

COLLEGE OF DESIGN CONSTRUCTION AND PLANNING COMPLIANCE MATRIX

Compliance Area	Primarily Responsible Office/Staff			Representative Issues	Applicable Laws & Regulations
	UF System Wide	DCP	Responsible Person		
Academic Related	UF: (Office of the Provost) Dr. Chris Hass, Associate Provost for Academic and Faculty Affairs; Institutional Assessment; Dr. Timothy Brophy, Director & SACSCOC Liaison; Dr. Lily Lewis, Director of the Office of Postdoctoral Affairs and Academic Communications; Institutional Planning and Research (IPR), Dr. Cathy Lebo, Ph.D., Assistant Provost and Director	Office of the Dean	Margaret Portillo, PhD, Associate Dean for Research and Strategic Initiatives - Compliance Partner; Abdol Chini, Associate Dean of Undergraduate Education and Facilities	Programs & courses accreditation; copyright and trademark; student disclosures; distance learning requirements; non discrimination in academics; ADA (Discrimination protection and reasonable accommodations); Title IX (Academic programs, responsible employee and grievance procedure); Title IV/HEOA Program Integrity rules; reporting requirements applicable to this area	<ul style="list-style-type: none"> •SACSCOC principles of accreditation; HEOA/HEA (multiple sections); •34 C.F.R. §§ 602.10-602.13; •SACS; •TEACH ACT; •Teacher Prep Programs; •FERPA; •Digital Millennium Copyright Act (DMCA); •No Electronic Theft Act; •Copyright Act; •Copyright Term Extension Act; •Lanham Act; •Age Discrimination Act; •ADA; •Section 504 of The Rehabilitation Act; •Title IX ; •Title VI; • Distance Learning regulations; •The Online Learning Consortium Quality Scorecard Standards; •The Quality Matters Higher Education Rubric Standards; •The UF Standards and Markers of Excellence Standards; •Higher Education Act: State Authorization: 20 U.S.C. §§ 1001, 1002; •34 C.F.R. §600.9(c) - State authorization; •BOG Reg. 2.003 Equity and Access; •BOG Reg. 3.006 Accreditation
Advancement Related	UF: (Advancement) Karen Sprague, COO and Associate VP of Operations; Melissa Long, Executive Director of Talent Management; David Christie, Assistant VP and CFO; Susan Goffman, Executive Director of Legal Services & Compliance Partner	Office of the Dean	Seth Watts, Senior Director of Advancement; Kim Stanley, Associate Director of Development and Alumni Affairs; Maggie Drotos, Associate Director of Development and Alumni Affairs	Charitable solicitation & annuities; fundraising and development; foundation requirements; tax compliance related to donations; reporting requirements applicable to this area.	<ul style="list-style-type: none"> •Registration disclosures statutes in multiple states; •Uniform Prudent Management of Institutional Funds Act (UPMIFA) •Fla. Stat. 617.2104 - Florida Uniform Prudent Management of Institutional Funds Act; •CAN-SPAM Act; •16 C.F.R. § 316; •Contract Laws; • FL Disposition of Unclaimed Property Act and Regulations, Chapter 717, F.S.; •Charitable Gift Annuity Antitrust Relief Act; •Internal Revenue Code (IRC): Substantiation and Disclosure Provision; •Pension Protection Act; •IRC Section 501(c)(3) Non profit Status; •Philanthropy Protection Act; •Unrelated Business Taxable Income (UBTI); •BOG 9.012 Disclosure of Gifts from Foreign Governments and Persons
Athletics Related	UF: (University Athletics Association - UAA) Lynda Tealer, Executive Associate Athletic Director & Compliance Partner; Russell Froman, Assistant Vice President for Accessibility and Gender Equity	N/A	N/A	Non discrimination in athletics; Title IX; NCAA & SEC compliance including reporting and training requirements; student welfare/concussion	<ul style="list-style-type: none"> •Title IX; •ED: 34 C.F.R. § 106; •EEOC: 29 C.F.R. § 1604; •National Collegiate Athletic Association (NCAA) Bylaws; •South Eastern Conference (SEC) standards; •Equity in Athletics Disclosure Act (EADA) 20 USC 1092(g); •Fla. Stat. 1006.20; •NCAA Concussion Safety Guidelines

