

Compliance Responsibility Table
Institutional Compliance Contacts

	ACADEMIC DIVISION		MEDICAL CENTER	COLLEGE AT WISE
I. <u>Compliance Area</u>	<u>Compliance Contact and Department</u>	<u>Responsible VP (or equivalent)</u>	<u>Medical Center Compliance Contact</u>	<u>Wise Compliance Contact & Department</u>
Agency Risk Management & Internal Control Standards (ARMICS)	Steve Kimata, Financial Administration	Vice President & CFO	Bill Gayne	Kristy Kiser, Interim Comptroller
Alcohol and Drugs	Susan Bruce, Student Affairs	Vice President for Student Affairs	N/A	Jewell Worley, Student Affairs
Americans with Disabilities Act (ADA)	Brad Holland, Office of Equal Opportunity Programs (EOP)	President	Tom Harkins (facilities only)	Narda Porter, Academic Affairs
Animal Care	Dave Hudson, Office of the VP for Research	Vice President for Research	N/A	Robin Woodard, Academic Affairs
Banking Regulations	Ken Sinarski, Financial Administration	Vice President & CFO	N/A	Kristy Kiser, Interim Comptroller
Bonds, Covenants	Jim Matteo, Treasury Management	Vice President & CFO	N/A	UVa
Bonds, Private Use	Bill Define, Financial Administration	Vice President & CFO	N/A	UVa
Certificate of Public Need	N/A	N/A	Sally Barber	N/A
Child Care State Regulations	Anne Harrison, Child Care Center	Vice President & CFO	N/A	N/A
Clery Act (Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act)	Michael Coleman, University Police	Exec. VP/COO	N/A	Steve McCoy, Public Safety
Clinical Equipment and Maintenance Reporting	N/A	N/A	James L. Rosenberg	N/A
Clinical Laboratory Improvement Amendments (CLIA)/Labs	N/A	N/A	James L. Rosenberg	N/A
Code of Ethics	Barbara Deily, Audit	Exec. VP/COO	N/A	UVa
Commonwealth Accounting and Reporting System (CARS), Sales Tax, Unclaimed Property	Tommye Arnold, Financial Administration	Vice President & CFO	N/A	Kristy Kiser, Interim Comptroller
Compliance Program - Office of Inspector General (OIG)/Code of Conduct/Corporate Compliance Agreement (CCA)	N/A	N/A	Lori Strauss	N/A
Conflict of Interest, research	Dave Hudson, Office of the VP for Research	Vice President for Research	N/A	UVa
Conservation Biology	David Neuman, Architect	Exec. VP/COO	N/A	UVa

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Controlled Substances/Drug Enforcement Administration (DEA)	N/A	N/A	Lorna Facteau	N/A
Credentialing	N/A	N/A	Priscilla Shuler	N/A
Debt Collection Regulations (Accounts Receivable)	Ken Sinarski, Financial Administration	Vice President & CFO	Larry Fitzgerald	Kristy Kiser, Interim Comptroller
Department of Health/Patient's Rights Issues	N/A	N/A	Lorna Facteau	N/A
Digital Copyright	Shirley Payne, Information Technology and Communication (ITC)	VP & Chief Information Officer	N/A	Keith Fowlkes, IT
Drug-Free Workplace, Employee Relations Laws	Susan Carkeek, Human Resources	Vice President & Chief Human Resources Officer	N/A	Stephanie Perry, HR
Effort Reporting	Gerald Kane, Sponsored Programs	Vice President & CFO	N/A	UVa
Emergency Medical Treatment and Active Labor Act (EMTALA)	N/A	N/A	James L. Rosenberg	N/A
Employment Retirement Income Security Act (ERISA), Health Insurance Portability and Accountability Act (HIPAA), Consolidated Omnibus Budget Reconciliation Act (COBRA), Qualified Domestic Relations Order (QDRO), Internal Revenue Code (IRC) as it relates to payroll and employment taxes	Susan Carkeek, Human Resources	Vice President & Chief Human Resources Officer	John Boswell	Stephanie Perry, HR
Environmental Compliance (Chemical, Nuclear, Radiation)	Ralph Allen, Environmental Health & Safety	Vice President for Research	Tom Harkins	John Reeves, Physical Plant; Steve McCoy, Public Safety
Environmental Health & Safety	Ralph Allen, Environmental Health & Safety	Vice President for Research	Tom Harkins	UVa
Environmental Impact Statements	Ralph Allen, Environmental Health & Safety	Vice President for Research	Tom Harkins	UVa
Epidemiology/Public Health/Employee Health	N/A	N/A	Costi Sifri, MD, Lorna Facteau, and John Boswell (Employee Health only)	N/A

