

## Western Washington University Regulatory Compliance Accountability Matrix

Compliance Owner	Responsible Executive Officer	Compliance Category	Regulatory Topic	Key Compliance Partner(s)	Examples of Regulations (see Regulation Inventory for detailed list)
Director of Athletics	VP for ESS	Athletics	Athletics	Risk Management, Registrar, Dean of Students, EO, Financial Aid; Accounting Services; Box Office	Title IX, NCAA Division II, Child Abuse RCW, Equity in Athletics Disclosure Act
Director of Facilities Development and Capital Budget	VP for BFA	Business	Capital Planning	Facilities Management, AAG, Risk Management, Business Services	State and City requirements regarding development and construction
Ethics Advisor	VP for BFA	Business	Ethics	Compliance Officer, Director of Business Services, Director of Financial Services, Assistant Provost for RSP, Faculty Senate, AVP for Human Resources	State Ethics Code
Director of Facilities Management	VP for BFA	Business	Facilities Management - Construction (non-public works)	EHS, Facilities Development	State and City code requirements.
Risk Management	VP for BFA	Business	Insurance	EHS, Academic Affairs, Student Affairs	State law, FEMA
Associate VP for BFA/Internal Control Officer/Interim Internal Auditor	VP for BFA	Business	Internal Controls (IC) - Non Research (see also IC - Research)	Internal Audit	SAAM Chp 20; 22
Director of Facilities Development and Capital Budget	VP for BFA	Business	Public Works - Design and Construction	Business Services, Executive Officers, Facilities Management, Space Administration	Washington State Building code, RCW 39.04, 39.08, 39.28, State Capital Biennial Budgets
Director of Facilities Development and Capital Budget	VP for BFA	Business	Public Works - Design and Construction Contract Administration (includes MWBE tracking)	Facilities Management, AAG, Risk Management	RCW 39.04, 39.08, 39.10, 39.19, 39.30, State Capital Biennial Budgets
Director of Small Business Development Center	VP for UR and Marketing	Business	Small Business Assistance	Research and Sponsored Programs	Small business development center program authorization (15 U.S. Code § 648)
Executive Director of Civil Rights and Title IX/ADA Coordinator	Provost	Civil Rights	Disability Access	Disability Student Resources, Human Resources, Facilities Management, Residence Life, Registrar, Web Services; FDCB	ADA, EO/AA, Civil Rights, State Non-Discrimination, Rehabilitation Act
Executive Director of Civil Rights and Title IX/ADA Coordinator	Provost	Civil Rights	EO/AA, Civil Rights, Non-Discrimination, Harrassment, Diversity	AVP for Human Resources, Registrar, Director of Residence Life	EO/AA, Civil Rights, Title IX, Non-Discrimination, Equal Pay Act
Assistant Vice President for Human Resources	VP for BFA	Employment	Employment & Benefits	Accounting Services, Vice Provost for EO/Diversity; Student Employment Office	FLSA, Bargaining Unit Contracts, Immigration Reform and Control Act, Social Security Act, Tax Code, Health Care Authority; Labor & Industry Rules
Director of Financial Services	VP for BFA	Financial	Accounting, Accounts Payable, Payments to Foreign Nationals	Human Resources, Contract Administration, Purchasing	Tax code, USCIS Laws; SAAM; RCW 43.88