COLLEGE OF DESIGN CONSTRUCTION AND PLANNING COMPLIANCE MATRIX

Compliance Area	Primarily Responsible Office/Staff			Representative Issues	Applicable Laws & Regulations
	UF System Wide	DCP	Responsible Person		
Business Affairs Related	<p>UF: (Business Affairs) Linda Stump-Kurnick, Assist. VP of Public and Environmental Safety; Dennis Fleetwood, Interim Director; Kenneth Allen, Emergency Management Director; Mark Helms, Facilities Assist. VP; Eugene Herring, Capital Programs and Financial Management Director; Craig Hill, Business Affairs Assoc. VP; Eddie Daniels, Business Services Assist. VP</p> <p>UFPD-Jax Kate Moore, M.Ed., Assistant Director for the Office of Clery Act Compliance</p>	Office of the Dean	Kutonya Sowell, Business Manager; Abdol Chini, Associate Dean for Undergraduate Education and Facilities	Auxiliary services; campus safety; dining services; student/employee/public disclosures; emergency management; environmental health and safety; facilities, planning and construction; special events; reporting and training requirements applicable to this area; waste management	<ul style="list-style-type: none"> •Clery Act; •Campus Sex Crimes Prevention Act; •OSHA; •Asbestos Hazard Emergency Response Act (AHERA); •HEOA; •Drug Free Schools and Communities Act; •Emergency Planning and Community Right to Know Act (EPCRA); •State of Florida and county food safety requirements; •Clean Air Act; •Chemical Facility Anti-Terrorism Standards ; •Clean Water Act; •Federal Insecticide, Fungicide and Rodenticide Act; •Hazardous Materials Transportation Act (HMTAA); •Oil Pollution Act; •Energy Policy Act; •Motor Carrier Act; •Housing & Urban Development Lead Based Paint Poisoning in Certain Residential Structure; •The Public Health Security and Bioterrorism Preparedness and Response Act; •Toxic Substances Control Act; •FL Building Code; •Emergency Preparedness Rules;
<u>Centers & Institutes (BOG Guidelines)</u>	N/A	https://dcp.ufl.edu/research/centers-institutes/	Margaret Portillo, PhD, Associate Dean for Research and Strategic Initiatives - Compliance Partner	BOG criteria guidelines; alignment with BOG goals; University policy, annual reporting, self evaluations, annual survey of expenditures.	•Fla. Stat. Section 1004.28 ; BOG Reg. 10.015 Institutes and Centers
Conflicts of Interest (All Staff/ Procurement/ Research Related)	<p>UF: Gary Wimsett, Assistant Vice President Conflicts of Interest Program; (UF General Counsel) Ana Claudia Spiguel, Sr. University Counsel for Academic Affairs and Business, Research and Academic Transactions; (Office of Research):Cassandra Farley, Associate Director, Research Integrity and Amber Moore</p>	Applicable departments	Chimay Anumba, Dean; All employees	Conflicts with outside activity interest interfering with professional obligations (e.g. employees owning companies or involved in other employment, consulting, service on boards, etc.); Conflicts of interest in financial transactions and agreements, ethical standards for procurement/purchasing professional, improper governmental activities including fraud, embezzlement, or misuse of university resources; Conflicts of interest in research, such as requirement for research investigators to disclose financial arrangements with sponsor(s) of the studies (such as payment, stock, or royalties) or for inventors to disclose financial arrangements with companies that license UF technology to request a state COI exemption.	<ul style="list-style-type: none"> •Clinical Trials & Financial Disclosures by Investigator; •21 C.F.R. § 54; •Grant Policy Manual, Institutional COI policy; •Health Human Services Rule 42 CFR Part 50; •45 CFR Part 94; •National Science Foundation Section 510; •Grant Policy Manual; •9.5 of the Federal Acquisition Regulation; •FL Code of Ethics for Public Officers and Employees; •UF Guidelines, Policies, and Procedures on Conflict of Interest and Outside Activities including Financial Interests; •BOG Reg. 1.006 Conflict of Interest

