)	HEOA, SARA, SACS and Programmatic Accreditations; THECB reporting requirements
Admissions	Enrollment Management	Jimmy Jung, VP, Enrollment Mgmt. jungi@uhd.edu Unit Leader: Daniel Villanueva, Assoc. VP, Enrollment Mgmt. & University Registrar villanuevad@uhd.edu	Ceshia Love Executive Director, Enrollment Mgmt. lovec@uhd.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	Office of University Advancement	Johanna Wolfe, VP University Advancement & University Relations wolfej@uhd.edu	Jacob Lipp, Director, Advancement lippj@uhd.edu Brian Drake, Director, Advancement Services & Business Operations drakeb@uhd.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. VP, Administration & Finance rbartlett@uh.edu Unit Leader: Karin Livingston AVP for Finance klivingston@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

Campus Safety and Security	UHD PD	David Bradley, VP Administration & Finance bradleyd@uhd.edu Unit Leader: Michael Benford, Executive Director, Public Safety/Chief of Police benfordm@uhd.edu	<i>Law Enforcement:</i> Casey Davis, Assistant Chief of Police <i>Clery and related compliance</i> Tabitha Rivera riverat@uhd.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
Assets, Endowment, Banking	Office of the Treasurer	Raymond Bartlett, Sr. VP, Administration & Finance rbartlett@uh.edu Unit Leader: Karin Livingston AVP for Finance klivingston@uh.edu	Roberta Puryear, Treasurer rdpuryea@uh.edu	Endowment spending; fiduciary obligations; public finance	SEC regulations; State and Federal banking regulations; IRS Regulations; UPMIFA, GLBA
Campus Safety and Security	UHD PD	David Bradley, VP Administration & Finance bradleyd@uhd.edu Unit Leader: Michael Benford, Executive Director, Public Safety/Chief of Police benfordm@uhd.edu	<i>Law Enforcement:</i> Casey Davis, Assistant Chief of Police <i>Clery and related compliance</i> Tabitha Rivera riverat@uhd.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	David Bradley, VP Administration & Finance bradleyd@uhd.edu	Stefany Records, Director, Admin. Operations & Compliance recordss@uhd.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	David Bradley, VP Administration & Finance bradleyd@uhd.edu Unit Leader: Theresa Meneley, Executive Director, Budget, Procurement and Contract Administration	LaShonda White, Contract Administrator whitela@uhd.edu Shanekia Thomas, Assistant Contract Administrator thomassh@uhd.edu	Contract administration; compliance with relevant state contracting laws	Texas Government Code; Texas Education Code

Copyright	University Information Technology	<p>Raymond Bartlett, Sr. VP, Administration & Finance rbartlett@uh.edu</p> <p>Dona Cornell, VP, General Counsel dhcornell@uh.edu</p> <p>Component Unit leader: Hossein Shahrokhi, Assoc. VP IT shahrokh@uh.edu</p>	<p>Mary Dickerson, Ass't VP, IT Security mdickerson@uh.edu</p>	<p>Fair Use; course materials; music downloads; university logos and licensing; peer to peer file sharing</p>	<p>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</p>
Disability Accommodations (Students)	Disability Services	<p>Meritza Tamez, Dean, Student tamezm@uhd.edu</p>	<p>Hope Pamplin pamplinh@uhd.edu</p>	<p>Academic accommodations for students</p>	<p>ADA (Title I and III); Section 504 of Rehabilitation Act of 1973</p>
Disability Accommodations (Employees)	Employment Services & Operations	<p>Ivonne Montalbano, VP Employment Services & Operations montalbanoi@uhd.edu</p>	<p>Erica Morales, Director, Benefits & Compensation moralese@uhd.edu</p>	<p>Reasonable workplace accommodations</p>	<p>ADA (Title I, II, and III); Section 504 of Rehabilitation Act of 1973; TX Commission on Human Rights Act</p>
Accessibility	Office of Title IX Equity and Diversity	<p>Erika Harrison, Title IX Equity and Diversity Officer/504 Coordinator/EIRA Coordinator Harrisone@uhd.edu</p>	<p>Erika Harrison Harrisone@uhd.edu</p>	<p>Accessibility for electronic and information resources</p>	<p>Section 508 of Rehabilitation Act of 1973; Section 255 of Telecommunications Act; ADA (Title III); TAC 213, ADA (Title I and III); Section 504 of the Rehabilitation Act of 1973</p>

