

Compliance Area	Accountable Department/Office Contact Information	Accountable Senior Officer	Compliance Partners	Representative Issue(s)	Representative Law, Regulation, Requirement
1 Academic	Daniel Eady deady@smu.edu 214-768-3999	Elizabeth Loba, Provost egloboa@smu.edu 214-768-3219	Deans and Department Chairs	Faculty appointments, promotions, tenure, discipline, non discrimination in academics, privacy issues	Civil Rights Act (e.g. Title VI, VII and IX), FERPA, ADA, SMU policy
2 Accounting, IRS, Tax, Banking, Assets	Ernie Barry ebarry@smu.edu 214-768-2004	Chris Regis, VP Business and Finance cregis@smu.edu 214-768-1178	Business Managers	Proper accounting and payment, internal controls, form 990, audits, financial statements, debt issuance	Tax Code, OMB Uniform Guidance, GAAP, Social Security Act and FICA, HEOA, SMU Policy
3 Accreditation	Dayna Oscherwitz osherwi@smu.edu 214-768-2210	Elizabeth Loba egloboa@smu.edu 214-768-3219	Deans, Vice Provosts, Vice Presidents, and OLA	University Accreditation, School Accreditation, QEP	SACSCOC and School Accreditations
4 Admissions	Elena Hicks ehicks@smu.edu 214-768-4115	Elizabeth Loba egloboa@smu.edu 214-768-3219	Deans, Financial Aid, Registrar, and OLA	Privacy, Eligibility for Title IV fund, Diversity, non discrimination	ADA, FERPA, USERRA, Title IV/IX, HEOA, Veterans Programs, Program Integrity Rules on misrepresentation and incentive pay
5 Endowment	Rakesh Dahiya, Chief Investment Officer rdahiya@smu.edu 214-768-2902	President Turner crgt@smu.edu 214-768-3301	OLA, Business and Finance	Endowment investing and reporting	SEC Regulations, State and Federal Banking regulations, IRS Regulations, UPMIFA, GLBA
6 Athletics	Ryan McCabe rmccabe@smu.edu 214-768-4652	President Turner crgt@smu.edu 214-768-3301 Rick Hart, Athletic Director rlhart@smu.edu 214-768-2468	Administration, Admission, Registrar, Financial Aid, Dean of Undergrads, Risk Management, and OLA	Gender Equity, recruiting, records, camps, NCAA compliance, protection of minors	Title IX, Equity in Athletics Disclosure Act, FERPA, NCAA Compliance Manual, SMU policy
7 Campus Safety	Jim Walters jwalters@smu.edu 214-768-1586	Chris Regis cregis@smu.edu 214-768-1178	EH&S, Housing and Dining, FE&P, Transportation and Parking, Recreation Center, Risk Management	Policing campus, crime reporting, investigations	Clery Act, VAWA, HEOA, Campus Sex Crimes Prevention Act, Title IX
8 Conflicts of Interest	Policy 1.3 Paul Ward, VP Legal Affairs, General Counsel and Secretary to the Board of Trustees paulw@smu.edu 214-768-1551 Policy 10.7 Sukumaran Nair, Vice Provost for Research and Chief Innovation Officer nair@smu.edu 214-768-2856	Paul Ward paulw@smu.edu 214-768-1551	Principal Investigators (PI), Deans, Department Chairs, Supervisors, and OLA	Gifts, stock, business ownership, family relations, board relations	IRS Regulations for Non profits, Texas State Law, OMB Uniform Guidance, FAR, NIH regulations, SMU policy
9 Contracts & Procurement	Shannon Brown shannonbrown@smu.edu 214-768-4909 Melanie Bailey melanieb@smu.edu 214-768-1294	Paul Ward paulw@smu.edu 214-768-1551 Chris Regis cregis@smu.edu 214-768-1178	Deans, Department Chairs, Controller, contract leads and OLA	Purchasing policy, allowable expenses, contract language, signature authority	OMB Uniform Guidance, FAR, Anti-Kickback Act, Contract Disputes Act, Government suspension and debarment listings, SMU policy
