



Rice University Compliance Matrix

The matrix is intended to identify responsibility for compliance with the appropriate individuals and departments. It is a resource for the Rice community in locating the appropriate individuals to contact with questions or concerns. The partners, issues, and laws listed are intended as general guidance, and not as an exclusive or definitive listing. The accountable department and senior officer listed on each section of the matrix is responsible for ensuring compliance in that particular area. The compliance partners for each section are intended as an illustration of individuals or departments whose efforts are a necessary contribution to achieving compliance within an area. The chief compliance officer and the University Compliance Committee are responsible for periodically reviewing each area, including related procedures and training, making recommendations to the process owner, and reporting as needed.

This matrix was last reviewed and updated on August 24, 2018. If you would like to offer updates or have questions please contact the chief compliance officer at kliddle@rice.edu.

| Compliance Area (Click for more information) | | Accountable Department/Office Contact Information | Accountable Senior Officer | Compliance Partners | Representative Issue(s) | Representative Law, Regulation, Requirement |
|---|--|---|---|--|---|--|
| 1 | Academic | Fred Higgs, Vice Provost for Academic Affairs vpaa@rice.edu 713-348-4123 Matthew Taylor, Associate Vice Provost of Academic Affairs ptt@rice.edu 713-348-2155 | Provost Marie Lynn Miranda | 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 |
| 2 | Accounting, IRS and Taxes | Brad Fralic, Controller bfralic@rice.edu 713-348-3440/4927 | VP Finance Kathy Collins | Deans and Department Chairs, Information Technology | Proper accounting and payment for expenditures, Internal Controls, Form 990, A-133 audits, issuing financial statements | Tax Code, OMB Uniform Guidance, GAAP, Social Security Act and FICA, HEOA |
| 3 | Accreditation | John Cornwell, Assoc VP of Institutional Effectiveness cornwell@rice.edu 713-248-3227 | VP Finance Kathy Collins Provost Marie Lynn Miranda | Deans, Vice Provosts, and Vice Presidents | University Accreditation, Quality Enhancement Plan | HEOA, SARA, SACSCOC and Programmatic Accreditations |
| 4 | Admissions | Dean for Undergraduate Enrollment 713-348-2575 Kate Cross, Assistant Dean Graduate and Postdoctoral Studies katec@rice.edu 713-348-6134 | VP Enrollment Yvonne Romero Da Silva Dean of Graduate and Postdoctoral Studies Seiichi Matsuda | Deans, Financial Aid, Registrar, OGC | Privacy, Eligibility for Title IV funds, Diversity, non discrimination | ADA, FERPA, USERRA, Title IV/IX, HEOA, Veterans Programs, Program Integrity Rules on misrepresentation and incentive pay |
| 5 | Assets, Endowment, Banking and Trust | Ron Long (Assets/Endowment), Associate VP For Investments, Associate Treasurer rlong@rice.edu 713-348-5301 Cindy Melton (Banking) Treasury and Operations Director 713-348-3914 cindy.melton@rice.edu Amy Nelson (Trust), Trust Manager 713-348-6098 amynelson@rice.edu | VP Investments Allison Thacker | Controller | Endowment spending, institutional conflicts of interest, debt issuance and Tax exempt debt | SEC Regulations, State and Federal Banking regulations, IRS Regulations, UPMIFA, GLBA |
| 6 | Athletics | Athletics Compliance 713-348-6919 | President David Leebron Athletic Director Joe Karlgaard | Administration, Registrar, Financial Aid, Dean of Undergrads, Risk Management | Gender equality, recruiting, records, camps, NCAA compliance, protection of minors | Title IX, Equity in Athletics Disclosure Act, FERPA, NCAA Compliance Manual |
| 7 | Campus Safety | Rice University Police Department James Tate, Chief james.d.tate@rice.edu 713-348-6333 | VP Administration Kevin Kirby | EH&S, Housing and Dining, FE&P, Transportation and Parking, Recreation Center, Risk Management | Policing campus, Crime reporting, building security, investigations | Clery Act, VAWA, HEOA, Campus Sex Crimes Prevention Act, Title IX |