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Equal Employment Opportunity Commission (EEOC), Americans with Disabilities Act (ADA), Uniformed Services Employment and Reemployment Rights Act (USERRA)	Susan Carkeek, Human Resources	Vice President & Chief Human Resources Officer	John Boswell	Stephanie Perry, HR
Equipment Trust Fund (ETF)	Dave Boling, Financial Administration	Vice President & CFO	N/A	Joe Kiser, College Services
Export Controls	Kelly Hochstetler, Office of Sponsored Programs	Vice President & CFO	TBD	TBD
Fair Labor Standards Act (FLSA) and other Department of Labor regulations	Susan Carkeek, Human Resources	Vice President & Chief Human Resources Officer	John Boswell	Stephanie Perry, HR
Family Educational Rights and Privacy Act (FERPA)	Carol Stanley, Registrar	Executive Vice President and Provost	N/A	Sheila Cox-Combs, Registrar
Family Educational Rights and Privacy Act (FERPA), Title IV	Yvonne Hubbard, Financial Administration	Vice President & CFO	N/A	Bill Wendle, Financial Aid
Federal and State Regulations on Financial Aid	Yvonne Hubbard, Financial Administration	Vice President & CFO	N/A	Bill Wendle, Financial Aid
Federal Contracting - Federal Acquisition Regulation System (FARS)/Defense Federal Acquisition Regulation Supplement (DFARS)	Gerald Kane, Sponsored Programs	Vice President & CFO	N/A	UVa
Finance/Financial Reporting	Steve Kimata, Financial Administration	Vice President & CFO	Larry Fitzgerald	Kristy Kiser, Interim Comptroller
Fire Safety	Ralph Allen, Environmental Health & Safety	Vice President for Research	Don Sundgren, Facilities Management	Steve McCoy, Public Safety
Food and Drug Administration (FDA)/Pharmacy	N/A	N/A	James L. Rosenberg	N/A
Freedom of Information Act (FOIA)	Carol Wood, University Relations	Senior VP for Dev. & Public Affairs	N/A	Marcia Quesenberry, Chancellor's Office
Governmental Accounting Standards Board (GASB), Auditor of Public Accounts (APA)	Steve Kimata, Financial Administration	Vice President & CFO	N/A	Kristy Kiser, Interim Comptroller

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Gramm-Leach-Bliley Act (GLBA)	Shirley Payne, Information Technology and Communication (ITC)	VP & Chief Information Officer	N/A	Keith Fowlkes, IT
Health Code	Brent Beringer, Dining Services	Vice President & CFO	N/A	Brett Lawson, Dining Services
Health Information/Medical Records	N/A	N/A	Marshall Ruffin	N/A
Health Insurance Portability and Accountability Act (HIPAA) - Privacy	N/A	N/A	Lori Strauss	Lelia Bradshaw, Student Development
Health Insurance Portability and Accountability Act (HIPAA) - Security	Shirley Payne, Information Technology and Communication (ITC)	VP & Chief Information Officer	Marshall Ruffin	Keith Fowlkes, IT
Health Insurance Portability and Accountability Act (HIPAA) - Transactions	N/A	N/A	Lori Strauss	N/A
Home Health	N/A	N/A	Lorna Facticeau	N/A
Human Subjects	Dave Hudson, Office of the VP for Research	Vice President for Research	N/A	James Horton, Academic Affairs
Immigration And Naturalization Service (INS)	Susan Carkeek, Human Resources	Vice President & Chief Human Resources Officer	John Boswell	Stephanie Perry, HR
Information Technology (Medical)	N/A	N/A	Marshall Ruffin	N/A
Land Use Regulations	David Neuman, Architect	Exec. VP/COO	N/A	UVa
Language Services	N/A	N/A	James L. Rosenberg	N/A
Licensure - Facility	N/A	N/A	Lorna Facticeau	N/A
Licensure - Healthcare Professionals (non-physician)	N/A	N/A	John Boswell	N/A
Medicaid Billing	N/A	N/A	Larry Fitzgerald	N/A
Medical Transportation, Emergency Medical Services (EMS), Federal Aviation Administration (FAA)	N/A	N/A	James L. Rosenberg	N/A
Medicare Billing	N/A	N/A	Larry Fitzgerald	N/A