10 Copyright	Donna Morrow dmorrow@smu.edu 214-768-1204	Paul Ward paulw@smu.edu 214-768-1551	Library, Strategic Initiatives, OLA, Dean of Undergrads, Dean of Graduates, and Postdocs	Fair use, course materials, music downloads, open access to publications	Digital Millennium Copyright Act [DMCA], Copyright Act
11 Disabilities	Samantha Thomas thomassa@smu.edu 214-768-3603 Alexa Taylor alexat@smu.edu 214-768-1918 Michael Molina msmolina@smu.edu 214-768-1265	President Turner crgt@smu.edu 214-768-3301 Elizabeth Loba egloboa@smu.edu 214-768-3219 Chris Regis cregis@smu.edu 214-768-1178	Housing and Dining, Facilities Engineering and Planning, Human Resources, Dean of Undergraduates, Dean of Graduates and Postdoctoral Studies	Access to buildings, accommodations in courses and the workplace, technology, food issues	American with Disabilities Act (ADA), Section 504 Accommodations
12 Distance and Online Education	Michael Robertson robertsonm@smu.edu 214-768-1148 Dayna Oscherwitz osherwi@smu.edu 214-768-2210	Elizabeth Loba egloboa@smu.edu 214-768-3219	Accreditation, Registrar, Deans, and OLA	Multi state authorizations to provide on line courses, accreditation standards for distance education, program details	SACSCOC, State Authorizations, HEA

13	Donor Gift Restrictions	Heather Shaw heather@smu.edu 214-768-4280 Chase Robinson cgrobinson@smu.edu 214-768-7845	Brad Cheves, Vice President for Development and External Affairs bcheves@smu.edu 214-768-2667	Development, Finance, Investments, Sponsored Research, OLA, and Financial Aid	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
14	Emergency Management	Leigh Ann Moffett leighannm@smu.edu 214-768-4047	Chris Regis cregis@smu.edu 214-768-1178	EH&S, Marketing and Communications, Facilities, and Risk Management	Weather warnings and campus response to emergency situations	Emergency Planning and Community Right Act (EPCRA), Clery Act, HEOA, FERPA, FEMA
15	Environmental Health & Occupational Safety	Brandon Chance bchance@smu.edu 214-768-2430	Chris Regis cregis@smu.edu 214-768-1178	Risk Management, Vice Provost for Research	Lab safety, use and disposal of chemicals, waste management	OSHA, CERCLA, Toxic Substance Control Act, EPA regulations including the Clean Air Act, Clean Water Act, and Research Conservation Recovery Act; State regulations by TCEQ or TDSHS, and city ordinances related to safety or fire code.
16	Equality, Diversity, and Affirmative Action	Samantha Thomas thomassa@smu.edu 214-768-3603 Maria Dixon Hall madixon@smu.edu 214-768-3393	President Turner crgt@smu.edu 214-768-3301 Paul Ward paulw@smu.edu 214-768-1551	Deans, Department Chairs, and Human Resources	Discrimination in hiring practices, sexual harassment in the workplace.	Age Discrimination Act, Executive Order 11246 (AA), Equal Pay Act, Title VI, VII, IX, Fair Housing Act, Pregnancy Discrimination Act
17	Ethics and Compliance	Paul Ward paulw@smu.edu 214-768-1551 Policy 1.2 Chris Regis cregis@smu.edu 214-768-1178	President Turner crgt@smu.edu 214-768-3301	All Faculty, Staff, Students, and Trustees	Ethical culture, compliance with law	Federal Sentencing Guidelines for Organizations, Federal Ethics statutes, OMB Uniform Guidance, FAR, Dear Colleague letters
18	Export Controls	Mary Travis mtravis@smu.edu 214-768-6428	Elizabeth Loboa egloboa@smu.edu 214-768-3219 Sukumaran Nair nair@smu.edu 214-768-2856	All Faculty and Staff with research responsibilities, Information Technology, OGC	publication restrictions on research, sending unpublished materials to foreign countries	ITAR, EAR, OFAC
