



CHAPMAN UNIVERSITY Compliance Matrix

Compliance Areas	Cognizant Senior Staff	Functionally Responsible Office	Compliance Partners	Compliance Risk Areas	Representative Law, Regulation, Requirement
Academic	<i>EVP/Provost/Chief Academic Officer</i> Norma Bouchard	Office of the Provost Office of Diversity, Equity, and Inclusion	Vice Provost of Undergrad Ed, Vice Provost of Graduate Ed, Deans and Department Chairs Legal Affairs Faculty Affairs	Faculty appointments, Promotions, Tenure, Discipline, Non-Discrimination in Academics, Payroll and Privacy issues	Civil Rights Act (e.g., Title VI, VII and IX), FERPA, ADA
Accreditation	<i>EVP/Provost/Chief Academic Officer</i> Norma Bouchard	Institutional Effectiveness	Deans, Department Chairs, Vice Provosts, and Vice Presidents	University Accreditation, Quality Enhancement Plan	HEOA and Programmatic Accreditation
ADA	<i>CHRO</i> Brian Powell <i>VP for Student Affairs/Dean of Students</i> Jerry Price <i>VP for Diversity, Equity, and Inclusion</i> Reg Stewart <i>VP Campus Planning and Design</i> Collette Creppell	HR Student Affairs Office of Diversity, Equity, and Inclusion Campus Planning Disability Services	Office of the Provost, Property Management, Strategic Marketing (website), IS&T	Access to buildings, accommodations in courses and the workplace, Website Accessibility, Digital Access	Americans with Disability Act (ADA) Section 504 Accommodations, Fair Labor Housing, State laws
Admissions	<i>VP and Dean of Enrollment</i> Mike Pelly	Office of Admissions	Deans, Financial Aid, Registrar, Office of Diversity, Equity and Inclusion	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, State laws



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Athletics	<i>EVP/Provost/Chief Academic Officer</i> Norma Bouchard	Athletics	Administration, Registrar, Financial Aid, Student Affairs, Risk Management, Vice Provost of Grad Ed (limited), Office of Diversity, Equity, and Inclusion	Gender equality, recruiting, records, camps, NCAA compliance, Protection of minors	Title IX, Equity in Athletics Disclosure Act, FERPA, NCAA compliance, SCIAC rules
Bond Financing	<i>EVP/COO</i> Harold Hewitt	Financial Services	Campus Planning, Deans, Legal Affairs	Private space use	IRS Safe Harbor Contract Rules (Rev procedure 97-13 and Revenue Procedure 2007-47)
Bookstore	<i>EVP/COO</i> Harold Hewitt	Academic Operations IS&T	Bookstore, Deans, Operations Directors, Faculty, IS&T & Provost Office	Textbook information implementation	HEOA - Textbook



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Cadavers	<i>EVP/Provost/Chief Academic Officer</i> Norma Bouchard	Crean College of Health and Behavioral Sciences	Dean Faculty EH&S Legal Affairs	Treatment and handling of cadavers	Contractual stipulations, State and Federal laws
Campus Safety	<i>EVP/COO</i> Harold Hewitt	Public Safety	EH&S, Housing and Dining, Parking, Risk Management, Fire Safety, Office of Diversity, Equity and Inclusion	Policing campus, crime reporting, building security, investigations, Building capacity, max. occupancy	Clery Act, VAWA, HEOA, Campus Sex Crimes Prevention Act, Title IX, California Corporate Code, Building Code, Fire Code
Conflict of Interest (Board members and key personnel)	<i>EVP/COO</i> Harold Hewitt	Office of the EVP/COO	Audit committee of the Board of Trustees, Deans and Key personnel, Institutional Compliance	Gifts, Stocks, Business Ownership, family relations	IRS Regulations for Non-profits, State Law, California Corporate Code, 990 form.



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Conflict of Interest (Research Faculty)	<i>VP</i> <i>Office of Research</i> Martina Nieswandt	Office of Research Integrity	Faculty Legal Affairs Provost Office	PI - Financial disclosures, improper influence over research or other decisions for financial, reputational or personal gain; self-dealing; nepotism	PHS, NSF, and HHS regulations Other funding sources
Construction and Campus Planning Contracts	<i>EVP/COO</i> Harold Hewitt <i>VP Campus Planning and Design</i> Collette Creppell	Campus Planning Facilities Management	Purchasing, Legal Affairs, Risk Management (insurance), Office of Diversity, Equity, And Inclusion	Competitive bids Purchase orders Contracts	ADA, Competitive bids, Purchase orders, Contracts, Fair Labor Housing
Donor Gift	<i>EVP/COO</i> Harold Hewitt <i>EVP/Chief Advancement Officer</i> Matt Parlow	University Advancement	Financial Services Investments Legal Affairs Financial Aid Office of Diversity, Equity and Inclusion	Explicit donor instructions on how funds can or cannot be spent, IRS regulations on gifts and endowments, state regulations on solicitation, Art gifts	State registration requirements, UPMIFA, Donor advised fund (DAF) and Family Foundation Requirements, Gift Agreement terms, IRS regulations, CAN-SPAM



