



Compliance Matrix

All UW-Whitewater personnel have a responsibility to understand their compliance obligations and comply with any associated filing requirements. Please note: Compliance Areas may involve multiple departments on our campus due to the nature or scope of the topic.

Compliance Area	Compliance Area Owner(s)	Operational Owner(s)	Examples of Sources of Compliance Obligations
Academic Programs	Provost	Associate Provost, Deans	Higher Learning Commission (HLC) policies, Wis. Administrative Code, Regent Policy, State Authorization Reciprocity Agreement, HEOA
Accounting, IRS, Taxes	Vice Chancellor of Finance and Administrative Affairs	Controller, Director of Financial Services	Internal Revenue Code, OMB Uniform Guidance, Chapter 36 Wis. Stats.
Accreditation	Provost	Director of Institutional Research, Assessment and Planning, Vice Chancellors, Deans, Associate Provost	HLC policies, HEOA
ADA	Vice Chancellor of Finance and Administrative Affairs	Chief Human Resources Officer, Director of CSD	ADA, Section 504 of the Rehabilitation Act
Admissions	Assistant Vice Chancellor of Enrollment and Retention, Vice Chancellor of Finance and Administrative Affairs	Director of Admissions, Deans, Financial Aid, Registrar	FERPA, HEOA, Veterans Programs, DOE Program Integrity Rules, Title IV, Title IX, Americans with Disabilities Act (ADA)
Affirmative Action	Vice Chancellor of Finance and Administrative Affairs	Chief Human Resources Officer	Civil Rights Acts, Affirmative Action/Equal Employment Opportunity Executive Order
Athletics	Director of Athletics	Associate Athletic Director, Coaches	Equity in Athletics Disclosure Act, Title IX, FERPA, NCAA, HIPAA

Contact the Quality Assurance Improvement Manager by email at williamm@uww.edu or by telephone (262) 472-1772 with any questions or concerns.

Compliance Area	Compliance Area Owner(s)	Operational Owner(s)	Examples of Sources of Compliance Obligations
Broadcast - Licensed Activities	Vice Chancellor of Student Affairs	T.V. and Radio channels, UW-W TV	FCC Regulations
Campus Safety	Vice Chancellor of Finance and Administrative Affairs	Chief of Police, Dean of Students, Executive Director of University Housing, Director of Risk Management, Director of Facilities Planning & Management, University Health Services	Clery Act, Violence Against Women Act (VAWA), Drug Free Schools and Communities Act, OSHA
Civil Rights / Non-Discrimination	Vice Chancellor of Finance and Administrative Affairs	Chief Human Resources Officer, Title IX Coordinator, Dean of Students	ADA, Civil Rights Acts, Affirmative Action/Equal Employment Opportunity Executive Order
Communications / Media Relations / Web Design	Assistant Chancellor for Marketing & Communications	Digital Marketing Coordinator, Assistant Director of University Marketing and Communications	ADA, Copyright Act, Electronic Communications Privacy Act
Conflicts of Interest	Chancellor, Vice Chancellor of Finance and Administrative Affairs	Provost, Deans, Department Chairs, Chief Human Resources Officer, Quality Assurance and Compliance Officer	Chapter UWS 8, Wis. Administrative Code, Regent Policy D 20-22, Chapter 19, Wis. Stats., NIH regulations
Contracts / Procurement	Vice Chancellor of Finance and Administrative Affairs	Controller, Director of Financial Services	Chapter UWS 16, Wis. State Procurement Manual, Wis. State Accounting Manual
Copyright	Provost, Vice Chancellor of Finance and Administrative Affairs	Library, ITS, Residence Life	Copyright Act, Digital Millennium Copyright Act (DMCA), TEACH Act, HEOA
Development / Advancement	Vice Chancellor of University Relations	COO of University Advancement, CFO of University Advancement	Regent Policy, IRS Code
Dining Services	Vice Chancellor of Finance and Administrative Affairs	Director of Dining Services	Wis. Food Code (Department of Agriculture, Trade, and Consumer Protection), Federal Work-Study Program Rules

