



Campus Compliance Matrix

Compliance Themes & Risk Areas	Cognizant Policy Office	Cognizant Office & Key Contacts
Federal Grants & Contracts Management		
Export Control	Export Compliance	Adilia Koch, Director of Export Compliance
Subrecipient Monitoring	Procurement Services	Tina Lowenthal, Director Procurement Services
Cost Sharing	Research Administration	Richard Seligman, Assoc. Vice President Research Administration
Cost Transfers		
Reporting (T&C's, Technical Reports)		
Payroll Distribution Confirmations	Office of Sponsored Research	David Mayo, Director, Office of Sponsored Research
NIH Salary Cap		
Cost Allowability – Direct and Indirect	Post-Award Administration	Rochelle Athey, Senior Director, Post Award Administration
Administrative Cost on Federal Awards		
Service Centers	Office of Financial Services	Ginger Baker, Senior Director, Cost Studies and Property Services
Institute Funds		
Gifts and Restricted Funds	Advancement and Alumni Relations	Dexter Bailey, Vice President, Development & Institute Relations
	Prospect Development and Analytics	Derrick Fang, Director of Prospect Analytics and Reporting
	Financial Services	Sharon Patterson, Associate Vice President for Finance & Treasurer
		Matthew Brewer, Controller
	Fund Accounting	Ana Ulloa, Associate Controller Business & Accounting Services
Investments (Endowment)	Investment Office	Scott Richland, Chief Investment Officer

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		Kirk Kawasawa, Senior Managing Director Investment Operations
Insurance Risk Management		Darren Artura, Managing Director, Real Estate and Insurance Operations
Institute Finances		
Financial Reports and Statements	Financial Services	Sharon Patterson, Associate Vice President for Finance & Treasurer
		Matthew Brewer, Controller
	Budget & Planning Office	Michelle Gonzalez, Budget Director
	Business & Accounting Services	Ana Ula, Associate Controller
Tax Compliance	Tax Compliance	Theresa Slowskei, Associate Controller
Debt Compliance	Treasury Services	Arturo Aguayo, Assistant Treasurer
Procurement		
Subcontract Management	Financial Services & Procurement Services	Sharon Patterson, Associate Vice President for Finance & Treasurer
Purchase Orders		
Small Minority Business Opportunities		Tina Lowenthal, Director Procurement Services
Third Party Vendors		
P-Cards	Procurement Services	Tina Lowenthal, Director Procurement Services
		Monica Marquez, Associate Director Purchasing Services
		Muriel Marroquin, Associate Director, Payment Services
Property		
Property (Government, non- government property management and accounting)	Financial Services	Sharon Patterson, Associate VP Finance and Treasurer
		Ginger Baker, Senior Director Cost Studies and Property Services
	Property Services	Ted Lieu, Director Cost Studies and Property Services
Environmental Protection		

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Environmental Compliance	Facilities Management	Jim Cowell, Associate Vice Presidents Facilities
Safety & Occupational Health	Environment, Health and Safety	Casimir Scislowicz, Director Environmental, Health, and Safety
Emergency Preparedness		
Controlled Substances		
Biosafety & Biosecurity	Institutional Biosafety Committee (IBC)	Dr. Jared Leadbetter, Chair IBC
	Office of Provost	TBA, Director Research Compliance
Animal Subjects		
Animal Care and Use Program	Office of the Provost	Kaushik Bhattacharya, Vice Provost Research; Research Integrity Officer
		TBA, Director Research Compliance
	Institutional Animal Care and Use Committee (IACUC)	Richard Andersen, Chair IACUC
	Veterinarian	Karen Lencioni, Director Office of Laboratory Animal Resources
Human Subjects		
Protection of Human Subjects	Office of the Provost	Kaushik Bhattacharya, Vice Provost Research; Research Integrity Officer
		TBA, Director Research Compliance
	Institutional Review Board Committee (IRB)	Ralph Adolphs, Chair IRB
	Veterinarian	Richard Seligman, Associate Vice President Research Administration
Student Affairs		
Financial Aid	Student Affairs	Joseph Shepherd, Vice President Student Affairs
	Financial Aid Office	Dimitris Sakellariou, Assistant Vice President Student Affairs Operations
Registrar	Office of the Registrar	Christy Salinas, Registrar

