



Campus Compliance Matrix

Compliance Themes & Risk Areas	Cognizant Policy Office	Cognizant Office & Key Contacts
Federal Grants & Contracts Management		
Export Control	Office of Research Security	Rachel Smith, Director of Research Security
Subrecipient Monitoring	Office of Sponsored Research	David Mayo, Senior Director, Research Administration
Cost Sharing		
Cost Transfers		
Reporting (T&C's, Technical Reports)		
Payroll Distribution Confirmations		
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
Institute Funds		
Gifts and Restricted Funds	Advancement and Alumni Relations	Dexter Bailey, Vice President, Advancement and Alumni Relations
	Advancement and Alumni Relations	Chris Meneses, Director of Advancement Information
	Financial Services	Sharon Patterson, Chief Financial Officer and Treasurer
		Matthew Brewer, Controller
	Business & Accounting Services	Ana Ulloa, Associate Controller
Investments (Endowment)	Investment Office	Ken Lee, Chief Investment Officer
		Kirk Kawasawa, Senior Managing Director, Investment Operations

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Insurance Risk Management		Darren Artura, Managing Director, Real Estate, and Insurance Operations
Institute Finances		
Financial Reports and Statements	Financial Services	Sharon Patterson, Chief Financial Officer and 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
Procurement		
Subcontract Management	Financial Services & Procurement Services	Sharon Patterson, Chief Financial Officer and Treasurer
Purchase Orders		
Small Minority Business Opportunities		Monica Marquez, Director, Purchasing Services
Third Party Vendors		
P-Cards	Procurement Services	Monica Marquez, Director, Purchasing Services
		Muriel Marroquin, Director, Payment Services
Property		
Property (Government, non- government property management and accounting)	Financial Services	Sharon Patterson, Chief Financial Officer and Treasurer
		Ted Lieu, Senior Director Cost Studies
	Property Services	Ernest Katacha, Senior Manager, Property Services
Environmental Protection		
Environmental Compliance	Facilities Management	Matthew Berbée, Assistant Vice President for Facilities Operations and Services
Safety & Occupational Health	Environment, Health and Safety	Lauriane Quenee, Senior Director Environmental, Health, and Safety

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Controlled Substances	Office of Research Compliance	Grace Fisher-Adams, Associate Vice Provost for Research Policy and Compliance
Emergency Preparedness	Institute Security	Hampton Cantrell, Chief, Security & Parking Services
		Catherine Christensen, Director of Emergency Management, Physical Security Systems, and Business Continuity
Biosafety & Biosecurity	Institutional Biosafety Committee (IBC)	Dr. Rustem Ismagilov, , IBC Chair
	Office of Provost	Grace Fisher-Adams, Associate Vice Provost for Research Policy and Compliance
Animal Subjects		
Animal Care and Use Program	Office of the Provost	Jennifer Jackson, Vice Provost for Research
		Grace Fisher-Adams, Associate Vice Provost for Research Policy and Compliance
	Institutional Animal Care and Use Committee (IACUC)	Dr. Markus Meister, 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 for Research
		Grace Fisher-Adams, Associate Vice Provost for Research Policy and Compliance
	Human Embryos and Stem Cells (HESC)	TBD, Chair HESC
	Institutional Review Board Committee (IRB)	Dr. Ralph Adolphs, Chair IRB
	Office of Sponsored Research	David Mayo, Senior Director, Research Administration
Student Affairs		