COLLEGE OF DESIGN CONSTRUCTION AND PLANNING COMPLIANCE MATRIX

Compliance Area	Primarily Responsible Office/Staff			Representative Issues	Applicable Laws & Regulations
	UF System Wide	DCP	Responsible Person		
Contracts & Procurement	<p>UF: (Procurement Services) Lisa Deal, Director; (University Disbursement Services) Randy Staples, Associate Controller; (Research Division of Contracts and Grants) Tiffany Schmidt, Director; (Office of General Counsel): Amy Hass, Vice President and General Counsel</p> <p>UF-Jax: (Office of the General Counsel) John Clontz, Deputy Director, Contract Services; Bonnie Steele, Senior Contract Specialist</p>	Office of the Dean	Kutonya Sowell, Business Manager	Prohibition of lobbying with federal funds; E-Verify Electronic System requirement; disclosure reports when foreign source is involved; appropriate use of state/federal funds (e.g. prohibition of any payment or gratuity made for the purpose of inducing award of a subcontract or prime contract with the federal government); best contracting practices; fair competition; small business utilization for commercial goods and services for all federally funded projects and research handled as per regulations; compliance with BOG Procurement Regulation.	<ul style="list-style-type: none"> •Anti-Kickback Act of 1986 41 U.S.C. §§ 8701-8707; •48 C.F.R. § 3.502-2; •Byrd Amendment 31 U.S.C. § 1352; •32 C.F.R. § 28; •34 C.F.R. § 82.100; •Copeland Anti-Kickback Act 18 U.S.C. § 874 40 U.S.C. § 3145; •29 C.F.R. § 3; •Davis-Bacon Act 40 U.S.C. §§ 3141- 3144, 3146, 3147; •29 C.F.R. part 5; •Industrial Alcohol User Permits and Special Tax 26 U.S.C. §§ 5001-5692; •27 C.F.R. § 1; •Civil Monetary Penalty Law; •Fla. Stat. 112.313; •Historically Underutilized Business Zone Act of 1997 (HUBZone Act); •Public Law 106-50 - Veterans Entrepreneurship and Small Business Development Act of 1999; •Antitrust Laws; •BOG 18.001 Procurement Regulation
Enrollment Management Related (Students)	<p>UF: (Division of Enrollment Management) Stephen Pritz, Assistant VP and University Registrar & Aigi Adesogan, Assistant VP</p>	Office of the Dean	Patrick De Jong, Assistant Director, Academic Advising - Undergraduate Majors; Sallie Schattner, Admission Registrar Officer	Student disclosures; financial aid; military and veterans admission benefits; privacy of student records; Title IV/HEOA Program Integrity/Gainful Employment; non-discrimination in admissions; Title IX (Admissions); reporting requirements related to this area.	<ul style="list-style-type: none"> HEOA/HEA (multiple sections); •Higher Education Reconciliation Act (HERA); •34 C.F.R. § 668.14; •34 C.F.R. § 674.19; 34 C.F.R. § 668.53; •34 C.F.R. §§ 668.161-167; •34 C.F.R. 668 subparts M, N, & R; •34 C.F.R. § 668.25; •34 C.F.R. § 668.13; •34 C.F.R. § 675; •34 C.F.R. § 674.19; •Qualified Tuition and Student Loan Interest Report; •FSA Handbook; •Truth in Lending Act (TILA); •Contracts with Third Party Servicers; •Student Loan Default Prevention Initiative Act; •Student Right to Know Act Public Law; •Executive Order 13607 Principles of excellence; •Title 38 CFR Veterans Administration; •FERPA; Age Discrimination Act; •ADA; •Section 504 of The Rehabilitation Act; •Title IX ; •Title VI; •Florida Information Protection Act of 2014 (FIPA); • Electronic Communications Privacy Act (ECPA); •OSFA student state scholarships and grant programs requirements; •BOG Reg. 2.003 Equity and Access