19	Financial Aid	Mary Saucedo msaucedo@smu.edu 214-768-3016	Elizabeth Loboa egloboa@smu.edu 214-768-3219	Registrar, Cashier, Admissions, Athletics, Payroll, Institutional Research, Office of Legal Affairs, Institutional Planning and Effectiveness	Eligibility for federal aid, institutions and programs, IR, OLA, Registrar, Assessment and Accreditation, required DOE reporting	Title IV, Gainful Employment Regulations, FERPA, HEOA
20	Governance	Paul Ward paulw@smu.edu 214-768-1551	President Turner crgt@smu.edu 214-768-3301	President's Office, Board of Trustees, Human Resources, and OGC	Organizational documents, state filings, Board charters and by laws	IRS regulations, state corporate law, State Authorization
21	Government Relations	Paul Ward paulw@smu.edu 214-768-1551	President Turner crgt@smu.edu 214-768-3301	OLA	Use of University property or resources for political purposes, lobbying	OMB Uniform Guidance, HEOA, Lobbying disclosure regulations
22	Grant and Contract Management	Sukumaran Nair nair@smu.edu 214-768-2856 Ernie Barry ebarry@smu.edu 214-768-2004 David Ewing dewing@smu.edu 214-768-3761	Elizabeth Loboa egloboa@smu.edu 214-768-3219 Chris Regis cregis@smu.edu 214-768-1178	Principal Investigators (PI), Deans, Department Chairs, Administrators, Controller, Office of Technology Transfer, and OLA	Grant application, award requirements, effort reporting, financial and other reporting, allowable expenses	OMB Uniform Guidance, HEOA

23	Housing and Dining Services	Aramis Watson, Dean of Residence Life & Student Housing (RLSH) aramisw@smu.edu 214-768-2422 Alison Tweedy atweedy@smu.edu 214-768-1920 Alexa Taylor alexat@smu.edu 214-768-1918	K.C. Mmeje, Vice President for Student Affairs kmmeje@smu.edu 214-768-2831 Chris Regis cregis@smu.edu 214-768-1178 Elizabeth Loba egloboa@smu.edu 214-768-3219	Dean of Undergraduates, Disability Services, EH&S, and Facilities	Reasonable accommodations, prevention of foodborne illness, kitchen safety	ADA, FDA, OSHA, State regulations, City of Houston Ordinances
24	Human Resources	Sheri Starkey starkey@smu.edu 214-768-2024	Chris Regis cregis@smu.edu 214-768-1178	OLA	Employee benefits, compensation, leave administration, staff policies, staff recruiting, talent management, and training	EEOC (Civil Rights Act Title VII), FLSA, Drug Free Workplace Act, HIPAA, Immigration and Nationality Act, Labor Management Relations Act, OSHA, Social Security Act, USERRA, HEOA, ERISA, COBRA, Affordable Care Act, Pension Protection Act
25	Identity Theft	George Finney gfinney@smu.edu 214-768-3950	Michael Hites, Chief Information Officer hites@smu.edu 214-768-3484	Registrar and Financial Aid, Human Resources, Budgets and Finance	False or forged documents, stolen credentials, changes of address, data security	FACTA (FTC "Red Flags" rule)
26	Immigration	Claudia Sotomayor Hart claudiahart@smu.edu 214-768-4477	Paul Ward paulw@smu.edu 214-768-1551	Controller, Academic Programs, Registrar, and OLA	Visa status, eligibility for employment, tax issues	Immigration and Nationality Act
27	Information Technology	Michael Hites hites@smu.edu 214-768-3484	President Turner crgt@smu.edu 214-768-3301	Administration, Finance, Enrollment, Financial Aid, Registrar, and Treasurer	Privacy, Identity Access Management, cyber security	FISMA, FERPA, GLBA, HIPAA, PCI DSS, PATRIOT Act, CAN-SPAM, DCMA, HEOA, No Electronic Theft Act
28	Insurance and Workers Compensation	Amanda Ibarra azibarra@smu.edu 214-768-3737 Leigh Ann Moffett leighannm@smu.edu 214-768-4047	Chris Regis cregis@smu.edu 214-768-1178	Human Resources, EH&S, and OLA	Property and liability insurance policies, fiduciary, surety, other insurance policies	State law, bond agreements, FEMA