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| 8 Conflicts of Interest | Faculty- Melissa Gambling, Assoc Director of Research Compliance, mgambling@rice.edu 713-348-3884 Staff - Associate VP for Human Resources 713-348-4070 Trustees- Office of the General Counsel 713-348-348 zansitis@rice.edu | Vice Provost Research Yousif Shamoo VP Administration Kevin Kirby VP General Counsel Richard Zansitis | Principal Investigators (PI), Deans and Department Chairs, Supervisors, OGC | Gifts, Stock, Business Ownership, family relations | IRS Regulations for Non profits, Texas State Law, OMB Uniform Guidance, FAR, NIH regulations |
| 9 Contracts & Procurement | Brian Soika, Director of Procurement brian.soika@rice.edu 713-348-4726 Brad Fralic, Controller bfralic@rice.edu 713-348-3440/4927 | VP Administration Kevin Kirby (for Contracts, Marketplace) VP Finance Kathy Collins (for Purchasing Cards) | Deans and Department Chairs, Controller, OGC | purchasing policy, allowability of expenses | OMB Uniform Guidance, FAR, Anti- Kickback Act, Contract Disputes Act, Government suspension and debarment listings |
| 10 Copyright | Sara Lowman, Vice Provost and University Librarian lowman@rice.edu 713-348-2457 Klara Jelinkova, VP Information Technology (CIO) klara.jelinkova@rice.edu 713-348-2211 | Provost Marie Lynn Miranda Vice Provost Academic Affairs Fred Higgs VP Information Technology (CIO) Klara Jelinkova | Library, Strategic Initiatives, OGC, Dean of Undergraduates, Dean of Graduates and Postdocs | Fair Use, course materials, Music downloads, open access to publications | Digital Millennium Copyright Act [DMCA], Copyright Act |
| 11 Disabilities | Alan Russell, Director of Disability Support Services adarice@rice.edu 713-348-5841 | VP Administration Kevin Kirby | Housing and Dining, Facilities Engineering and Planning, HR, Dean of Undergraduates, Dean of Graduates and Postdoctoral Studies | Access to buildings, accommodations in courses and the workplace; add technology and food-issues | American with Disabilities Act (ADA), Section 504 Accommodations |
| 12 Distance and Online Education | Caroline Levander, VP Strategic Initiatives and Digital Education clevande@rice.edu 713-348-4228 | VP Strategic Initiatives and Digital Education Caroline Levander | Accreditation, Registrar, OGC | Multi state authorization to provide online courses, Accreditation standards for distance education, credit hour determinations | SACSCOC, State Authorizations, HEA |
| 13 Donor Gift Restrictions | Ben Renberg, Assoc VP Development ben.renberg@rice.edu 713-348-4613 Larry Perez, Jr. Associate Treasurer, Rice Management Company lperez@rice.edu 713-348- 5631 Controllers Office Brad Fralic, Controller bfralic@rice.edu 713-348-3440/4927 Jerusha Kasch | VP Development and Alumni Relations Darrow Zeidenstein VP Investments Allison Thacker VP Finance Kathy Collins | Development, Finance, Investments, Sponsored Research, OGC | Explicit donor instructions on how funds can or can not be spent, IRS regulations on gifts and endowments; state regulations on solicitation | State registration requirements, UPMIFA, Gift Agreement terms, IRS regulations |
| 14 Emergency Management | Director of Institutional Crisis Management jkasch@rice.edu 713-348-6088 | VP Administration Kevin Kirby | EHS, Public Affairs, Facilities, Risk Management | Hurricane or flood warnings | Emergency Planning and Community Right Act (EPCRA), Clery Act, HEOA, FERPA, FEMA |

