

**FY2020 OFFICES AND LIAISONS FOR  
COMPLIANCE ISSUES & CONCERNS**

<b>Compliance Area</b>	<b>Description</b> <i>Description of the type of issues, comments or acts that would fall into the respective compliance area</i>	<b>Office(s)</b> <i>Responsible Office</i>	<b>Compliance Liaison / Contact</b> <i>Designated liaison to answer compliance questions and address concerns regarding non-compliance</i>
<b>CONFLICT OF INTEREST</b>			
Conflict of Interest in Research	A situation in which a faculty or a family member has a financial interest or non-financial interest that may compromise, or provide the incentive to compromise a research project	Office of Research	Linda Gardner, Director Research Enhancement and Compliance Services  Diane Lewis, Director Research Financial & Compliance Services
Conflict of Interest (including Nepotism and Personal relationships in the workplace; Consulting, Outside Employment and Other Outside Activities; Purchasing and Contracts; Use of University Resources: Gifts and Gratuities; Solicitation and Distribution)	A situation in which a member of the University community or a family member has a financial interest or non-financial interest that may compromise, or provide the incentive to compromise, the behavior in the conduct of the member of the University community's duties at the institution, influence over his/her associates outside the institution. A conflict may be real, potential or apparent.	Office of Human Resources / Office of Institutional Compliance	Yolanda Edmond, Senior Associate Vice President of Human Resources and Payroll Services  Yolanda Nimmer-Williams, Director of Institutional Compliance

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Conflict of Commitment	A situation in which a faculty member or a family member has a financial interest or non-financial interest that may compromise, or provide the incentive to compromise, the behavior in the conduct of the faculty member's duties at the institution, influence over his/her associates outside the institution. A conflict may be real, potential or apparent.	Office of the Provost / Office of Human Resources	Kendell Harris, Provost /Vice President for Academic Affairs & Research  Yolanda Edmond, Senior Associate Vice President of Human Resources and Payroll Services
<b>FINANCIAL MATTERS AND REPORTING</b>			
Student Financial Aid	Requirements relating to applying and receiving financial aid.	Financial Aid Department	Linda Ballard, Director Student Financial Assistance
IRS and Tax	Requirements relating to worker's status for the purpose of federal employment taxes and income tax withholding	Office of Administration and Finance	TBA, Controller
Financial (excluding Payroll)	Requirements relating to the University's financial guidelines.	Office of Administration and Finance	TBA, Controller
Gift Restrictions	Requirements relating to the use of donor funds.	Treasury Department	Alfred Norris, Associate Vice President Treasury and Budgets
Procurement	Requirements relating to supplier of contractor activity including selection based on personal gain, improper negotiation or diversion of contract awards.	Office of Procurement Services	TBA, Executive Director of Procurement Services

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Workers' Compensation	Requirements relating to filing claims for members of the University injured on the job.	Risk Management	Mellany Patrong, Risk Management Specialist
<b>INTEGRITY AND ETHICAL CONDUCT</b>			
Sexual Harassment, Racial and Ethnic Harassment, Discrimination Disabilities	Unfair treatment or violation of a University policy on the basis of a protected classification such as sex, religion, ethnicity or beliefs.	Office of Human Resources	Yolanda Edmond, Senior Associate Vice President of Human Resources and Payroll Services
Title IX	Protects people from discrimination based on sex in education programs or activities that receive Federal financial assistance.	Title IX Office	Dwalah Fisher, Interim Title IX Coordinator
Privacy / HIPPA	Refers to the technical, contractual administrative and physical steps taken by the University to protect against unauthorized access to and disclosure of personally identifiable data of	Office of Human Resources / General Counsel	Yolanda Edmond, Senior Associate Vice President of Human Resources and Payroll Services  Hao Le, General Counsel
Privacy (FERPA)	Refers to the technical, contractual administrative and physical steps taken by the University to protect against unauthorized access to and disclosure of personally identifiable data of	Office of Student Affairs  General Counsel	Teresa McKinney, Vice President Student Services & Dean of Students  Hao Le, General Counsel
Workplace Violence Campus Crime and Security Preparedness Reporting	An expression of the intention to inflict evil, injury, or damage to a person or their property.	Campus Safety (Police Department)	Mary Young, Chief of Police

