

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 Lobo, 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 oscherwi@smu.edu 214-768-2210	Elizabeth Lobo 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 Lobo egloboa@smu.edu 214-768-3219	Deans, Financial Aid, Registrar, and OLA	Privacy, Eligibility for Title IV fund, Diversity, non	discr(i)-8.003 70.65 Td(OL)34.997 r11 15.9 ATEM

33 Records	<p>Elizabeth Loba egloboa@smu.edu 214-768-3219</p> <p>Chris Regis cregis@smu.edu 214-768-1178</p> <p>Paul Ward paulw@smu.edu 214-768-1551</p>	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 Loba 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 Loba egloboa@smu.edu 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	Animal Welfare Act, HHS/NIH Regulations
36 Research Involving Humans	Mary Travis mtravis@smu.edu 214-768-6428	<p>Sukumaran Nair nair@smu.edu 214-768-2856</p> <p>Elizabeth Loba egloboa@smu.edu 214-768-3219</p> <p>Sukumaran Nair nair@smu.edu 214-768-2856</p>	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	

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 oscherwi@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 oscherwi@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 oscherwi@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 Monique Marsh-Bell mmarshbell@smu.edu 214-768-6423 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.	