COLLEGE OF DESIGN CONSTRUCTION AND PLANNING COMPLIANCE MATRIX

Compliance Area	Primarily Responsible Office/Staff			Representative Issues	Applicable Laws & Regulations
	UF System Wide	DCP	Responsible Person		
Finance & Accounting Related	UF: (Finance and Accounting) Alan West, University Treasurer; (University Disbursement Services) Randy Staples, Associate Controller	Office of the Dean	Kutonya Sowell, Business Manager	Accounting; auxiliary services; payment card industry data security standard (PCI DSS); privacy of financial records, reporting requirements related to this area; restricted party screening; tax compliance.	<ul style="list-style-type: none"> •Sherman Antitrust Act; •Regulation E: Electronic Fund Transfers; •Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; •2 C.F.R. Part 200 (Uniform Guidance); •Bankruptcy Abuse Prevention & Consumer Protection Act; •Truth in Lending Act; •BOG Reg. 9.013 ; •BOG Reg. 9.008; •Fla. Stat. 1011.47; •Gramm Leach Bliley Act (GLBA) ; •Payment Card Industry Data Security Standard (PCI DSS); •34 CFR 668.164(e)(2)(viii) and (f)(4)(iii)(B); •FSA Handbook, Appendix F; •Higher Education Act (HEA): Foreign Gift and Contract Reports; •General Accepted Accounting Principles (GAAP-GASB); •HEA: Audits; •Qualified Tuition and Student Loan Interest Reporting; •Social Security Act; •Unrelated Business Income Tax (UBIT); •Federal Insurance Contributions Act (FICA); •Reporting of Payments of Royalties; •Fringe Benefits 26 U.S.C. § 132 ; •Independent Contractors 26 U.S.C. §§ 3401-3406
Human Resources Related	UF: (UFHR) Jodi Gentry, VP; Melissa Curry, VP	Office of the Dean	SiseneG Midget, Human Resources	Affirmative action; background checks; employee disclosures; employee benefits; employee relations; FMLA; immigration; non discrimination in employment; ADA (Discrimination protection and reasonable accommodations); Title IX (Employment); privacy of employee records; recruitment, hiring and termination; retirement, training requirements related to this area; unions; wages.	<ul style="list-style-type: none"> •Affirmative Action/Equal Employment Opportunity; •BOG Reg. 4.003; •Minor Protection Laws; •Fair Credit Reporting Act (FCRA), •Higher Education Opportunity Act (HEOA), Sect. 152 and 153; •Higher Education Act (HEA) Sect. 485; HEA, Sect. 485(a)(1) (O) and 495(f)(1); •Clery Act ; •Violence Against Women Act; •HEA Sect. 120; •Drug Free Schools and Communities Act; •Medicare, Medicaid, and SCHIP Extension Act; •Cafeteria Plan Regulations; •Consolidated Omnibus Budget Reconciliation Act (COBRA); •Employee Retirement Income Security Act of 1974 (ERISA); •Patient Protection and Affordable Care Act (PPACA); •Title IX; •ADA; •The Veterans' Readjustment Benefits Act; •Uniformed Services Employment and Reemployment Rights Act (USERRA); •The Family and Medical Leave Act (FMLA); •Immigration and Nationality Act; •Student Exchange and Visitor Information System (SEVIS); •Age Discrimination Employment Act; •GINA; •Pregnancy Discrimination Act (PDA); •The Equal Pay Act; •Lilly Ledbetter Fair Pay Act of 2009 Public Law No. 111-2; •Equal Employment Opportunity: Executive Order 11246 (OFCCP); •Title VII of the Civil Rights Act; •Other Applicable Laws