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Fraud	Fraudulent or related dishonest activities.	Office of Internal Audit	Charla Parker-Thompson, Chief Audit Executive  Keith Beckford, Fraud Manager
<b>MEDIA RELATIONS AND INFORMATION REQUESTS</b>			
Communication with Outside Media	Refers to granting interviews or communicating with the media, particularly regarding issues of sensitive subject matters.	Office of Communications	Melinda Spaulding, Vice President of University Advancement
Mass Distribution of Written and Electronic Materials to All Members of the University Community.	Sending mass materials to all members of the community without approval.	Office of Communications	TBA, Assistant Vice President of Marketing and Communications
Open Records Request	Texas Government Code, Chapter 552, gives you the right to access government records. All requests for such should be sent here.	Office of General Counsel	Hao Le, General Counsel
<b>PERSONNEL POLICIES AND PROCEDURES</b>			
Rules and Procedures of Faculty, Professional Research (including Post-doctoral Fellows), Technical and Library Staffs	Involves any faculty member that is in violation of the University's principles of conduct, faculty handbook, rights, rules, responsibilities, HR policy and procedures or any other item that constitute employee conduct.	Office of the Provost	Kendell Harris, Provost

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Human Resources Policies and Procedures	Involves any staff member that is in violation of the University's principles of conduct, rights, rules responsibilities, HR policy and procedures or any other item that constitute employee conduct.	Office of Human Resources	Yolanda Edmond, Senior Associate Vice President of Human Resources and Payroll Services
Immigration Services	Advising or processing of documents for international students, faculty, and research and technical staff.	Office of Human Resources / General Counsel	Yolanda Edmond, Senior Associate Vice President of Human Resources and Payroll Services  Hao Le, General Counsel
<b>RESEARCH</b>			
Research Administration	Requirement relating to unallowable or questionable expenditures or cost transfers to government grants contracts or other agreements.	Office of Administration and Finance	Diane Lewis, Director Research Financial and Compliance Services
Scientific Misconduct	Fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting or reporting research.	Office of Research	Linda Gardner, Director Research Enhancement and Compliance Services

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Human and Animal Subjects	Inappropriate use of humans or animals involved in research.	Office of Research	Linda Gardner, Director Research Enhancement and Compliance Services
Bio-safety	Bio-safety requirements needed to perform research in a secure environment. Potential areas of harm.	Office of Research	Linda Gardner, Director Research Enhancement and Compliance Services
Radiation Safety	Radiation safety requirements needed to perform research in a secure environment. Potential areas of harm.	Office of Research	Linda Gardner, Director Research Enhancement and Compliance Services
<b>USE AND CARE OF UNIVERSITY RESOURCES</b>			
Use of University Information Technology Resources	Unauthorized or inappropriate use of the University's computer systems.	Office of Information Technology	Mario Berry, Chief Information Officer

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Use of Copyrighted Materials	Unauthorized and unlawful disclosure of confidential information including inventions, research, and technical data, formulas, discoveries, designs, improvements, ideas, manufacturing directives, copyrights, and all related documents.	Office of General Counsel	Hao Le, General Counsel
Use of University Trademark and Identify	Unauthorized and unlawful disclosure of trademarks, and all related documentation.	Office of General Counsel	Hao Le, General Counsel
Patents	Unauthorized and unlawful disclosure of patent, and all related documentation.	Office of General Counsel	Hao Le, General Counsel
Use of University Facilities and Physical Assets	Improper or unauthorized use of University resources. The misuse/abuse of University support services, equipment or assets.	Office of General Counsel	Hao Le, General Counsel
Information Security	Confidentiality refers to the protection of the institutions' and customer's non-public information and use of such information only for legitimate business purposes.	Office of Information Technology / Internal Audit & Assurance	TBA, Chief Information Security Officer

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<b>WORKPLACE &amp; ENVIRONMENTAL HEALTH AND SAFETY</b>			
Laboratory Chemical and Laser Safety and US EPA	The requirements of any applicable law, rule, or regulation relating to laboratory chemical and laser safety including, regulations promulgated by the US Environmental Protection Agency and similar agencies in other jurisdictions.	Department of Environment Health and Safety	Alus Dove, Environment Health and Safety
Employee Safety & OSHA	The requirements of any applicable law, rule or regulations relating to the environment, working conditions or workplace safety, including, without limitation, regulation promulgated by the US Occupational Safety and Health Administration and similar agencies in other jurisdictions.	Department of Environment Health and Safety	Alus Dove, Environment Health and Safety
Construction and Housing Codes and Building inspections.	The requirements of any applicable law, rule or regulations relating to housing, building and construction codes.	Facilities Department	Bertran Harrison, Executive Director Facilities and Maintenance Services
Environmental	Failure to meet the requirements of any applicable law, rule or regulation relating to the environment, working condition or workplace safety including regulations promulgated by the US Environmental Protection Agency and similar agencies in other jurisdictions.	Department of Environment Health and Safety	Alus Dove, Environment Health and Safety



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Fire Inspections	The requirements of any applicable law, rule or regulation relating to fire safety.	Department of Environment Health and Safety	Alus Dove, Environment Health and Safety
<b>ATHLETICS &amp; NCAA</b>			
Athletics	Compliance of all constituencies (e.g., College staff, student-athletes, alumni, and friends) with all NCAA rules and regulations as well as Texas Southern University policies and procedures.	Athletics Department	Larry Woods, Director of Compliance