<table>
<thead>
<tr>
<th>Compliance Area</th>
<th>Accountable Department/Office Contact Information</th>
<th>Accountable Senior Officer</th>
<th>Responsible Parties</th>
<th>Representative Laws, Regulations, Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Athletics</td>
<td>Chris Regis, VP Business and Finance (<a href="mailto:cpe@smu.edu">cpe@smu.edu</a>) 214-768-1148</td>
<td>Chris Regis</td>
<td>Athletics, Purchasing, Finance, Athletics, Title IX</td>
<td>ADA, Propositions, Incentive Pay</td>
</tr>
<tr>
<td>Accounting, IRS, Tax, Banking, Assets</td>
<td>Shannon Brown, Dayna Oscherwitz (<a href="mailto:shannbrown@smu.edu">shannbrown@smu.edu</a> 214-768-1285; <a href="mailto:daynaoscherwitz@smu.edu">daynaoscherwitz@smu.edu</a> 214-768-2004)</td>
<td>Rakesh Dahiya, Chief Investment</td>
<td>SEC Regulations, State and Federal Banking regulations, IRS Regulations, UPMIFA,</td>
<td>Endowment investing and reporting</td>
</tr>
<tr>
<td>Accreditation</td>
<td>Elizabeth Lobus, Chief Investment Officer (<a href="mailto:elizabethl@smu.edu">elizabethl@smu.edu</a> 214-768-3129)</td>
<td>Rakesh Dahiya</td>
<td>compliance, protection of minors</td>
<td>SEC Regulations, State and Federal Banking regulations, IRS Regulations, UPMIFA, GLBA</td>
</tr>
<tr>
<td>Admissions</td>
<td>Elizabeth Lobus, Chief Investment Officer (<a href="mailto:elizabethl@smu.edu">elizabethl@smu.edu</a> 214-768-3129)</td>
<td>Rakesh Dahiya</td>
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</tr>
<tr>
<td>Enrollment</td>
<td>Elizabeth Lobus, Chief Investment Officer (<a href="mailto:elizabethl@smu.edu">elizabethl@smu.edu</a> 214-768-3129)</td>
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</tr>
<tr>
<td>Athletics</td>
<td>Kevin Turner, EVP Business and Finance (<a href="mailto:kevint@smu.edu">kevint@smu.edu</a>) 214-768-1301</td>
<td>Kevin Turner</td>
<td>compliance, protection of minors</td>
<td>SEC Regulations, State and Federal Banking regulations, IRS Regulations, UPMIFA, GLBA</td>
</tr>
<tr>
<td>Contracts &amp; Procurement</td>
<td>Chris Regis, VP Business and Finance (<a href="mailto:cpe@smu.edu">cpe@smu.edu</a>) 214-768-1148</td>
<td>Chris Regis</td>
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</tr>
<tr>
<td>Copyright</td>
<td>Chris Regis, VP Business and Finance (<a href="mailto:cpe@smu.edu">cpe@smu.edu</a>) 214-768-1148</td>
<td>Chris Regis</td>
<td>compliance, protection of minors</td>
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</tr>
<tr>
<td>Disabilities</td>
<td>Elizabeth Lobus, Chief Investment Officer (<a href="mailto:elizabethl@smu.edu">elizabethl@smu.edu</a> 214-768-3129)</td>
<td>Elizabeth Lobus</td>
<td>compliance, protection of minors</td>
<td>SEC Regulations, State and Federal Banking regulations, IRS Regulations, UPMIFA, GLBA</td>
</tr>
<tr>
<td>Distance and Online Education</td>
<td>Elizabeth Lobus, Chief Investment Officer (<a href="mailto:elizabethl@smu.edu">elizabethl@smu.edu</a> 214-768-3129)</td>
<td>Elizabeth Lobus</td>
<td>compliance, protection of minors</td>
<td>SEC Regulations, State and Federal Banking regulations, IRS Regulations, UPMIFA, GLBA</td>
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<tr>
<td>Athletics</td>
<td>Kevin Turner, EVP Business and Finance (<a href="mailto:kevint@smu.edu">kevint@smu.edu</a>) 214-768-1301</td>
<td>Kevin Turner</td>
<td>compliance, protection of minors</td>
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<tr>
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<tr>
<td>Section Title</td>
<td>Contact Name</td>
<td>Email</td>
<td>Phone</td>
<td>Notes</td>
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<tr>
<td><strong>Donor Gift Restrictions</strong></td>
<td>Heather Shaw</td>
<td><a href="mailto:heather@smu.edu">heather@smu.edu</a></td>
<td>214-768-4280</td>
<td>- Contact for Development and External Affairs</td>
</tr>
<tr>
<td></td>
<td>Chase Robinson</td>
<td><a href="mailto:chrobinson@smu.edu">chrobinson@smu.edu</a></td>
<td>214-768-7945</td>
<td>- Contact for Development and External Affairs</td>
</tr>
<tr>
<td></td>
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<td></td>
<td>- Expertise in gift policies, gift agreements, financial aid</td>
</tr>
<tr>
<td><strong>Emergency Management</strong></td>
<td>Leigh Ann Maffett</td>
<td><a href="mailto:leighannm@smu.edu">leighannm@smu.edu</a></td>
<td>214-768-4047</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
</tr>
<tr>
<td></td>
<td>Chana Robinson</td>
<td><a href="mailto:chrobinson@smu.edu">chrobinson@smu.edu</a></td>