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Emergency Preparedness	<i>EVP/COO</i> Harold Hewitt	Public Safety	Enterprise Risk Management Facilities Management Risk Management Sodexo	Reputational risk, Emergency Operations Plan, Evacuation Drills, Training, Food and water inventory, Crisis communication	Emergency Planning and Community Right Act (EPCRA), Clery Act, HEOA, FERPA, Contract stipulations
Environmental Health and Safety	<i>EVP/COO</i> Harold Hewitt	Enterprise Risk + Safety	Office Of Research EH&S Fire & Safety Campus Safety Strategic Marketing (Communications) Student Health Center	Lab safety, Controlled Substances, Building and Fire Codes, Workplace Safety, Waste Management, Biosafety, Occupational Health, Communicable Diseases	OSHA, CERCLA, Toxic Substance Control Act, Clean Air Act, Clean Water Act
Equity, Diversity and Affirmative Action	<i>CHRO</i> Brian Powell <i>Vice President of Diversity, Equity, and Inclusion</i> Reg Stewart	HR Office Of Diversity, Equity and Inclusion	Deans Department Chairs Student Affairs Institutional Effectiveness	Discrimination in hiring practices, Sexual harassment in the workplace, Cross Culture Center	Age Discrimination Act, EO 11246 (AA) Equal Pay Act, Title IV, VII, IX, Fair Housing Act, Pregnancy Discrimination Act

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Export Controls	<i>VP Office of Research</i> Martina Nieswandt	Office of Research Integrity	All faculty and staff with research responsibilities, Global Education, HR, Information Security, Legal Affairs	Publication restrictions on research, sending unpublished materials to foreign countries	ITAR, EAR, OFAC
Extended Education	<i>EVP/Provost/Chief Academic Officer</i> Norma Bouchard	Academic Administration	Deans Financial Aid (Advising) Financial Services Legal Affairs Registrar	Scheduling of classes, payment, credit hour determinations	State and Federal Laws HEA
Federal Contract and Grant Management Reporting (Pre/Post Award)	<i>VP Office of Research</i> Martina Nieswandt	Department of Sponsored Projects Services	Principal Investigators (PI), Deans, Department Chairs and administrators, Legal Affairs, HR, Financial Aid, Financial Services, Provost, Budget, Campus Planning and Facilities	Award requirements, Effort reporting, Financial reporting, Allowable expenses	OMB Uniform Guidance FAR Government suspension and debarment listing

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Financial Aid	<i>VP and Dean of Enrollment</i> Mike Pelly	Financial Aid	Registrar Cashier Admissions Athletics Payroll Financial Services	Eligibility for financial aid, required reports to DOE	Title IV, FERPA, HEOA, State laws
Financial Services (Escheatment)	<i>EVP/COO</i> Harold Hewitt	Financial Services	Deans Department Chairs Student Affairs	Escheatment	State Laws
Financial Services (Procurement)	<i>EVP/COO</i> Harold Hewitt	Financial Services (Purchasing)	Deans Department Chairs Controller Legal Affairs Office of Research IS&T (Software and Hardware), Office of Diversity, Equity and Inclusion	Purchasing policy, allowability of expenses, Supplier Diversity	Procurement services, Government suspension and debarment listing

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Financial Services (Student Business Office)	<i>EVP/COO</i> Harold Hewitt	Financial Services (Student Business Office)	Athletics Registrar Financial Aid Admissions Residence Housing (students)	Refunds of federal funds, tax documents	Title IV
Graduate Programs	<i>EVP/Provost/Chief Academic Officer</i> Norma Bouchard	Office of Vice Provost for Graduate Education	Financial Aid Registrar Legal Affairs Office of Diversity, Equity, and Inclusion	Privacy, Diversity, Non-discrimination, Out of state activity	ADA, FERPA, USERRA, Title IV/IX, HEOA, Veterans programs, program integrity rules on misrepresentation and incentive pay, State laws
Human Resources	<i>CHRO</i> Brian Powell	HR	Financial Services Legal Affairs Financial Aid Office of Diversity, Equity, and Inclusion	Employment benefits, leave, Personnel policies, recruiting, Termination, training, Federal work study, Independent contractor, Diversity, Equity and Inclusion	EEOC (Civil Rights Act Title VI) FLSA, Drug Free Workplace Act, Immigration and Nationality act, Labor Management Relations Act, OSHA, Social Security Act, Title VII, Executive compensation, ADA, HEOA, ERISA, COBRA, Workman's compensation, FMLA, Executive Order 11246, E-Verify, Affordable Care Act, FAR, JOLTS

