<table>
<thead>
<tr>
<th>Compliance Area</th>
<th>Accountable Department/Office Contact Information</th>
<th>Accountable Senior Officer</th>
<th>Compliance Partner</th>
<th>Representative Office(s)</th>
<th>Representative Large, Regulation, Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic</td>
<td>Maritza Staley, Dean of Graduate Studies <a href="mailto:phil@wmu.edu">phil@wmu.edu</a> 214-768-1344</td>
<td>Elizabeth Lubas, Provost</td>
<td>Dean and Department Chairs</td>
<td>Student, appointments, promotions, tenure, discipline, non-discrimination in academics, privacy issues</td>
<td>OMB Uniform Guidance, GAAP, Social Security Act and FCA, HEA, ADA, SME, policy</td>
</tr>
<tr>
<td>Accounting, HR, Tax, Banking, Assets</td>
<td>Tim Barry, Vice President and Finance <a href="mailto:mgreg@wmu.edu">mgreg@wmu.edu</a> 214-768-1178</td>
<td>Chris Reina, VP Finance and Finance</td>
<td>Operations Managers</td>
<td>Internal accounting and payment, internal control, fair 900 audit, financial statements, debt issuance</td>
<td>IRS Code, OMB Uniform Guidance, GAAP, Social Security Act and FCA, HEA, ADA, SME, policy</td>
</tr>
<tr>
<td>Accreditation</td>
<td>Deputy/Associate Dean of Graduates and Postdocs <a href="mailto:melanieb@wmu.edu">melanieb@wmu.edu</a> 214-768-3002</td>
<td>Elizabeth Lubas, Provost</td>
<td>Dean, Faculty</td>
<td>OUPMIFA, Copyright, Research, University Libraries and OLA</td>
<td>OUPMIFA and OUPMIFA for Authorization of publication and incentive pay</td>
</tr>
<tr>
<td>Admissions</td>
<td>Head, HIA, <a href="mailto:shannonbrown@wmu.edu">shannonbrown@wmu.edu</a> 214-768-2856</td>
<td>Elizabeth Lubas, Provost</td>
<td>Dean, Student</td>
<td>Privacy, Eligibility for Title IV funds, Diversity, non-discrimination</td>
<td>HEA, FERPA, suspension, Title IX, HEA, Veteran Programs, Program Integrity Rules, misrepresentation and incentive pay</td>
</tr>
<tr>
<td>Athletics</td>
<td>Elizabeth Lobas, Chief Investment Officer <a href="mailto:elizabethlobas@wmu.edu">elizabethlobas@wmu.edu</a> 214-768-3219</td>
<td>Paul Ward</td>
<td>President</td>
<td>Policy 10.7, Investment and reporting</td>
<td>OMB Regulations, State and Federal Banking regulations, IRS Regulations, OMB Uniform Guidance, OUPMIFA, ILRA</td>
</tr>
<tr>
<td>Campus Safety</td>
<td>President, Provost and Strategic Initiators <a href="mailto:cregis@wmu.edu">cregis@wmu.edu</a> 214-768-1551</td>
<td>Elizabeth Lobas, Chief</td>
<td>President</td>
<td>Policy 10.7, Investment and reporting</td>
<td>OMB Regulations, State and Federal Banking regulations, IRS Regulations, OMB Uniform Guidance, OUPMIFA, ILRA</td>
</tr>
<tr>
<td>Contracts &amp; Procurement</td>
<td>Janine Bristo, Assistant Controller <a href="mailto:bristo@wmu.edu">bristo@wmu.edu</a> 214-768-6000</td>
<td>Pad Wood</td>
<td>President</td>
<td>Policy 10.7, Investment and reporting</td>
<td>OMB Regulations, State and Federal Banking regulations, IRS Regulations, OMB Uniform Guidance, OUPMIFA, ILRA</td>
</tr>
<tr>
<td>Copyright</td>
<td>President, Provost and Strategic Initiators <a href="mailto:cregis@wmu.edu">cregis@wmu.edu</a> 214-768-1551</td>
<td>Pad Wood</td>
<td>President</td>
<td>Policy 10.7, Investment and reporting</td>
<td>OMB Regulations, State and Federal Banking regulations, IRS Regulations, OMB Uniform Guidance, OUPMIFA, ILRA</td>
</tr>
<tr>
<td>Disabilities</td>
<td>President, Provost and Strategic Initiators <a href="mailto:cregis@wmu.edu">cregis@wmu.edu</a> 214-768-1551</td>
<td>Pad Wood</td>
<td>President</td>
<td>Policy 10.7, Investment and reporting</td>
<td>OMB Regulations, State and Federal Banking regulations, IRS Regulations, OMB Uniform Guidance, OUPMIFA, ILRA</td>
</tr>
<tr>
<td>Distance and Online Education</td>
<td>President, Provost and Strategic Initiators <a href="mailto:cregis@wmu.edu">cregis@wmu.edu</a> 214-768-1551</td>
<td>Pad Wood</td>
<td>President</td>
<td>Policy 10.7, Investment and reporting</td>
<td>OMB Regulations, State and Federal Banking regulations, IRS Regulations, OMB Uniform Guidance, OUPMIFA, ILRA</td>
</tr>
</tbody>
</table>
Research