<td>214-768-1178</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
</tr>
<tr>
<td><strong>Environmental Health &amp; Occupational Safety</strong></td>
<td>Brad Cheves, Vice President for Development and External Affairs</td>
<td><a href="mailto:bcheves@smu.edu">bcheves@smu.edu</a></td>
<td>214-768-2667</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
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<tr>
<td><strong>Equality, Diversity, and Affirmative Action</strong></td>
<td>Brad Cheves, Vice President for Development and External Affairs</td>
<td><a href="mailto:bcheves@smu.edu">bcheves@smu.edu</a></td>
<td>214-768-2667</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
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<td>- Expertise in gift policies, gift agreements, financial aid</td>
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<tr>
<td><strong>Ethics and Compliance</strong></td>
<td>Samantha Thomas</td>
<td><a href="mailto:thomassa@smu.edu">thomassa@smu.edu</a></td>
<td>214-768-3603</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
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<tr>
<td></td>
<td>Maria Dixon Hall</td>
<td><a href="mailto:madixon@smu.edu">madixon@smu.edu</a></td>
<td>214-768-3393</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
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<td><strong>Export Controls</strong></td>
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<td></td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
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<tr>
<td></td>
<td>Elizabeth Loboa</td>
<td><a href="mailto:egloboa@smu.edu">egloboa@smu.edu</a></td>
<td>214-768-3219</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
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<tr>
<td></td>
<td>Sukumaran Nair, Associate Provost for Research ad interim</td>
<td><a href="mailto:nair@smu.edu">nair@smu.edu</a></td>
<td>214-768-2856</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
</tr>
<tr>
<td><strong>Financial Aid</strong></td>
<td>Mary Sauceda</td>
<td><a href="mailto:msauceda@smu.edu">msauceda@smu.edu</a></td>
<td>214-768-3016</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
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<td>- Expertise in gift policies, gift agreements, financial aid</td>
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<tr>
<td><strong>Governance</strong></td>
<td>Paul Ward</td>
<td><a href="mailto:paulw@smu.edu">paulw@smu.edu</a></td>
<td>214-768-1551</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
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<tr>
<td><strong>Government Relations</strong></td>
<td>Paul Ward</td>
<td><a href="mailto:paulw@smu.edu">paulw@smu.edu</a></td>
<td>214-768-1551</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
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</tr>
<tr>
<td><strong>Grant and Contract Management</strong></td>
<td>Sukumaran Nair</td>
<td><a href="mailto:nair@smu.edu">nair@smu.edu</a></td>
<td>214-768-2856</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
</tr>
<tr>
<td></td>
<td>Ernie Barry</td>
<td><a href="mailto:ebarry@smu.edu">ebarry@smu.edu</a></td>
<td>214-768-2004</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
</tr>
<tr>
<td></td>
<td>David Ewing</td>
<td><a href="mailto:dcewing@smu.edu">dcewing@smu.edu</a></td>
<td>214-768-3761</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
</tr>
<tr>
<td></td>
<td>Elizabeth Loboa</td>
<td><a href="mailto:egloboa@smu.edu">egloboa@smu.edu</a></td>
<td>214-768-3219</td>
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</tr>
<tr>
<td></td>
<td>Chris Regis</td>
<td><a href="mailto:cregis@smu.edu">cregis@smu.edu</a></td>
<td>214-768-1178</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
</tr>
<tr>
<td><strong>Audit and Contracts Management</strong></td>
<td>Jennifer Aronson</td>
<td><a href="mailto:jaronson@smu.edu">jaronson@smu.edu</a></td>
<td>214-768-2506</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
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<tr>
<td></td>
<td>Annie Berry</td>
<td><a href="mailto:annieberry@smu.edu">annieberry@smu.edu</a></td>
<td>214-768-2404</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
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<tr>
<td></td>
<td>Sarah Fetting</td>
<td><a href="mailto:sfetting@smu.edu">sfetting@smu.edu</a></td>
<td>214-768-5761</td>
<td>- Contact for EH&amp;S, Marketing and Communications, Facilities, and Risk Management</td>
</tr>
</tbody>
</table>