COLLEGE OF DESIGN CONSTRUCTION AND PLANNING COMPLIANCE MATRIX

Compliance Area	Primarily Responsible Office/Staff			Representative Issues	Applicable Laws & Regulations
	UF System Wide	DCP	Responsible Person		
Information Technology Related	UF: (Information Technology - UFIT) Elias Eldayrie, VP & CIO; Rob Adams, Chief Information Security Officer	Office of the Dean	Robert Matckie, IT Lead	Acceptable use; electronic information technology (EIT) accessibility; information technology; information security; GDPR requirements; identify theft; hacked, stolen, or guessed passwords; changes made to computer systems without sufficient planning or approval; systems not being able to detect unauthorized changes; logging of activity on computers systems not being sufficient to detect unusual activity, not promptly removing access to computer resources and date when employees change duties or leave the university; data not encrypted while transmitting or storing; computer systems not logging users out after a period of inactivity, copyright & trademark; ensuring that certain types of federal information (i.e., Controlled Unclassified Information or CUI), is protected when processed, stored, and used in non-federal information systems.	<ul style="list-style-type: none"> •Florida Computer Crimes Act (Fla. Stat. Chapter 815) •Digital Millennium Copyright Act (DMCA); •Higher Education Opportunity Act (HEOA) Section 488; •No Electronic Theft Act; •Copyright Act; •37 C.F.R. § 201.1; •48 C.F.R. § 52.227-2; •Copyright Term Extension Act; •Small Webcasters Settlement Act; •Technology Education and Copyright Harmonization Act (TEACH ACT); •Lanham Act 15; •Electronic and Information Accessibility (EIT) Section 508; •WCAG 2.0 AA Guidelines; •BOG 3.0075; •Communications Assistance for Law Enforcement Act (CALEA); •Homeland Security Act; •Federal Communications Commission (FCC) - Wireless Communications, Licensing; • 47 C.F.R. § 27; •Electronic Communications Privacy Act (ECPA); •Hazardous Materials Transportation Act; •40 C.F.R. § 261; •Fair and Accurate Credit Transaction Act (FACTA); •BOG 3.0075 Security of Data and Related Information Technology Resources; •NIST 800-171 Standards; •32 CFR Part 2002; •FAR (up and Coming); •International Trade in Arms Regulation (ITAR); •21 CFR Part 11
International Programs/Activities	UF: (UF International Center) Susanne Hill, Executive Director; Leonardo A Villalon, Dean & Professor; Scott S. Davis, ARO (Alternate Responsible Officer), Director, Exchange Visitor Services; (UFHR) Susan Studstill, Immigration and Compliance Services; (Office of the General Counsel) Ana Spiguel, Sr. University Counsel for Academic Affairs and Business; (Office of Finance & Accounting) Alan West Assist. VP and University Controller; (Office of Research) Cassandra Farley, Division of Research Compliance and Global Support Director	Office of the Dean	Michael Kung, Director, Global Education	Compliance with U.S. immigration laws when enrolling international students and scholars, or when employing international faculty or staff including provisions that address employment eligibility and employment verification; Exchange visitor programs regulations; Establishment of agreements with host countries; Restricted party screening of foreign parties; Intelligence vulnerabilities (on laptops, phones, and email accounts); FCPA prohibition for certain payments to foreign government officials to assist in obtaining or retaining business; Travel and study abroad safeguards; Prohibition of travel to a designated terrorist state with state or non-state funds; All travel paid with federal funds must be on a US Flag Carrier; GDPR.	<ul style="list-style-type: none"> •Immigration and Nationality Act; •Mutual Educational and Cultural Exchange Act; •Foreign Corrupt Practices Act (FCPA) 15 U.S.C. §§ 78dd-1, et seq.; •OPIC: 22 C.F.R. § 709; •Fla. Stat. 1011.90; •Fly America Act - 41 CFR 301-10.131; •Foreign Corrupt Practices Act (FCPA) 15 U.S.C. §§ 78dd-1, et seq.; •OPIC: 22 C.F.R. § 709; •Student Exchange and Visitor Information System (SEVIS); •22 C.F.R. § 62.15; •67 Fed. Reg. 34,862