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Disability Services - Faculty and Staff	Vice Chancellor of Finance and Administrative Affairs	Director of CSD, Chief Human Resources Officer	ADA, Section 504 of the Rehabilitation Act
Disability Services - Students	Vice Chancellor of Student Affairs	Director of CSD, Dean of Students, Chief Human Resources Officer	ADA, Section 504 of the Rehabilitation Act
Inclusivity and Belonging	Vice Chancellor of Student Affairs , Vice Chancellor of Finance and Administrative Affairs	Coordinators of the Warhawk Connection Center, Director of CSD, Dean of Students, Chief Human Resources Officer	ADA, Section 504 of the Rehabilitation Act, Veteran's Benefits Improvement Act
Emergency Management	Vice Chancellor of Finance and Administrative Affairs	Chief of Police, University Health Services	Clery Act, HEOA, Emergency Planning and Community Right Act (EPCRA), Regent Policy, FERPA
Employee Welfare Benefit Plans	Vice Chancellor of Finance and Administrative Affairs	Chief Human Resources Officer	COBRA, ERISA, HIPAA, retirement and other deferred compensation arrangements. USERRA, Medicare, Medicaid, and SCHIP, GINA
Environmental Health and Occupational Safety	Vice Chancellor of Finance and Administrative Affairs	Director of Risk Management, Chief Human Resources Officer, Director of Facilities Planning & Management	OSHA, Department of Safety Professional Services, Fire Marshall dictates, HEOA, National Fire Protection Agency (NFPA) codes, DNR
Ethics	Vice Chancellor of Finance and Administrative Affairs	Ethics Officer, Quality Assurance and Compliance Officer	Regent Policy, OMB Uniform Guidance, Ethics in Government Act, Wis. Administrative Code
Export Controls	Provost, Vice Chancellor of Finance and Administrative Affairs	Office of Research & Sponsored Programs, Deans, Department Chairs, Faculty, ITS	Regent policy, ITAR, EAR, OFAC, Export Trading with the Enemy Act
Business Operations - Facilities and Auxiliary Services	Vice Chancellor of Finance and Administrative Affairs	Director of Facilities Planning & Management, Purchasing Director, Assistant Vice Chancellor for Student Affairs	ADA, EPA, OSHA, Regent policies, Wis. Administrative codes, Wis. Dept. of Safety and Professional Services

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Federal & State Notice and Disclosures	Provost, Vice Chancellor of Finance and Administrative Affairs, Assistant Vice Chancellor of Enrollment and Retention	Dean of Students, Chief of Police, Registrar, Chief Information Officer & ITS, Directors of Admissions, Financial Aid,	HEOA, SARA, Student Right to Know Act, Clery Act, Campus Sex Crimes Prevention Act, VAWA, Title IV
Financial Aid	Assistant Vice Chancellor of Enrollment and Retention, Vice Chancellor of Finance and Administrative Affairs	Director of Financial Aid, Director of Admissions, Registrar, Controller, Director of Financial Services	Title IV, Title IX, HEA, Federal Grant and Loan Programs, Regent and UW System policies, Student Right to Know Act, FERPA
Fiscal Management	Vice Chancellor of Finance and Administrative Affairs	Controller, Director of Financial Services	Chapter 36, Wis. Stats. Regent policy, Byrd Amendment, Internal Revenue Code, state and federal banking regulations, HEOA
Governance	Chancellor	Assistant Provost, Faculty Senate, Whitewater Student Government, University Staff Council, Academic Staff Assembly, Dean of Students	Chapter 36 Wis Stats., Wis. Administrative Code, Regent Policy, UW System Administrative Policy, UW System Operational Policies
Government Relations	Chancellor	Director of Government Relations	State of Wisconsin Ethics Commission, Internal Revenue Code
Grants Administration	Provost	Research & Sponsored Programs, Grants Manager, Deans	Byrd Amendment, OMB Uniform Guidance, False Claims Act, Regent Policy, UW System Administrative Policy
Human Resources - Faculty	Vice Chancellor of Finance and Administrative Affairs, Provost	Chief Human Resources Officer, Deans, Department Chairs	Chapter 36 Wis Stats., Wis. Administrative Code, UW System Administrative and Operational Policies, federal laws regarding the fair treatment of employees, ADA