- Explicit donor instructions on how funds can be spent, IRS regulations on gifts and endowments, state regulations on solicitation.
- State registration requirements, UPMIFA, Gift Agreement terms, IRS regulations.
- Emergency Planning and Community Right Act (EPCRA).
- Age Discrimination Act, Executive Order 11246 (AA), Equal Pay Act, Title VI, VII, IX, Fair Housing Act, Pregnancy Discrimination Act.
- OMB Uniform Guidance, HEOA, FERPA, Medicare, HIPAA.
- OMB Uniform Guidance, HIPAA, Medicare, HIPAA.
- Federal Sentencing Guidelines for Organizations, Federal Ethics statutes, OMB Uniform Guidance, FAR.
- OMB Uniform Guidance, HEOA, FERPA, Medicare, HIPAA.
- OMB Uniform Guidance, HIPAA, Medicare, HIPAA.
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Alison Tweedy
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Student Affairs
Alexa Taylor
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Mindy Sutton
mjsutton@smu.edu
214-768-4566

<table>
<thead>
<tr>
<th>Research Involving Humans</th>
<th>Principal Investigators (PI), Deans, Department Chairs, or other Faculty and Staff conducting research, IRB, EH&amp;S, and OLA</th>
<th>Conducting tests or surveys using people, informed consent</th>
<th>HHS/NIH Regulations, HIPAA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Involving Animals or Recombinant DNA</td>
<td>Principal Investigators (PI), Deans, Department Chairs, other Faculty and Staff conducting research, IACUC, EH&amp;S, and OLA</td>
<td>Humane care and treatment of animals, DNA research</td>
<td>Animal Welfare Act, HHS/NIH Regulations</td>
</tr>
<tr>
<td>Research Integrity/Scientific Misconduct</td>
<td>Principal Investigators (PI), Deans, Department Chairs, other Faculty and Staff conducting research, and OLA</td>
<td>Fabrication of data or results, plagiarism</td>
<td>OMB Uniform Guidance, IBA/NIH Regulations</td>
</tr>
<tr>
<td>Research Involving Animals</td>
<td>Principal Investigators (PI), Deans, Department Chairs, other Faculty and Staff conducting research, and OLA</td>
<td>Humane care and treatment of animals, DNA research</td>
<td>Animal Welfare Act, HHS/NIH Regulations</td>
</tr>
<tr>
<td>Student Activities</td>
<td>Risk Management and OCA</td>
<td>Training for student clubs/organizations and advisors</td>
<td>Texas SB 1175</td>
</tr>
</tbody>
</table>
43. Student Billing

Wes Waggoner
wwaggoner@smu.edu
214-768-2110
Elizabeth Loboa
egloboa@smu.edu
214-768-3219
Athlete, Registrar, Dean of Undergraduates, Dean of Graduates and Post docs, and Financial Aid
Refunds of federal funds, tax (waiver)
Title IV

45. Other Compliance or Regulatory Issues

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paulw@smu.edu
214-768-1551
Rahib Reljka
reljka@smu.edu
(214) 768-2062
President Turner
crgt@smu.edu
214-768-3301
Internal Audit and Risk Management
Non compliance of guidelines
Other

46. Veteran Services

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214-768-2110
Elizabeth Loboa
egloboa@smu.edu
214-768-3219
Registrar, Bursar, Financial Aid, Assessment and Accreditation, and Research and Graduate Studies
VA Education benefits, ROTC crossovers agreements, DoD Tuition Assistance Program, DoD MOU, and DoD research funding as issues; include Yellow Ribbon, Post 9/11 GI Bill (sect. 107, 501), and DoD Instruction (DoDI) 1322.25 among the regulations

47. State Authorization SARA

Dayna Oscherwitz
osherwi@smu.edu
214-768-2210
Elizabeth Loboa
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214-768-3219
Deans, Associate Provosts, Chairs
State Authorization for all online programs, out of state instruction (internships), licensures.

48. New Mexico State Licensing

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49. Off Campus Instructional Sites

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Elizabeth Loboa
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214-768-3219
Deans, Associate Deans, Associate Provosts, Chairs,
Off Campus Instructional Sites approval to operate

50. Student Health & Medical Records

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Cathey Soutter
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K.C. Mmeje, Vice President for Student Affairs
OLA HIPAA, FERPA

51. Student Health Insurance Program

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Peter Davis
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(214) 768-2148
K.C. Mmeje, Vice President for Student Affairs
Risk Management
Ensuring students have acceptable health insurance coverage while enrolled.