Diversity and Affirmative Action	Equal Opportunity Services	Erika Harrison, Title IX & Diversity Officer harrisone@uhd.edu	Erika Harrison, Title IX & Diversity Officer harrisone@uhd.edu	Discrimination in hiring/promoting practices; gender discrimination; age discrimination; hostile work environment; Title IX compliance	Age Discrimination Act; Exec Order 11246, VEVRAA, Section 503 (AA); Equal Pay Act; Title VI, VII, IX; Fair Housing Act; Pregnancy Discrim. Act; Older Workers Benefit Protection Act; Uniformed Services Employment and Reemployment Act
Emergency Management	Office of Emergency Management	Michael Benford, Executive Director, Public Safety/Chief of Police benfordm@uhd.edu	Cynthia Vargas, Dir. Emergency Mgmt. vargasc@uhd.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 (EHS)	Michael Benford, Executive Director, Public Safety/Chief of Police benfordm@uhd.edu	Edward Arias, Dir. EHS ariase@uhd.edu	Laboratory Safety program (research and instructional); Compliance committees' regulation of hazardous materials (biological, chemical and radiological); Disposal of hazardous materials; Occupational Safety program	NIH Office of Science Policies, TDSHS, EPA, RCRA, OSHA, CERCLA, Toxic Substance Control Act, Clean Air Act, Clean Water Act

Export Control	Office_of Research & Sponsored Programs	Jerry Johnson, Assoc. VP, Faculty, Research & Sponsored Programs johnsonj@uhd.edu	Brandi Smith-Irving, Director, Research & Sponsored Programs smithirvingb@uhd.edu	Deemed Export, Physical Travel, and/or Shipment of Equipment, Data, Technology, Biological/ Chemical Materials to Foreign Country/Person; I-129 ECO Certification; Export License Determination and/or application for new hire, researcher and students participating in online courses from comprehensively sanctioned Countries; TCPs; Travel Guidance incl. to sanctioned countries international conference, research, or teaching ; CITI Training; License for UAS related to research	CFR, EAR, ITAR, OFAC, NISPOM, NSDD-189
Facilities	Facilities Management	David Bradley, VP Administration & Finance bradleyd@uhd.edu Unit Leader: Tim Rychlec, Asst. VP, Facilities Management rychlect@uhd.edu	Kris Zimmerman, Director, MEP Operations zimmermank@uhd.edu Abraham Flores, Director, Building Operations floresa@uhd.edu Funke Ogunleye, Principle Project Manager oguleyef@uhd.edu	Campus maintenance and operations; minor planned construction and repair projects management	TCEQ regs, Life Safety Code, THECB reporting and approval requirements; Tex. Education Code §61

Financial Aid	Office of Scholarships and Financial Aid	Jimmy Jung, VP, Enrollment Mgmt. Unit Leader: Latasha Goudeau, Director, Financial Aid goudeaula@uhd.edu	Roshanna Mitchell, Asst. Director, Scholarships & Financial Aid Compliance Officer mitchellr@uhd.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
Fire and Life Safety	Fire and Life Safety	Michael Benford, Executive Director, Public Safety/Chief of Police benfordm@uhd.edu	Cynthia Vargas, Dir. Emergency Mgmt vargasc@uhd.edu	Response and investigation of fires on UH property; inspection of existing buildings and under construction for compliance with fire/life safety codes and standards; inspection of on-campus food establishments	NFPA 1, Fire Code; NFPA 101, Life Safety Code; State Fire Marshal Rules; Texas Food Establishment Rules
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	Office of Research & Sponsored Programs	Jerry Johnson, Assoc. VP, Faculty, Research & Sponsored Programs johnsonj@uhd.edu	Brandi Smith-Irving, Director, Research & Sponsored Programs smithirvingb@uhd.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	Employment Services & Operations (ESO)	Ivonne Montalbano, VP, ESO montalbannoi@uhd.edu	Erica Morales, Director, Benefits & Compensation moralese@uhd.edu	Employment benefits; FMLA; USERRA; wage/hour; personnel policies; recruiting/hiring; training; termination and early retirement; I-9 verification; grievance, workers compensation	FLSA; FMLA; FCRA, Drug-Free Workplace Act; FACTA; Immigration & Nationality Act; Labor Management Relations Act; OWBPA; USERRA, ; TX Workers' Compensation Act