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Human Resources - Staff	Vice Chancellor of Finance and Administrative Affairs, Provost	Chief Human Resources Officer	ADA, Social Security Act and Federal Insurance Contributions Act (FICA), EEOC (Civil Rights Act Title VII); Equal Pay Act, FMLA, Drug Free Workplace Act, Wis. Administrative Code
Immigration - Faculty and Staff	Vice Chancellor of Finance and Administrative Affairs, Provost	Chief Human Resources Officer, Deans	Immigration and Nationality Act, Export Controls, Import Controls, UW System Administrative Policy
Immigration - Students	Provost	International Student/Scholar Coordinator, Global Experience Coordinator	UW System Administrative Policy, Immigration and Nationality Act, Student and Exchange Visitor Program
Information Security and Privacy	Vice Chancellor of Finance and Administrative Affairs, Assistant Vice Chancellor of Enrollment and Retention	Registrar, Controller, Director of Admissions, Director of Financial Services, Chief Human Resources Officer	Regent Policy Document 25-5, FERPA, PCI-DSS, GLBA, CISP, HIPAA, GPDR, HRS
Information Technology / Computing	Vice Chancellor of Finance and Administrative Affairs	Assistant Vice Chancellor & Chief Information Officer	UW System Administrative Policy
Insurance and Workers Compensation	Vice Chancellor of Finance and Administrative Affairs	Chief Human Resources Officer, Director of Risk Management	UW System Administrative and Operational Policies
Intellectual Property & Technology Transfer	WiSys, Provost	Director of Research and Sponsored Programs	UW System Administrative Policy 346, Bayh-Dole Act, CREATE Act
International Activities & Programs	Provost	Global Experience Coordinator, Deans	Immigration and Nationality Act, Student Exchange and Visitor Program, Export Controls
Lobbying & Government Relations	Chancellor	Director of Government Relations	Chapters 13 and 19, Wis. Stats., Wis. Administrative Code, UW System Operational Policy, IRS Regulations

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Minors on Campus	Vice Chancellor of Student Affairs	Director of Risk Management, Chief Human Resources Officer, Director of Athletics, Director of Continuing Education, Child Care Center	Executive Order 54, Regent policy, ATCP Chapter 78
Online Education	Provost	Chief of Institutional Research and Planning, Credit Outreach Manager	Regent policy, HEA Program Integrity Rules, SARA
Privacy of Health Information	Vice Chancellor of Student Affairs Vice Chancellor of Finance and Administrative Affairs	Directors of Student Health Services, University Counseling Services, and Chief Human Resources Officer	HIPAA, WI Patient Health Records Privacy Act
Document Production Requests	Vice Chancellor of Finance and Administrative Affairs	Custodian of Records	Wis. Statute, Regent Policy
Records Retention / Management / E-Discovery	University Archivist	University Archivist, Provost, Chief Human Resources Officer	FERPA, HIPAA, Regent policy, Wis. Statute
Research Administration and Sponsored Programs	Provost, Vice Chancellor of Finance and Administrative Affairs	Director of Research & Sponsored Programs, Chair of IRB, Institutional Animal Use & Care Committee, Deans, Grants Accountant, Institutional Ethics Committee, Chief Human Resources Officer	Animal Welfare Act, Protection of Human Subjects Regulations, False Claims Act, OMB Uniform Guidance, Chapter UWS 8, Export Controls, Regent, TRIO, Grants
Residence Life	Vice Chancellor Student Affairs	Dean of Students, Executive Director of University Housing, Director of First Year Experience, Directors of Facilities Planning & Management, Director of CSD	ADA, Title IX, OSHA, Regent Policy

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Sexual Misconduct (Students, Staff & Faculty)	Vice Chancellor of Student Affairs , Vice Chancellor of Finance and Administrative Affairs	Dean of Students, Chief Human Resources Officer, Title IX Coordinator, Chief of Police	Title IX, Violence Against Women Act, Clery Act, Regent Policy Document 14-2
Student Activities	Vice Chancellor Student Affairs	Dean of Students, Director of First Year Experience, Executive Director of University Housing, Director of University Center, Director of Risk Management	ADA/Section 504, Drug Free Schools and Communities Act, Regent Policy, and Wis. Statutes, Wis. Administrative Code, FERPA, HEOA
Student Billing	Assistant Vice Chancellor of Enrollment and Retention , Vice Chancellor of Finance and Administrative Affairs	Director of Financial Aid, Registrar, Controller, Director of Financial Services	Title IV
Student Health and Counseling	Vice Chancellor of Student Affairs	Director of Student Health and Counseling Services, Dean of Students	Wisconsin Patient Health Records Privacy Act, FERPA, ADA, HIPAA