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| 15 Environmental Health & Occupational Safety | Kathryn Cavender, Director Environmental Health & Safety cavender@rice.edu 713-348-8800 Kathy Jones, Asst. VP Facilities, Engineering and Planning kjones@rice.edu 713-348-5460 | VP Administration Kevin Kirby | Risk Management, Vice Provost for Research | Lab safety, use of chemicals, building and fire codes, workplace safety, waste management, power plant | 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 | Russell Barnes, Director of EEO Programs and Affirmative Action eeoc@rice.edu or rcb@rice.edu 713-348-4350 Roland Smith, Assoc Provost Office of Diversity and Inclusion rbsmith@rice.edu 713-348-5688 | President David Leebron VP Administration Kevin Kirby Vice Provost Academic Affairs Fred Higgs | Deans and Department Chairs, 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 | Ken Liddle, Chief Compliance Officer kliddle@rice.edu 713-348-2287 | VP Finance Kathy Collins | All faculty, staff, students, and Trustees | Ethical culture, compliance with law, training | Federal Sentencing Guidelines for Organizations, Federal Ethics statutes, OMB Uniform Guidance, FAR, Dear Colleague letters |
| 18 Export Controls | Melissa Gambling, Assoc Director of Research Compliance, mgambling@rice.edu 713-348-3884 | Vice Provost Research Yousif Shamoo | All faculty and staff with research responsibilities, Information Technology, OGC | Publication restrictions on research, sending unpublished materials to foreign country | ITAR, EAR, OFAC |
| 19 Financial Aid | Anne Walker, Director Office of Financial Aid anne.walker@rice.edu 713-348-8025 | President David Leebron VP Enrollment Yvonne Romero Da Silva | Registrar, Cashier, Admissions, Athletics, Payroll | Eligibility for federal aid, required reports to Department of Education | Title IV, Gainful Employment Regulations, FERPA, HEOA |
| 20 Governance | Cyndi Wilson, Deputy Secretary to the Board of Trustees clwilson@rice.edu 713-348-5048 | VP General Counsel Richard Zansitis | President's Office, Board of Trustees, Human Resources, OGC | Organizational Documents, State filings, Board Charters and by laws, excess transfer regulations (i.e. intermediate sanctions) | IRS regulations, state corporate law, State Authorization |
| 21 Government Relations | Nathan Cook, Director of Government Relations nathan.l.cook@rice.edu 713-348-6237 | VP Public Affairs Linda Thrane | OGC, Finance | Use of University property or resources for political purposes, non-partisanship, lobbying | OMB Uniform Guidance, HEOA, Lobbying disclosure regulations |
| 22 Grant and Contract Management | Krystal Touns, Asst VP for Sponsored Projects and Research Compliance krystal.touns@rice.edu 713-348-6200 Assistant Controller 713-348-3180 | Vice Provost Research Yousif Shamoo (Pre Award) VP Finance Kathy Collins (Post Award) | Principal Investigators (PI), Deans, Department Chairs and administrators, Controller, Office of Technology Transfer, OGC | Award requirements, effort reporting, financial reporting, allowable expenses | OMB Uniform Guidance, HEOA |
| 23 Housing and Dining Services | Mark Ditman, Associate Vice President Housing and Dining mditman@rice.edu 713-348-5441 | VP Administration Kevin Kirby | Dean of Undergraduates, Disability Services, EH&S, Facilities | Student allergies, reasonable accommodations, prevention of foodborne illness, kitchen safety | ADA, FDA, OSHA, State regulations, City of Houston Ordinances |
| 24 Human Resources | Associate VP Human Resources 713-348-4070 | VP Administration Kevin Kirby | Finance, OGC | Employment benefits, leave, personnel polices, recruiting, termination, training | EEOC (Civil Rights Act Title VII), FLSA, Drug Free Workplace Act, Immigration and Nationality Act, Labor Management Relations Act, OSHA, Social Security Act, USERRA, HEOA, ERISA, COBRA, Affordable Care Act, Pension Protection Act |

