



## Campus Compliance Matrix

Compliance Themes & Risk Areas	Cognizant Policy Office	Cognizant Office & Key Contacts
<b>Federal Grants &amp; Contracts Management</b>		
Export Control	Office of Research Compliance	Adilia Koch, Director of Export Compliance
Subrecipient Monitoring	Procurement Services	Tina Lowenthal, Director Procurement Services
Cost Sharing	Research Administration	David Mayo, Senior Director, Research Administration
Cost Transfers		
Reporting (T&C's, Technical Reports)		
Payroll Distribution Confirmations	Office of Sponsored Research	David Mayo, Senior Director, Research Administration
NIH Salary Cap	Post-Award Administration	Rochelle Athey, Senior Director, Post Award Administration
Cost Allowability – Direct and Indirect		
Administrative Cost on Federal Awards		
Service Centers	Office of Financial Services	Ted Lieu, Senior Director, Cost Studies
<b>Institute Funds</b>		
Gifts and Restricted Funds	Advancement and Alumni Relations	Dexter Bailey, Vice President, Development & Institute Relations
	Advancement and Alumni Relations	Chris Meneses Associate Director of Advancement Information
	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 Kawasaki, Senior Managing Director Investment Operations
Insurance Risk Management		Darren Artura, Managing Director, Real Estate and Insurance Operations
<b>Institute Finances</b>		
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 Ulloa, Associate Controller
Tax Compliance	Tax Compliance	Theresa Slowskei, Associate Controller
Debt Compliance	Treasury Services	Arturo Aguayo, Assistant Treasurer
<b>Procurement</b>		
Subcontract Management	Financial Services & Procurement Services	Sharon Patterson, Associate Vice President for Finance & Treasurer
Purchase Orders		Tina Lowenthal, Director Procurement Services
Small Minority Business Opportunities		
Third Party Vendors		
P-Cards	Procurement Services	Tina Lowenthal, Director Procurement Services
		Monica Marquez, Associate Director Purchasing Services
		Muriel Marroquin, Associate Director, Payment Services
<b>Property</b>		
Property (Government, non- government property management and accounting)	Financial Services	Sharon Patterson, Associate VP Finance and Treasurer
		Ted Lieu, Senior Director Cost Studies
	Property Services	Ernest Katacha, Senior Manager of Property Services
<b>Environmental Protection</b>		

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Environmental Compliance	Facilities Management	John Onderdonk, Acting Associate Vice Presidents Facilities
Safety & Occupational Health	Environment, Health and Safety	Casimir Scislowicz, Director Environmental, Health, and Safety
Emergency Preparedness		
Controlled Substances	Office of Research Compliance	Grace Fisher-Adams, Chief Research Policy Officer
Biosafety & Biosecurity	Institutional Biosafety Committee (IBC)	Dr. Jared Leadbetter, Chair IBC
	Office of Provost	Grace Fisher-Adams, Chief Research Policy Officer
<b>Animal Subjects</b>		
Animal Care and Use Program	Office of the Provost	Kaushik Bhattacharya, Vice Provost Research
		Grace Fisher-Adams, Chief Research Policy Officer
	Institutional Animal Care and Use Committee (IACUC)	Richard Andersen, Chair IACUC
	Veterinarian	Karen Lencioni, Director Office of Laboratory Animal Resources
<b>Human Subjects</b>		
Protection of Human Subjects	Office of the Provost	Kaushik Bhattacharya, Vice Provost Research
		Grace Fisher-Adams, Chief Research Policy Officer
	Institutional Review Board Committee (IRB)	Ralph Adolphs, Chair IRB
	Research Administration	David Mayo, Senior Director, Research Administration
<b>Student Affairs</b>		
Student Affairs Operations		Kevin Gilmartin, Vice President Student Affairs
		Dimitris Sakellariou, Assistant Vice President Student Affairs Operations

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Financial Aid		
	Financial Aid Office	Jarrid Whitney, Assistant Vice President Student Affairs Enrollment & Career Services
Registrar	Office of the Registrar	Christy Salinas, Registrar
Diversity	Caltech Center for Diversity & Inclusion	Lindsey Malcom-Piqueux, Chief Diversity Officer and Assistant Vice President for Diversity, Equity, Inclusion, and Assessment
Student Housing	Institute Housing	Maria Katsas, Director Student Housing
Dining and Food Handling	Dining Services	Jaime Reyes, Director Dining Services
Substance Abuse - Students	Counseling Center	Jennifer Howes, Assistant Vice President for Student Affairs and Wellness
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
<b>Title IX</b>		
Title IX, Title IX - Sexual Assault	Provost's Office	Prof. Michelle Effros, Vice Provost
	Student Affairs Administration	Kevin Gilmartin, VP Student Affairs
		Hima Vatti, Assistant Vice President for Equity and Equity Investigations, & Title IX Coordinator
Title IX - Diversity	Caltech Center for Diversity & Inclusion	Lindsey Malcom-Piqueux, Chief Diversity Officer
Title IX - Financial Aid	Financial Aid Office	Malina Chang, Director of Student Financial Aid

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Title IX - Athletics	Athletics, Physical Education, and Recreation	Betsy Mitchell, Director Athletics, Physical Education, & Recreation
Title IX - Reporting	Human Resources	Hima Vatti, Assistant Vice President for Equity and Equity Investigations, & Title IX Coordinator
	Campus Security	Greg Powell, Interim Director of Campus Security and Parking Services, Facility Security Officer
<b>Human Resources</b>		
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	Ofelia Velázquez-Pérez, Director Employee and Organizational Development
Employment & Recruiting	Employment	Kylene Barker, Director Employment and Recruiting Services
Benefits	Employee Benefits	Sarah Portwood, Director Benefits and Compensation, Total Rewards
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, Assistant Director Disability and Leave Administration
International Services	International Scholar Services	Ilana Smith, Director International Offices

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Equal Employment Opportunity & Affirmative Action	Human Resources & Staff and Faculty Consultation Center	Tara Kruckeberg, Assistant Vice President for Human Resources
		Linda Krippner, Director Staff and Faculty Consultation Center
		Ofelia Velazquez-Perez, Director Employee and Organization Development
Substance Abuse - Staff	Employee and Organizational Development	Ofelia Velázquez-Pérez, 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	Susanne Hall, Interim Director of the Center for Teaching, Learning & Outreach
		Tara Kruckeberg, Assistant Vice President for Human Resources
		Mitch Aiken, Associate Director for Educational Outreach
<b>Business Ethics &amp; Conflicts of Interest</b>		
Research Integrity & Authorship	Office of the Provost	David Tirrell, Provost
		Kaushik Bhattacharya, Vice Provost Research; Research Integrity Officer
Conflict of Interest – Faculty		Grace Fisher-Adams, Chief Research Policy Officer
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

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Facilities		
Facilities Management	Facilities Management	John Onderdonk, Acting 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
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	John Onderdonk, Acting Associate Vice Presidents Facilities
Rideshare Services	Campus Security	Greg Powell, Interim 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
		Arlene Yetnikoff, Chief Information Security Officer IMSS
		Robert Logan, Senior Director IMSS

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	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