29	Intellectual Property & Technology Transfer	Sukumaran Nair nair@smu.edu 214-768-2856	Elizabeth Loba egloboa@smu.edu 214-768-3219	Principal Investigators (PI), Deans, Department Chairs, Controller, and OLA	Filing technology disclosures with the Government, licensing technology, material transfer disclosure	Bayh- Dole Act, Tech Transfer Act
30	International Activities & Programs	David Lee dlee@smu.edu 214-768-1056 Sukumaran Nair nair@smu.edu 214-768-2856 Allison Russell awitucki@smu.edu (214) 768-4476	Elizabeth Loba egloboa@smu.edu 214-768-3219	Academic Programs, Risk Management, Registrar, Controller, Information Technology, OLA, and Admissions	Visa status, international travel safety	FCPA, EAR, ITAR, OFAC, AD, FCPA, and host nation laws
31	IPEDS and External Reporting	Michael Tumeo mtumeo@smu.edu 214-768-2808	Elizabeth Loba egloboa@smu.edu 214-768-3219	Registrar, Financial Aid, Dean of Undergraduates, Dean of Graduates and Postdoctoral Studies	Collection and reporting of data to the Department of Ed, US News and other higher education related entities	Title IV of HEA
32	Minors on Campus	Jomita Fleming jsfleming@smu.edu 214-768-2163 Leigh Ann Moffett leighannm@smu.edu 214-768-4047 Abigail Smith abigail@smu.edu 214-768-1175 Mindy Sutton mjsutton@smu.edu 214-768-4566 Legal Affairs Athletics	Paul Ward paulw@smu.edu 214-768-1551 Chris Regis cregis@smu.edu 214-768-1178 Rick Hart rlhart@smu.edu 214-768-2468 K.C. Mmeje kmmeje@smu.edu 214-768-2831	Faculty, Staff, and Students who interact with minors, EH&S, and OLA	Summer camps and conferences, tours, athletic camps	Texas S.B.1414

33	Records	Elizabeth Loboa egloboa@smu.edu 214-768-3219 Chris Regis cregis@smu.edu 214-768-1178 Paul Ward paulw@smu.edu 214-768-1551	President Turner crgt@smu.edu 214-768-3301	Registrar, Finance, Sponsored Research, Financial Aid, IT, and RUPD	Privacy, record retention policies, discovery requests, litigation holds	FERPA, HIPAA, GLBA, Texas S.B. 308, OMB UG
34	Research Integrity/Scientific Misconduct	Mary Travis mtravis@smu.edu 214-768-6428	Elizabeth Loboa egloboa@smu.edu 214-768-3219	Principal Investigators (PI), Deans, Department Chairs, other Faculty and Staff conducting research, and OLA	Falsification of data or results, plagiarism	Public Health Service Regulations, HHS/NIH Regulations
35	Research Involving Animals or Recombinant DNA	Mary Travis mtravis@smu.edu 214-768-6428	Elizabeth Loboa egloboa@smu.edu 214-768-3219 Sukumaran Nair nair@smu.edu 214-768-2856	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	Animal Welfare Act, HHS/NIH Regulations
36	Research Involving Humans	Mary Travis mtravis@smu.edu 214-768-6428	Elizabeth Loboa egloboa@smu.edu 214-768-3219 Sukumaran Nair nair@smu.edu 214-768-2856	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	HHS/NIH Regulations, HIPAA
37	Sexual Violence (Students)	Mindy Sutton mjsutton@smu.edu 214-768-4566 Samantha Thomas thomassa@smu.edu 214-768-3603	K.C. Mmeje kmmeje@smu.edu 214-768-2831	Dean of Undergraduates, Dean of Graduates and Post Docs, and OLA	Sexual assault, harassment or unwanted contact, stalking, relationship violence, intimidation	Title IX, Violence Against Women Act, Campus Sex Crimes Prevention Act, FERPA, HIPAA