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Diversity	Caltech Center for Diversity & Inclusion	Cindy Weinstein, Vice Provost Chief Diversity Officer
Student Housing	Institute Housing	Maria Katsas, Director Student Housing
Dining and Food Handling	Dining Services	Jaime Reyes, Director Dining Services
Substance Abuse - Students	Student Wellness Services	Jennifer Howes, Executive Director of Student Wellness Services
Card Services	Student Affairs Administration	Ryan O'Connor, Director Business Operations
Athletics, Physical Education & Recreation	Athletics, Physical Education, and Recreation	Betsy Mitchell, Director Athletics, Physical Education, & Recreation
		Mark Becker, Assistant Director of Intercollegiate Operations
Title IX		
Title IX, Title IX - Sexual Assault	Provost's Office	Cindy Weinstein, Vice Provost Chief Diversity Officer
	Student Affairs Administration	Doug Rees, VP Student Affairs
		Hima Vatti, Assistant Vice President for Equity, Accessibility, & Inclusion Initiatives, & Title IX Coordinator
Title IX - Diversity	Caltech Center for Diversity & Inclusion	Cindy Weinstein, Vice Provost Chief Diversity Officer
Title IX - Financial Aid	Financial Aid Office	Malina Chang, Acting Director Financial Aid
Title IX - Athletics	Athletics, Physical Education, and Recreation	Betsy Mitchell, Director Athletics, Physical Education, & Recreation
Title IX - Reporting	Human Resources	Rose Murillo, Director Employee and Organizational Development

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	Campus Security	Victor Clay, Director of Campus Security and Parking Services, Facility Security Officer
Human Resources		
Information Privacy	Human Resources	Julia McCallin, Associate VP for Human Resources, Chief Human Resources Officer
		Tara Kruckeberg, Assistant Vice President for Human Resources
Employee Relations	Employee and Organizational Development	Rose Murillo, Director Employee and Organizational Development
Employment & Recruiting	Employment	Kylene Barker, Director Employment and Recruiting Services
Benefits	Employee Benefits	Ofelia Velazquez-Perez, Associate Director Employee and Organization Development
Compensation	Compensation	Sarah Portwood, Director Benefits and Compensation, Total Rewards
Payroll	Payroll	Maggie Ory, Director Payroll Services
		Rosa Robles, Labor Distribution Coordinator
Disability & Leave Administration	Disability & Leave Administration	Taynora Lee, Manager Disability and Leave
International Services	International Scholar Services	Ilana Smith, Director International Offices
Equal Employment Opportunity & Affirmative Action	Human Resources & Staff and Faculty Consultation Center	Tara Kruckeberg, Assistant Vice President for Human Resources
		Rose Murillo, Director Employee and Organizational Development
		Linda Krippner, Director Staff and Faculty Consultation Center
		Ofelia Velazquez-Perez, Associate Director Employee and Organization Development

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Substance Abuse - Staff	Employee and Organizational Development	Rose Murillo, Director Employee and Organizational Development
	Staff and Faculty Consultation Center	Linda Krippner, Director Staff and Faculty Consultation Center
Protection of Minors	Human Resources & Center for Teaching, Learning & Outreach	Cassandra Volpe Horii, Director of the Center for Teaching, Learning & Outreach
		Tara Kruckeberg, Assistant Vice President for Human Resources
Business Ethics & Conflicts of Interest		
Research Misconduct & Authorship	Office of the Provost	David Tirrell, Provost
		Kaushik Bhattacharya, Vice Provost Research; Research Integrity Officer
Conflict of Interest - Faculty		TBA, Director Research Compliance
Conflict of Interest – Staff	Human Resources	Julia McCallin, Associate VP for Human Resources, Chief Human Resources Officer
Caltech Hotline	Audit Services and Institute Compliance	Pamela Koyzis, Associate Vice President & Institute Chief Compliance Officer Audit Services and Institute Compliance
Facilities		
Facilities Management	Facilities Management	Jim Cowell, Associate Vice Presidents Facilities
Design and Construction		Terri Mestas, Senior Director Facilities Design and Construction
Facilities Operations		Chris McAlary, Senior Director Facilities Operations
Facilities Services & Integrated Planning		John Onderdonk, Senior Director of Facilities Services & Integrated Planning

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Mail Services		Darrel Goudeau, Mail Services Manager
Facilities Housing		Christina Souto, Faculty Housing Manager
Technology Licensing & Transfer		
Patent Compliance and Licensing	Office of Technology Transfer and Corporate Partnerships	Fredric Farina, Chief Innovation and Corporate Partnerships Officer
		Case Cortese, Director for Innovation, New Ventures & Entrepreneurship
		Hannah Carbone, Director for Innovation, Patents & Licensing
Institute Security		
Institute Security (including student security and Campus crime reporting Clery, see Title IX)	Facilities Management	Jim Cowell, Associate Vice Presidents Facilities
Rideshare Services	Campus Security	Victor Clay, Director of Campus Security and Parking Services, Facility Security Officer
Information Technology		
Privacy of Information	Information Management Systems and Services (IMSS)	Jin Chang, Chief Information Officer, IMSS
		RuthAnne Bevier, Chief Information Security Officer IMSS
		Robert Logan, Senior Director IMSS
	IMSS Networks and Support Services	Dawn Boyd, Director, Networks and Support Services
Software Licensing	Academic Media Technologies	Leslie Maxfield, Director Academic Media Technologies & Communications
		Wenyee Lo, Technical Communications & Software Licensing