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Chief Operating Officer for University Advancement; Vice President/CFO of WWU Foundation	VP for UA	Financial	Advancement/ Endowments	Research and Sponsored Programs	UPMIFA; IRC; substantiation and disclosure rules, CAN-SPAM; charitable solicitation and registration in various states
Chief Procurement Officer (Director of Business Services)	VP for BFA	Financial	Assets, Inventory	Accounting Services, RSP, Facilities Management	SAAM
Director of Facilities Development and Capital Budget	VP for BFA	Financial	Capital Budget	Facilities Management, University Budget Office	RCW 39.04, 39.12, 39.44, State Capital Biennial Budgets
Chief Procurement Officer (Director of Business Services)	VP for BFA	Financial	Contracts/Purchasing	Accounting Services; Treasury Services, Vice Provost for RSP, Risk Management	Anti-Kickback Act of 1986; Byrd Amendment; Contract Disputes Act; Copeland Anti-Kickback Act; State DES rules; RCW/SAAM - Procurement
Assistant VP ESS/Director of Financial Aid	VP for ESS	Financial	Financial Aid	Student Business Office, Accounting Services, Student Employment; WWU Foundation	Title IV Student Aid; RCW 28B.92.030; RCW 28B.12.010; scholarship compliance awarded through financial aid
Associate Vice President, Business and Financial Affairs	VP for BFA	Financial	Investments	Business and Financial Systems; Purchasing, Human Resources, Budget Office	US and state tax code, SAAM, GAAP
Director of Public Safety/ Police Chief	VP for BFA	Health and Safety	Campus Crime Statistics (Clery)	University Police, Residence Life, EO, Prevention/ Wellness	Clery Act
Assistant Vice President for Human Resources	VP for BFA	Health and Safety	Drugs/Alcohol - Employees	Director of Public Safety, Director of EHS, Risk Management	State Liquor Board requirements, Labor and Industries rules, Drug Free Schools and Communities Act
Executive Director of Health and Wellness	VP for ESS	Health and Safety	Drugs/Alcohol - Students	Student Health Center, Counseling Center, Dean of Students, Residence Life, Public Safety, Disability Access Center	Drug Free Schools and Communities Act; HEOA
Director of EHS	VP for BFA	Health and Safety	Environmental Health	Risk Management, Vice Provost for Research, Director of Facilities Management, Director of Public Safety	OSHA, CERCLA, Toxic Substance Control Act, Clean Air Act, Clean Water Act
Director of Advancement Events	VP for UA	Health and Safety	Events for External Constituents	Housing and Dining; Public Safety; Parking Services; Contract Administration; President/Provost Office Events Coordinator; Viking Union; Space Administration; Director of Community Relations	FDA regulations, state public health laws; local ordinances; liquor board requirements, WAC 516
Director of Facilities Management	VP for BFA	Health and Safety	Facilities Management - Operations and Maintenance	Environmental Health and Safety	State and City code requirements.
Director of Residence Life	VP for ESS	Health and Safety	Housing	Risk Management; Facilities Management; Prevention and Wellness, Director of Disability Access Center; Registrar; Student Business Office	ADA, HUD

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Director of Student Health Services (University Medical Director)	VP for ESS	Health and Safety	Medical Services - Students	Student Counseling Center; Prevention and Wellness; Disability Access Center	Professional certification and licensing requirements; federal and state medical quality and competency standards for health care providers
Director of Counseling Clinic (Psychology Department)	Provost	Health and Safety	Medical/Mental Health - Public Services	Director of Counseling Center; Director of Student Health Center	Laws governing the practice of health/therapy services; Professional licensing requirements
Director of Counseling Center	VP for ESS	Health and Safety	Mental Health Services - Students	Student Health Center, Prevention and Wellness, Dean of Students, Residence Life, Public Safety, Disability Access Center	Professional certification and licensing requirements; RCW 71 Mental Illness; WAC 246; Mandatory reporting RCW 26.44.030
Director of EHS	VP for BFA	Health and Safety	Occupational Health and Safety	Risk Management, Vice Provost for Research, Director of Facilities Management, Director of Public Safety	OSHA, WA State Dept. Labor and Industries, Toxic Substance Control Act, Clean Air Act, Clean Water Act, Safe Drinking Water Act, AHERA
Director of Risk, Compliance, & Policy Services	VP for BFA	Health and Safety	Protection of Minors	Extended Ed, Athletics, Campus Recreation; Public Safety	RCW 26.44 Abuse of Children
Director of Student Health Services (University Medical Director)	VP for ESS	Health and Safety	Public Health - Communicable Diseases	Human Resources; Provost Office; Registrar	Department of Health - Communicable Diseases WAC 246
Director of Public Safety/ Police Chief	VP for BFA	Health and Safety	Public Safety/ Security	EHS, FM, Parking Services, University Communications, Prevention & Wellness, Equal Opportunity, Dean of Students Office	Campus Sex Crimes Prevention Act; RCW 9 and 9A: Criminal Code; RCW 46 (Traffic); WAC 516-52 Weapons and Armaments; Clery Act Compliance
Director of University Residences	VP for ESS	Health and Safety	Special Events - Housing and Conferences	Risk Management; Facilities Management; Public Safety; Parking Services	FDA regulations, state public health laws; local regulations; liquor board requirements
Speech/Language Clinic Director	Provost	Health and Safety	Therapy/Rehabilitation Services - Public Services	Director of Counseling Center; Director of Student Health Center	Laws governing the practice of health/therapy services; Professional licensing requirements
Vice Provost for Undergraduate Education	Provost	Higher Education	Accreditation	Deans, Institutional Research	Higher Education Opportunity Act (HEOA), SARA, NWCCU, and Programmatic Accreditations
Director of Admissions	VP for ESS	Higher Education	Admissions	Financial Aid, Registrar	EO/AA, ADA, FERPA, USERRA, Title IX/IX, HEOA, Veterans Programs; Program Integrity Rules
TBD	VP for ESS	Higher Education	HEA Required Disclosures	Registrar, Financial Aid, Admissions	Higher Education Opportunity Act
Executive Director of Civil Rights and Title IX/ADA Coordinator	Provost	Information	Affirmative Action Reporting	HR; Institutional Research	Federal Executive Order 11246; State Executive Order 93-07