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IS&T	<i>VP/Chief Information Officer</i> Helen Norris	Department of Information Security	Information Security Office of Research Legal Affairs Financial Services HR Office of Diversity, Equity and Inclusion	Privacy, access controls for systems with students and employee data, virus/hacking prevention, Data handling, Business Continuity	FISMA, FERPA, GLBA, HIPAA, PCI DSS, Patriot Act, CAN-SPAM, DMCA, HEOA, No Electronic Theft Act, FAR, State laws and Civil Code
International - Immigration Issues	<i>EVP/Provost/Chief Academic Officer</i> Norma Bouchard <i>EVP/COO</i> Harold Hewitt	Faculty Advancement HR Financial Services Office of Research Office of Diversity, Equity, and Inclusion	Admissions Student Affairs Legal Affairs	Foreign scholars and students; Visiting artists and lecturers, Employment visas; Application of tax treaties to payment to above, Diversity and Inclusion	Immigration and Nationality Act; Mutual Education and Cultural Exchange Act; SEVIS regulations; I-9 instructions and regulations, Export Controls, ITAR, EAR and OFAC
IPEDS and External Reporting	<i>EVP/Provost/Chief Academic Officer</i> Norma Bouchard	Institution Effectiveness	Registrar, Financial Aid, Student Affairs, VP of Graduate Education, Strategic Marketing	Collection and reporting of data to the Dept of Ed, US News, or Higher Education Associations	Title IV of HEA, Federal and State reporting

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Media Rights	<i>EVP/Provost/Chief Academic Officer</i> Norma Bouchard	College of Performing Arts Student Affairs Dodge College	College of Performing Arts, Student Affairs, Dodge College, University Advancement, (Panther Productions, Strategic Marketing Communications), IS&T Legal Affairs	Blanket Music Rights Script and Digital Rights	Copyright (Music and Film), Federal and State Laws Private contracts
Minors on Campus	<i>EVP/COO</i> Harold Hewitt	Enterprise Risk Management	Faculty, Staff and Students who interact with minors, HR, Office of Diversity, Equity and Inclusion, Institutional Events	Camps, Academic Programs, Mandatory Reporting, Background Checks, Minors on Campus, Recruiting	California Penal Code
Records	<i>EVP/Provost/Chief Academic Officer</i> Norma Bouchard <i>EVP/COO</i> Harold Hewitt <i>EVP/Chief Advancement Officer</i> Matt Parlow	Deans Department Heads Legal Affairs IS&T Institutional Compliance	Registrar, Financial Services, Office of Research, IS&T, University Advancement, Financial Aid, Departments	Privacy, Record Retention Policy, E- Discovery Requests, Litigation Holds, Requests for Access	FERPA, HIPAA, GLBA, FAR, Litigation Holds

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Real Estate/Property Management	<i>EVP/COO</i> Harold Hewitt	Facilities Management	Facilities Management HR, Financial Services,	Eviction notices, Income tax, Fair market value (FMV) smoke and CO2 detectors	FMV - IRS
Responsible Conduct Research/Research Misconduct	<i>VP Office of Research</i> Martina Nieswandt	Department of Research Integrity	Principal Investigators (PI) Deans and Department Chairs, or other Faculty and staff conducting research	Faculty appropriate training to students, Improper cost charging, Falsification of data or results, Plagiarism	Public Health Service Regulations, HHS (ORI)/NIH regulations, NSF, NIH
Research involving Animals	<i>VP Office of Research</i> Martina Nieswandt	Department of Research Integrity	Principal Investigators (PI) Deans and Department Chairs, or other Faculty and staff conducting research IACUC, EHS	Humane care and treatment of animals	Animal Welfare Act, HHS (OLAW)/NIH regulations

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Research involving Humans	<i>VP Office of Research</i> Martina Nieswandt	Department of Research Integrity	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, Federal Law Assurance
Title IX	<i>CHRO</i> Brian Powell <i>VP for Student Affairs/Dean of Students</i> Jerry Price <i>VP of Diversity, Equity and Inclusion</i> Reg Stewart	Student Affairs HR Office of Diversity, Equity and Inclusion	Public Safety, HR, Dean of students, Legal Affairs	Title IX - Sexual Assault Title IX - Reporting Title IX - Sexual Harassment, Diversity, Equity, and Inclusion	Title IX, Violence Against Women Act, Campus Sex Crimes Prevention Act, FERPA, HIPAA

* Approved by the Institutional Compliance Committee 2/17/20, 4/7/20 7/26/21

Revised 11/9/22