COLLEGE OF DESIGN CONSTRUCTION AND PLANNING COMPLIANCE MATRIX

Compliance Area	Primarily Responsible Office/Staff			Representative Issues	Applicable Laws & Regulations
	UF System Wide	DCP	Responsible Person		
Privacy Related	UF: (UFCE), Terra DuBois, Chief Compliance Officer; (Information Technology -UFIT) Elias Eldayrie, VP & CIO; Rob Adams, Chief Information Security Officer and Compliance Partner; (University Relations) Bernard Brzezinski, Director of Visual Services; (Strategic Communications and Marketing) Todd Sanders, Senior Director of Digital/Social Engagement and Innovation; Ryan Morejon, Social Media Specialist	Office of the Dean	Robert Matckie, IT Lead	Accuracy and disposal and limitation of ways consumer information can be shared, identify theft, mobile device security, connection of mobile devices to organizational information systems controls; encryption & passwords; photography, invasion of privacy, social media, publication of private information; false light; signed waivers; harassment; doxing, restricted areas, subjects under 18, consent; proper data processing of personal data for GDPR	<ul style="list-style-type: none"> •FERPA; Fair and Accurate Credit Transaction Act (FACTA); •European Union General Data Protection Regulation (GDPR); •SEC-AC-002.01: Authentication Management Standard; •SEC-AC-002.02 Password Complexity Standard; •Gramm Leach Bliley Act (GLBA) 15 U.S.C. § 6801; •Electronic Communications Privacy Act (ECPA) 18 U.S.C. §§ 2510-2522 (Wiretap) 18 U.S.C. §§ 2701-2711 (Stored Communications) •UF Policies on Mobile Computing and Storage Devices
Real Estate Related	UF: (Office of Real Estate) Trevor Schneider, Interim Director; (Office of the General Counsel) Colt Little, Senior University Counsel for Real Estate UF-Jax: (Office of the General Counsel) John Clontz, Deputy Director, Contract Services; (UF Office of Contract Services) Bonnie Steele, Senior Contract Specialist	Office of the Dean	Kutonya Sowell, Business Manager (Preservation Institute Nantucket)	Acquisition of properties; lease agreements; non discrimination in housing; public lands and property	<ul style="list-style-type: none"> •FAC Chapter 18-1- State Land Acquisition Procedures; •Fla. Stat., Chapter 253.025 -Acquisition of state lands; •Fla. Stat. 1011.47 Auxiliary enterprises; contracts, grants, and donations; •Fla. Stat. 1013.171 University lease agreements; land, facilities; •Fla. Stat., Title XVIII Public Lands and Property, Chapter 255 Public Property and Publicly Owned Buildings, Section 255.25 Approval required before construction or lease of buildings; •FAC Chapter 18-2- Management of Uplands Vested in the BOT; •BOG Reg.18.001 Procurement Regulation; •BOG Reg. 17.001 Lease Authority; •BOG Reg. 9.008 University Auxiliary Facilities with Outstanding Revenue Bond; •BOG Reg. 14.002 Definitions; •BOG Reg. 14.0025 Action Required Prior to Fixed Capital Outlay Budget Request;•BOG Reg. 21.204 Future Land Use Element.
Record Retention	UF: (University Libraries) Sara Kiszka, University Records Manager; (UF Data Governance Council) Dr. Cathy Lebo, UF Data Governance Council co-chair	All departments	All College and Department administrators and managers	Compliance with state record retention schedules; maintenance of patient records; prohibition of fraudulent altering, defacing, or falsifying of documents; poor record keeping practices; inability to demonstrate to a federal or state agency effectiveness of program due to lack or improper retention of pertinent records.	<ul style="list-style-type: none"> •State of Florida General Records Schedules (e.g., Schedule GS4 for Public Hospitals, Healthcare Facilities and Medical Providers; GS5 for Public Universities and Colleges; GS1-SL for state and local government agencies); •Higher Education Act (HEA): Record Retention Public Law No. 110-315 •34 C.F.R. § 668.24; •Fla. Stat. Chapter 119 -Public Records; •Fla. Stat. Chapter 257.36 – Records and Information Management Section A. ; •FAC Chapter 18-24.003 Records Retention Scheduling and Disposition