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Medicare Conditions of Participation/Joint Commission on Accreditation of Healthcare Organizations (JCAHO)	N/A	N/A	Priscilla Shuler	N/A
Medicare Regulations for Participation in Transplants	N/A	N/A	Lorna Facteau	N/A
Occupational Safety and Health Administration (OSHA)	Ralph Allen, Environmental Health & Safety	Vice President for Research	Tom Harkins	Steve McCoy, Public Safety, John Reeves, Physical Plant
Payroll Taxes and Garnishments	Susan Carkeek, Human Resources	Vice President & Chief Human Resources Officer	John Boswell	UVa
Physician Patient Care	Jonathan Truwit, Pulmonary Medicine	VP & Dean, School of Medicine	Jonathan Truwit, MD	N/A
Poison Control	N/A	N/A	James L. Rosenberg and Chris Holstege, MD	Steve McCoy, Public Safety, John Reeves, Physical Plant
Preservation and Archeology	David Neuman, Architect	Exec. VP/COO	N/A	UVa
Procurement (Capital)	Rick Rice, Facilities Management	Vice President for Mgmt & Budget	Tom Harkins	UVa
Procurement (Non-Capital)	Eric Denby, Procurement	Vice President for Mgmt & Budget	Jonathan Hohman	Joe Kiser, College Services
Prompt-Pay, 1099 reporting, Conflict of Interest (procurement-related)	Eric Denby, Procurement	Vice President for Mgmt & Budget	Jonathan Hohman	Joe Kiser, College Services
Record Retention	Caroline Walters, Records Management Office	Executive Vice President and Provost	Marshall Ruffin	Robin Benke, Library
Regulated Medical Waste	N/A	N/A	Tom Harkins	N/A
Reporting to Professional Boards	N/A	N/A	Lorna Facteau, Jonathon Truwit, MD, James L. Rosenberg	N/A
Research Administration: DS-2	Sharon Boyd, Office of Sponsored Programs	Vice President & CFO	N/A	UVa
Research, Administration Regulations: Audit (eg.A133)	Gerald Kane, Sponsored Programs	Vice President & CFO	N/A	UVa

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Research, Direct Costs, Cost Accounting Standards	Vonda Durrer, Sponsored Programs	Vice President & CFO	N/A	UVa
Research, Indirect Costs (A-21, Cost Accounting Standards) including F&A (facilities and administrative) rate, fringe benefit rate and specialized service center rates	Dave Boling, Financial Administration	Vice President & CFO	N/A	UVa
Research, Integrity	Dave Hudson, Office of the VP for Research	Vice President for Research	N/A	UVa
Safe Occupancy/Building Code	Elaine Gall, Office of the Board of Visitors	President	Elaine Gall, Office of the Board of Visitors	UVa
Sanctioned Providers/Background Checks	N/A	N/A	John Boswell	N/A
Security and Public Safety	N/A	N/A	Tom Harkins	Steve McCoy, Public Safety
Stark/ Anti-Kickback and Related Federal Regulations	N/A	N/A	Sally Barber	N/A
Surplus Property	Eric Denby, Procurement	Vice President for Mgmt & Budget	James L. Rosenberg	Joe Kiser, College Services
Tax Compliance (non-employee taxes)	Steve Kimata, Financial Administration	Vice President & CFO	N/A	UVa
Title IX (Sexual Assault)	Christina Morell, VP for Student Affairs	Vice President for Student Affairs	N/A	Jewell Worley, Student Affairs
Title IX, NCAA	Craig Littlepage, Athletics	Exec. VP/COO	N/A	Danny Sterling, Athletics - National Association of Intercollegiate Athletics (NAIA)
Uniform Prudent Management of Institutional Funds Act (UPMIFA)	Steve Kimata, Financial Administration	Vice President & CFO	N/A	UVa
Unrelated Business Income Tax (UBIT), other non-employee Internal Revenue Code (IRC)	Bill Define, Financial Administration	Vice President & CFO	N/A	UVa
University Policies	Lynn Mitchell, Policy Office	Vice President & CFO	Sally Barber	UVa

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Virginia Information Technologies Agency (VITA) Policies and Standards	Shirley Payne, Information Technology and Communication (ITC)	VP & Chief Information Officer	N/A	N/A
Virginia Public Procurement Act	Eric Denby, Procurement	Vice President for Mgmt & Budget	Jonathan Hohman	Joe Kiser, College Services
Wage and Hour/Employee-Related Matters	Susan Carkeek, Human Resources	Vice President & Chief Human Resources Officer	John Boswell	Keith Fowlkes, IT
Workers Compensation	Susan Carkeek, Human Resources	Vice President & Chief Human Resources Officer	John Boswell	Stephanie Perry, HR