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Chief Information Officer	Provost	Information	Information Security (IS)	Financial Services, Registrar, Health Clinics, Business & Financial Systems; Financial Aid; Contract Administration; Human Resources; RSP; Western Foundation; Alumni Association	Washington State OCIO policies; GLBA (security rule); Digital Millennium Copyright Act
Director of University Marketing	VP for UR and Marketing	Information	Marketing, Online Privacy	Webservices/WebTech; WWU Marketing Committee	Truth in Advertising, Children's Online Privacy Act, Consumer Fairness Review Act
Director of University Communications	VP for UR and Marketing	Information	Media Relations/Social Media	University Police Department; Human Resources; Webservices	Media laws; free speech; defamation; copy right privacy laws
Director of Counseling Clinic (Psychology Department)	Provost	Information	Privacy - Client Personal Health Information for treatment purposes	HIPAA Officer; FERPA Officer; CIO	RCW 70; ADA; FERPA; GDPR; State OCIO policies
Speech/Language Clinic Director	Provost	Information	Privacy - Client Personal Health Information for treatment purposes	HIPPA Officer; FERPA Officer; CIO	RCW 70; ADA; FERPA; GDPR; State OCIO policies
Assistant Director of Treasury Services	VP for BFA	Information	Privacy - Credit Card Information	CIO; Assistant Director of Student Business Services	PCI; GDPR
Registrar	VP for ESS	Information	Privacy - Educational Records	CIO; Financial Services/SBO; Financial Aid; ATUS; HIPAA Officer	FERPA; GDPR
Assistant Vice President for Human Resources	VP for BFA	Information	Privacy - Employee Records	HIPAA Officer; Vice Provost for EO	Labor and Industry rules, ADA, FMLA, RCW 49.12; GDPR
Counseling Center Director	VP for ESS	Information	Privacy - Patient/Client Personal Health Information for treatment purposes	HIPAA Officer; FERPA Officer; CIO	RCW 70; ADA; FERPA; GDPR; State OCIO policies
Director of Student Health Services (University Medical Director)	VP for ESS	Information	Privacy - Patient/Client Personal Health Information for treatment purposes	HIPAA Officer; FERPA Officer; CIO	RCW 70; ADA; FERPA; GDPR; State OCIO policies
Vice Provost for Research	Provost	Information	Privacy - Research	HIPAA Officer; CIO	OMB Uniform Guidance; GDPR
Director of Risk, Compliance, & Policy Services	VP for BFA	Information	Public Records	University Relations and Marketing; AAG Office; University Archives and Records Center	RCW 42.56

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Associate Dean of Student Engagement and Director of Viking Union (KUGS-FM)	VP for ESS	Information	Radio and Broadcast	Director of Communications and Marketing	FCC regulations
Director of Institutional Research	Provost	Information	Reporting - External Data	Data Custodians (HR, Registrar, Admissions, Financial Aid, Accounting Services; University Budget Office); CIO, Business and Financial Systems, EAS, Library, Residence Life	IPEDS, state reporting requirements
Executive Director, Institute for Global Engagement	Provost	International	Education Abroad	Risk Management; Registrar's Office; Dean of Students; EO; University Police; Financial Aid; Business Services; DAC; Prevention and Wellness	Host country immigration law; FERPA; Clery Act; Title IX; ADA; federal financial aid policy; GDPR
Executive Director, Institute for Global Engagement	Provost	International	International Students and Scholar Services	Human Resources, Risk Management	Dept of Homeland Security (DHS): 8 CFR, F-1 students; Dept of State (DOS): 22 CFR, J-1 Exchange Visitors; 9 FAM 402.5, Students and Exchange Visitors
Vice Provost for Research	Provost	Research	Copyright (See also Intellectual Property)	Director of Business Services, Dean of Libraries	Copyright Act 1976; DMCA, HEOA; Visual Artists Rights Act; Bayh-Dole Act; CREATE Act; Lanham Act; Trademark Revision Act; TEACH Act
Vice Provost for Research	Provost	Research	Export Controls	Chief Procurement Officer	US dept of ITAR, US dept of Commerce EAR, OFAC
Vice Provost for Research	Provost	Research	Intellectual Property	Principal Investigators, Deans, Chairs	US Patent Act; Trademark Revision Act
Vice Provost for Research	Provost	Research	Internal Controls (IC) - Research (see also IC - Non Research)	Associate VP for BFA (Internal Control Officer); Ethics Officer	OMB Uniform Guidance 2CFR200.303
Vice Provost for Research	Provost	Research	Research	Principal Investigators, Deans, Chairs	HIPAA, HHS/NIH regulations, Animal Welfare Act, Public Health Service regulations; False Claims Act
Director of Government Relations	President	Special	Government Relations	Provost, VP for BFA, VP for ESS	RCW 42.17A.635; RCW 42.52; PL 110-81;