38	Sexual Violence (Employees)	Samantha Thomas thomassa@smu.edu 214-768-3603 Sheri Starkey starkey@smu.edu 214-768-2024	Chris Regis cregis@smu.edu 214-768-1178	Human Resources, IAE, OLA and SMU PD	Sexual assault, harassment or unwanted contact, stalking, relationship violence, intimidation	Title IX, Violence Against Women Act, Campus Sex Crimes Prevention Act, SB 212, and HB 1735
39	Sexual Harassment (Students)	Mindy Sutton mjsutton@smu.edu 214-768-4566 Samantha Thomas thomassa@smu.edu 214-768-3603	K.C. Mmeje kmmeje@smu.edu 214-768-2831	Dean of Undergraduates, Dean of Graduates and Post Docs, IAE, and OLA	Sexual assault, harassment or unwanted contact, stalking, relationship violence, intimidation	Title IX, Violence Against Women Act, Campus Sex Crimes Prevention Act, FERPA, SB 212, and HB 1735
40	Sexual Harassment (Employees)	Sheri Starkey starkey@smu.edu 214-768-2024 Samantha Thomas thomassa@smu.edu 214-768-3603	Chris Regis cregis@smu.edu 214-768-1178	Human Resources, IAE, OLA and SMU PD	Sexual assault, harassment or unwanted contact, stalking, relationship violence, intimidation	Title IX, Violence Against Women Act, Campus Sex Crimes Prevention Act, SB 212, and HB 1735
41	Student Activities	Dawn Norris dfnorris@smu.edu 214-768-2280	K.C. Mmeje kmmeje@smu.edu 214-768-2831	Risk Management and OLA	Training for student clubs/associations and advisors	Texas SB 1138

42	Student Billing	Wes Waggoner wwaggoner@smu.edu 214-768-2110 Ernie Barry ebarry@smu.edu 214-768-2004	Elizabeth Loba egloboa@smu.edu 214-768-3219 Chris Regis cregis@smu.edu 214-768-1178	Athletics, Registrar, Dean of Undergraduates, Dean of Graduates and Post docs, and Financial Aid	Refunds of federal funds, tax documents	Title IV	
43	Other Compliance or Regulatory Issues	Paul Ward paulw@smu.edu 214-768-1551 Chris Regis cregis@smu.edu 214-768-1178 Elizabeth Loba egloboa@smu.edu 214-768-3219 K.C. Mmeje kmmeje@smu.edu 214-768-2831	Rakesh Dahiya rdahiya@smu.edu (214) 768-2902 Brad Cheves bcheves@smu.edu (214) 768-2667 Rick Hart rlhart@smu.edu (214) 768-2468	President Turner crgt@smu.edu 214-768-3301	Internal Audit and Risk Management	New laws or guidance	Other
44	Veteran Services	Wes Waggoner wwaggoner@smu.edu 214-768-2110	Elizabeth Loba egloboa@smu.edu 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	VA (Yellow Ribbon, Post 9/11 GI Bill): 38 CFR, Part 21, Subparts A,C, D, K, L, P DoD Tuition Assistance: 32 CFR Part 68, DoDI 1322.25	
45	State Authorization SARA	Dayna Oscherwitz osherwi@smu.edu 214-768-2210	Elizabeth Loba egloboa@smu.edu 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	
46	New Mexico State Licensing	Dayna Oscherwitz osherwi@smu.edu 214-768-2210	Elizabeth Loba egloboa@smu.edu 214-768-3219	Provost, Associate Provost over Taos and intersessions, Taos Director	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	Dayna Oscherwitz osherwi@smu.edu 214-768-2210	Elizabeth Loba egloboa@smu.edu 214-768-3219	Deans, Associate Deans, Associate Provosts, Chairs,	Off Campus Instructional Sites approval to operate	USDE Higher Education Act, Homeland Security, SACSCOC Accreditation Agency, SEVIS	
48	Student Health & Medical Records	Mindy Sutton mjsutton@smu.edu 214-768-4566 Randy Jones rpjones@mail.smu.edu (214) 768-2146 Cathey Soutter csoutter@mail.smu.edu (214) 768-4795 Peter Davis pfdavis@mail.smu.edu (214) 768-2148	K.C. Mmeje, Vice President for Student Affairs	OLA		HIPAA, FERPA	
49	Student Health Insurance Program	Mindy Sutton mjsutton@smu.edu 214-768-4566 Randy Jones rpjones@mail.smu.edu (214) 768-2146	K.C. Mmeje, Vice President for Student Affairs	Risk Management	Ensuring students have acceptable health insurance coverage while enrolled.		