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| 25 | Identity Theft | Brad Fralic, Controller bfralic@rice.edu 713-348-3440/4927 Marc Scarborough, Campus Chief Information Security Officer marc.a.scarborough@rice.edu 713-348-5735 | VP Finance Kathy Collins VP Information Technology (CIO) Klara Jelinkova | Registrar, Financial Aid | False or forged documents, stolen credentials, frequent change of address, data security | FACTA (FTC "Red Flags" rule) |
| 26 | Immigration | Adria Baker, Associate Vice Provost for International Education, Executive Director of Office of International Students and Scholars 713-348-6095 abaker@rice.edu | VP Administration Kevin Kirby (for Employees) Vice Provost Academic Affairs Fred Higgs (for Students and Scholars) | Controller, Academic Programs | Visa status, eligibility for employment, tax issues | Immigration and Nationality Act |
| 27 | Information Technology | Marc Scarborough, Campus Chief Information Security Officer marc.a.scarborough@rice.edu 713-348-5735 | VP Information Technology (CIO) Klara Jelinkova | Administration, Finance, Enrollment, Financial Aid, Registrar, Treasurer | Privacy, Access controls for systems with student and employee data, virus/hacking prevention | FISMA, FERPA, GLBA, HIPAA, PCI DSS, GDPR, PATRIOT Act, CAN-SPAM, DCMA, HEOA, No Electronic Theft Act, NIST800-171 |
| 28 | Insurance and Workers Compensation | Renee Block, Director Risk Management rab@rice.edu 713-348-4751 | VP Administration Kevin Kirby | Human Resources, EH&S, OGC | Property and liability insurance policies, fiduciary, surety, special misc. insurance policies, international travel, safety | State law, bond agreements, FEMA |
| 29 | Intellectual Property & Technology Transfer | Asha Rajagopal, Director Technology Transfer asha.rajagopal@rice.edu 713-348-6231 | Vice Provost Research Yousif Shamoo | Principal Investigators (PI), Deans and Department Chairs, Controller, OGC | Filing technology disclosures with the Government, licensing Rice technology to third parties, Material Transfer Agreements, Non Disclosure Agreements | Bayh- Dole Act, Tech Transfer Act |
| 30 | International Activities & Programs | Beata Loch, Director Study Abroad bloch@rice.edu 713-348-3394 | Dean of Undergraduates John Hutchinson Dean of Graduate and Postdoctoral Studies Seiichi Matsuda | Academic Programs, Risk Management, Registrar, Controller, Information Technology, OGC | Visa status, access for disabled | FCPA, EAR, ITAR, OFAC, AD, FCPA, and host nation laws |
| 31 | IPEDS and External Reporting | Sivakumar Jaganathan Assoc Vice Provost of Institutional Research 713-348-4293 | VP Finance Kathy Collins | Registrar, Financial Aid, Dean of Undergraduates, Dean of Graduates and Postdoctoral Studies | Collection and reporting of data to the Dept. of Ed., US News, or higher education associations | Title IV of HEA |
| 32 | Minors on Campus | Renee Block, Director Of Risk Management rab@rice.edu 713-348-4751 | VP Administration Kevin Kirby | Faculty, Staff, and Students who interact with minors, EH&S | Weekend or summer camps, academic programs (K-12), minors in labs, recruiting, tours or field trips | Texas S.B.1414 |
| 33 | Radio and Broadcast | Will Robedee, General Manager, RBT Advisor willr@rice.edu 713-348-2935 | Dean of Undergraduates John Hutchinson | OGC | Broadcast license | FCC regulations |
| 34 | Records | Office of the General Counsel 713-348-348 zansitis@rice.edu | VP General Counsel Richard Zansitis | Registrar, Finance, Sponsored Research, Financial Aid, IT, RUPD | Privacy, Record retention policies, E discovery requests, litigations holds, requests for access | FERPA, HIPAA, GLBA, Texas S.B. 308, OMB UG |
| 35 | Research Integrity/Scientific Misconduct | William Turner, Assistant Vice Provost Research william.turner@rice.edu 713-348-6071 | Vice Provost Research Yousif Shamoo | Principal Investigators (PI), Deans and Department Chairs, or other Faculty and Staff conducting research | Improper cost charging, falsification of data or results, plagiarism | Public Health Service Regulations, HHS/NIH Regulations |
| 36 | Research Involving Animals or Recombinant DNA | Jacqueline Abendroth, Compliance Administrator iacuc@rice.edu@rice.edu 713-348-2342 | Vice Provost Research Yousif Shamoo | Principal Investigators (PI), Deans and Department Chairs, or other Faculty and Staff conducting research IACUC, EHS | Humane care and treatment of animals, use of Recombinant DNA in research | Animal Welfare Act, HHS/NIH Regulations |
| 37 | Research Involving Humans | Stephanie Thomas, Compliance Administrator for the Institutional Research Board (IRB) stephanie.d.thomas@rice.edu 713-348-3586 | Vice Provost Research Yousif Shamoo | Principal Investigators (PI), Deans and Department Chairs, or other Faculty and Staff conducting research, IRB, EHS | Conducting tests or surveys using people, informed consent | HHS/NIH Regulations, HIPAA |

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|----|---|--|--|--|---|--|
| 38 | Sexual Violence (Students) | Russell Barnes, Title IX Coordinator rcb@rice.edu 713-348-4350 http://safe.rice.edu/ | Dean of Undergraduates John Hutchinson Dean of Graduate and Postdoctoral Studies Seiichi Matsuda | Dean of Undergraduates, Dean of Graduates and Post Docs, OGC | Sexual assault, harassment or unwanted contact, stalking, relationship violence, stalking, exploitation, intimidation | Title IX, Violence Against Women Act, Campus Sex Crimes Prevention Act, FERPA, HIPAA |
| 39 | Student Activities | Kate Abad, Director Student Center kate.abad@rice.edu 713-348-3718 | Dean of Undergraduates John Hutchinson | Risk Management, General Counsel | Risk management training for student club/association members and advisors | Texas SB 1138 |
| 40 | Student Billing | Anne Walker, Director Office of Financial Aid anne.walker@rice.edu 713-348-8025 Brian Atwood, Director of Student Accounts and University Cashier brian.atwood@rice.edu 713-348-4946 | VP Enrollment Yvonne Romero Da Silva VP Finance Kathy Collins | Athletics, Registrar, Dean of Undergraduates, Dean of Graduates and Post docs, Financial Aid | Refunds of federal funds, tax documents | Title IV |
| 41 | Other Compliance or Regulatory Issues | Office of the General Counsel 713-348-348 zansitis@rice.edu Compliance Department Ken Liddle, Chief Compliance Officer kliddle@rice.edu 713-348-2287 | VP General Counsel Richard Zansitis VP Finance Kathy Collins | Internal Audit, Risk Management | New laws or guidance (such as Executive Orders or Dear Colleague letters) | Other |