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Student Affairs	Student Affairs Operations	Kevin Gilmartin, Vice President Student Affairs
		Ryan O'Connor, Assistant Vice President, Finance & Operations in Student Affairs
Financial Aid	Financial Aid Office	Malina Chang, Director, Financial Aid
Registrar	Office of the Registrar	Christy Salinas, Registrar
Diversity	Caltech Center for Inclusion & Diversity	TBD, Associate Vice President for Campus Climate, Engagement, and Success
Student Housing	Institute Housing	Joe Bennethum, Associate Director of Housing
Dining and Food Handling	Dining Services	Jaime Reyes, Director, Dining Services
Substance Abuse - Students	Counseling Center	Maria F. Lopez, Operations Director
Card Services	Student Affairs Administration	Ryan O'Connor, Assistant Vice President, Finance & Operations in Student Affairs
Athletics, Physical Education & Recreation	Athletics, Recreation, and Instruction	Terry Tumey, Athletic Director
		Heather Morgan, Associate Director of Athletics, Recreation, and Instruction
Title IX		
Title IX, Title IX - Sexual Assault	Provost's Office	Prof. Michelle Effros, Vice Provost
	Student Affairs Administration	Kevin Gilmartin, Vice President, Student Affairs
		Lynzie De Veres, Assistant Vice President for Equity and Equity Investigations, & Title IX Coordinator
Title IX - Diversity	Caltech Center for Inclusion & Diversity	TBD, Associate Vice President for Campus Climate, Engagement, and Success
Title IX - Financial Aid	Financial Aid Office	Malina Chang, Director of Student Financial Aid

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Title IX - Athletics	Athletics, Recreation, and Instruction	Terry Tumey, Athletic Director
Title IX - Reporting	Human Resources	Lynzie De Veres, Assistant Vice President for Equity and Equity Investigations, & Title IX Coordinator
	Campus Security	Hampton Cantrell, Chief, Security & Parking Services
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	Ofelia Velázquez-Pérez, Director, Employee and Organizational Development
Employment & Recruiting	Employment	Kylene Barker, Director, Employment and Recruiting Services
Benefits	Employee Benefits	Charlene Hammell, Director Total Rewards
Compensation	Compensation	
Payroll	Payroll	Maggie Ory, Director Payroll Services
		Rosa Robles, Labor Distribution Coordinator
Disability & Leave Administration	Disability & Leave Administration	Taynora Lee, Associate Director, Disability and Leave Administration
International Services	International Scholar Services	Ilana Smith, Director for International Office at Caltech and JPL
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

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		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	Jasmine Bryant, Director of the Center for Teaching, Learning & Outreach
		Tara Kruckeberg, Assistant Vice President for Human Resources
		Mitch Aiken, Associate Director for Educational Outreach
Business Ethics & Conflicts of Interest		
Research Integrity & Authorship	Office of the Provost	David Tirrell, Provost
		Kaushik Bhattacharya, Vice Provost for Research; Research Integrity Officer
Conflict of Interest – Faculty		Grace Fisher-Adams, Associate Vice Provost for Research Policy and 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	Tye Welch, Associate Vice President & Institute Chief Compliance Officer, Audit Services and Institute Compliance
Facilities		
Facilities Management	Facilities Management	David Kang, Associate Vice President of Facilities
Planning, Design and Construction		Leandra Davis, Executive Director, Planning, Design & Construction
Facilities Operations		Matthew Berbée,

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Facilities Services & Integrated Planning		Assistant Vice President for Facilities Operations and Services
Mail Services		Darrell Goudeau, Manager Mail Services
Facilities Housing		Ashley Curtis, Faculty Housing Manager
Technology Licensing & Transfer		
Patent Compliance and Licensing	Office of Technology Transfer and Corporate Partnerships	Frederic 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	David Kang, Associate Vice President of Facilities
Rideshare Services	Campus Security	Hampton Cantrell, Chief, Security & Parking Services
Information Technology		
Privacy of Information	Information Management Systems and Services (IMSS)	Jin Chang, Chief Information Officer, IMSS
		Ash Hadi, Chief Information Security Officer (CISO), IMSS
	IMSS Networks and Support Services	Robert Logan, Senior Director IMSS
Software Licensing	Academic Media Technologies	Leslie Maxfield, Director Academic Media Technologies & Communications
		Wenyee Lo, Technical Communications & Software Licensing