33. Records
Elizabeth Loboa
egloboa@smu.edu
214-768-3219
- Registrar, Finance, Sponsored Research, Financial Aid, IT, and RUPD
- Privacy, record retention policies, discovery requests, litigation holds

President Turner
crgt@smu.edu
214-768-3301
- President, SMU

34. Research Integrity/Scientific Misconduct
Mary Travis
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214-768-6428
- Principal Investigators (PI), Deans, Department Chairs, other Faculty and Staff conducting research, and OLA
- Falsification of data or results, plagiarism

Elizabeth Loboa
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214-768-3219
- Principal Investigators (PI), Deans, Department Chairs, other Faculty and Staff conducting research, and OLA
- Publication of data or results, plagiarism

35. Research Involving Animals or Recombinant DNA
Mary Travis
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- Principal Investigators (PI), Deans, Department Chairs, other Faculty and Staff conducting research, IACUC, EH&S, and OLA
- Humane care and treatment of animals, DNA research

Elizabeth Loboa
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214-768-3219
- Principal Investigators (PI), Deans, Department Chairs, other Faculty and Staff conducting research, IACUC, EH&S, and OLA
- Humane care and treatment of animals, DNA research

36. Research Involving Humans
Mary Travis
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214-768-6428
- Principal Investigators (PI), Deans, Department Chairs, or other Faculty and Staff conducting research, IRB, EH&S, and OLA
- Conducting tests or surveys using people, informed consent

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- Principal Investigators (PI), Deans, Department Chairs, or other Faculty and Staff conducting research, IRB, EH&S, and OLA
- Conducting tests or surveys using people, informed consent

37. Sexual Violence (Students)
Mindy Sutton
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214-768-4566
- Dean of Undergraduates, Dean of Graduates and Post Docs, and OLA
- Sexual assault, harassment or unwanted contact, stalking, relationship violence, intimidation

Samantha Thomas
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- Sexual assault, harassment or unwanted contact, stalking, relationship violence, intimidation

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38. Sexual Violence (Employees)
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39. Sexual Harassment (Students)
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40. Sexual Harassment (Employees)
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- Sexual assault, harassment or unwanted contact, stalking, relationship violence, intimidation

41. Student Activities
Sean Murphy
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214-768-4423
- Risk Management and OLA
- Caring for student clubs/organizations and advising

Laura Murphy
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214-768-4423
- Risk Management and OLA
- Caring for student clubs/organizations and advising

May 7, 2024
42 Student Billing

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Chris Regis
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Affordability of Federal Funds, Tax Documents
Affiliated

43 Other Compliance or Regulatory Issues

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Rick Hart
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President Turner
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Affiliated
Audit and Risk Management
New Laws of Guidance

44 Veteran Services

Wes Waggoner
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214-768-2110

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214-768-3219

Registrar, Bursar, Financial Aid, Assessment and Accreditation, and Research and Graduate Studies

VA Education Benefits, ROTC, crosstown 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

45 State Authorization SARA

Dayna Oscherwitz
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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.

USDE Higher Education Act, SACSCOC Accreditation Agency, SEVIS

46 New Mexico State Licensing

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Elizabeth Loboa
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Provost, Associate Provost, Chairs

License to operate in New Mexico, License to deliver credit bearing courses on the Taos Campus

NM Office of Higher Education

47 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 approved to operate


48 Student Health & Medical Records

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K.C. Mmeje, Vice President for Student Affairs

HIPAA, FERPA

49 Student Health Insurance Program

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K.C. Mmeje, Vice President for Student Affairs

HIPAA, FERPA