Immigration (Nonimmigrant Students and J Visa Exchange Visitors)	International Student Admissions Office of Study Abroad	Eric Carl Link, Provost & Senior VP, Academic & Student Affairs linkc@uhd.edu	Brian Nguyen, Asst. Director, International Admissions nguyenbr@uhd.edu Ali Maghoo, Assoc. Director, Study Abroad maghooa@uhd.edu	Visa status; eligibility for student employment; Foreign scholars and students; visiting artists and lecturers	Immigration & Nationality Act; SEVIS regs
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	Chris Taylor, Exec. Dir., OTTI ctaylor51@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 Study Abroad	Michelle Moosally, Assoc. VP, Programming & Curriculum moosallym@uhd.edu	Ali Maghoo, Assoc. Director, Study Abroad maghooa@uhd.edu	Fulbright Scholar Program, University Agreements, and Global Initiatives Study Abroad	Mutual Education and Cultural Exchange Act
Information Technology/Privacy & Security	UIT Security Office of the General Counsel	Raymond Bartlett, Sr. VP, Administration & Finance rbartlett@uh.edu Dona Cornell, VP, General Counsel, Privacy Officer dhcornell@uh.edu Unit Leader: Dennis Fouty, Assoc. VP IT dfouty@uh.edu	Mary Dickerson, Asst. VP, IT Security mdickerson@uh.edu UHD Lead: Jennifer Huenemeier, Director, Enterprise IT Security & Information Security Officer jhuenemeier@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	Johanna Wolfe, VP University Advancement & University Relations wolfej@uhd.edu	Elisa Olsen, Exec. Director, University Relations olsene@uhd.edu	UHD Branding Enrollment Marketing Public Relations Media Relations Campus Communications	PS 09.B.02 – Release of Public Information PS 09.B.03 – Procedures for Init. & Proc. UHD Publications PS 09.B.04 – Social Media PS 09.B.05 – Advertising PS 09.B.06 – UHD Graphic Standards
Minors on Campus	Campus Program for Minors	Eric C. Link, Provost & Senior VP, Academic & Student Affairs linkc@uhd.edu Unit Lead: Meritza Tamez, Dean, Students tamezm@uhd.edu	Rhonda Scherer, Coordinator, Campus Programs for Minors schererr@uhd.edu	Summer camps; K-12 programs	TEC § 51.976
Purchasing/Procurement	Purchasing	David Bradley, VP Administration & Finance bradleyd@uhd.edu Unit Leader: Theresa Meneley, Executive Director, Budget, Procurement and Contract Administration meneleyt@uhd.edu	Lorena Sanchez, Purchasing Manager sanchezl@uhd.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	Jerry Johnson, Assoc. VP, Faculty, Research & Sponsored Programs johnsonj@uhd.edu	Brandi Smith-Irving, Director, Research & Sponsored Programs smithirvingb@uhd.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
Risk Management	Risk Management	David Bradley, VP Administration & Finance bradleyd@uhd.edu	Stefany Records, Director, Admin. Operations & Compliance records@uhd.edu	Property and liability insurance	Insurance claims
Sexual Violence and Sexual Harassment	Equal Opportunity Services	Erika Harrison, Title IX & Diversity Officer harrison@uhd.edu	Erika Harrison, Title IX & Diversity Officer harrison@uhd.edu	Sexual misconduct	Title IX; Violence Against Women Act; Campus Sex Crimes Prevention Act, FERPA; Texas Ed Code
Student Affairs	Dean of Students	Eric C. Link, Provost & Senior VP, Academic & Student Affairs linkc@uhd.edu	Meritza Tamez, Dean, Students tamezm@uhd.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	Meritza Tamez, Dean, Students tamezm@uhd.edu	Vacant, Assistant Dean, Students	Health care privacy	HIPAA, HITECH and FERPA
Student Wellness	Student Health and Wellness	Meritza Tamez, Dean, Student Affairs tamezm@uhd.edu	Vacant, Assistant Dean, Students	Mental health privacy	HIPAA
Support Organizations	Office of University Advancement	Johanna Wolfe, VP University Advancement & University Relations wolfej@uhd.edu	Brian Drake, Director Advancement Services & Business Ops. drakeb@uhd.edu	Expenses, scholarship criteria	SAM 08.A.02 -- Private Support Organizations and Foundations

Trademark Management	Marketing and Communications	<p>Johanna Wolfe, VP University Advancement & University Relations wolfej@uhd.edu</p>	<p>Elisa Olsen, Exec. Director, University Relations olsene@uhd.edu</p> <p>Mark Yzaguirre, Assoc. VC/VP Legal Affairs & Assoc. GC myzaguirre@uh.edu</p>	<p>The legal protection, management, and enforcement of the rights in the Marks of the Board, the System and the component universities</p>	<p>SAM 01.D.03 – Trademark Management</p>
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