COLLEGE OF DESIGN CONSTRUCTION AND PLANNING COMPLIANCE MATRIX

Compliance Area	Primarily Responsible Office/Staff			Representative Issues	Applicable Laws & Regulations
	UF System Wide	DCP	Responsible Person		
Reporting Requirement (Abuse)	UF: (UFPD) Linda Stump-Kurnick, Assistant Vice President of Public and Environmental Safety; All unit managers	All departments	All employees	Mandatory reporting of abuse, neglect, or exploitation of vulnerable adults; mandatory reports of death; reporting of suspected domestic violence. Those required to report include any physician, osteopathic physician, medical examiner, chiropractic physician, nurse, paramedic, emergency medical technician, or hospital personnel engaged in the admission, examination, care, or treatment of vulnerable adults, and others.	•Fla. Stat. Chapter 741.29 Domestic violence; investigation of incidents; notice to victims of legal rights and remedies; reporting;
Reporting Requirement (Foreign Gifts and Contracts)	UF: UFCE, DSP, Bursar, UFF	Office of the Dean	Kutonya Sowell, Business Manager	Mandatory reporting of foreign gifts and contracts > \$250,000.	•Section 117 of HEA
Research Accreditation (Protection of Human Research Participants - AAHRPP)	UF: (Office of Research Operations & Services) Michael Mahoney, Director UF-Jax: (Office of Research Administration) Tina Bottini, Assist. Dean	Office of the Dean	Margaret Portillo, PhD, Associate Dean for Research and Strategic Initiatives - Compliance Partner	Meeting accreditation requirements (nine overarching principles for protecting human research participants)	•AAHRPP Accreditation (Association for the Accreditation of Human Research Protection Programs)
Research Clinical (Involving Human Subjects)	UF: (Office of Research Operations & Services) Michael Mahoney, Director; (IRB) Peter lafrate (IRB 01 Chair); Ira Fischler (IRB 02 Chair); (Clinical and Translational Science Institute-CTSI) Dr. David Nelson, Director	Office of the Dean	Margaret Portillo, PhD, Associate Dean for Research and Strategic Initiatives - Compliance Partner	Informed consent; conduct test or survey on human; human protection; implementing the Notice of Proposed Rulemaking (NPRM) changes for the IRB in 2018 (e.g., Tightening Informed Consent Documents, Increasing Transparency, Creating Information Privacy Protections, Regulating Research Use of Identifiable Private Information &	•45 C.F.R. §§ 46.101-46.124; •45 CFR 164 HIPAA from HRP-427; • 21 CFR 312 Drugs from HRP-425; • 21 CFR 812 Devices from HRP-426; • 28 CFR 22 (NIJ) from HRP-406; • 28 CFR 512 from HRP-406; • 34 CFR 98 from HRP-407 ED Education Research; • 34 CFR 99 FERPA from HRP-480; • 40 CFR 26 EPA from HRP-408; • ANCC Nursing Magnet Institutions 2014 Magnet Application Manual from HRP-430; • DoD Instruction 3216.02; • DOE Order 443.1B from HRP-409; • US Code Title 42, Chapter 6A,
Research Integrity (Scientific Misconduct)	UF: (Division of Research Compliance) Cassandra Farley, Director	Office of the Dean	Margaret Portillo, PhD, Associate Dean for Research and Strategic Initiatives - Compliance Partner	Falsification of data or results; plagiarizing; non-disclosure of research dangers; non disclosures of financial arrangements with sponsor(s) of the studies; failure to have written policies for addressing allegations; required reporting of scientific misconduct to NSF/PHS agencies; Compliance with University policy	•National Science Foundation (NSF) Research Misconduct Policies 42 U.S.C. § 1870(a); •45 C.F.R. § 689 (for NSF projects); •Public Health Service Policies on Research Misconduct 42 U.S.C. § 241; •42 C.F.R. § 93 (for PHS projects); •70 Fed. Reg. 28,370; •University of Florida policy 6C1-1.0101.

COLLEGE OF DESIGN CONSTRUCTION AND PLANNING COMPLIANCE MATRIX

Compliance Area	Primarily Responsible Office/Staff			Representative Issues	Applicable Laws & Regulations
	UF System Wide	DCP	Responsible Person		
Research Related (Other)	UF: (EH&S) Karen Gillis, Assoc. Director, Research Services; Mark Yanchisin, Clinical & Lab Safety Officer; Sharon Judge, Biosafety Officer; Susan Stanford, Radiation Control Officer; (Office of Research Operations & Services) Michael Mahoney, Director; (Division of Research Compliance) Cassandra Farley, Director; (Division of Sponsored Programs) Stephanie Gray, Assist. VP; (Contracts & Grants) Tiffany Schmidt, Director; (OTL) Jim O'Connell, Assist. VP &	Office of the Dean	Margaret Portillo, PhD, Associate Dean for Research and Strategic Initiatives - Compliance Partner	Dual Use of Research Concern; export controls; grants management; intellectual property & technology transfers; privacy of research subjects records, research safety; research security/classified research; reporting and training requirements applicable to this area; research related conflicts of interest; restricted party screening	<ul style="list-style-type: none"> •U.S. Gov. Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern; •Arms Export Control Act (AECA), as amended, in the International Traffic in Arms Regulations ("ITAR") (22 CFR Parts 120-130); • Export Administration Act ("EAA"), as amended, in the Export Administration Regulations ("EAR") (15 CFR Parts 730-774); • U.S. economic sanctions programs administered by the Office of Foreign Assets Control (OFAC), Dept. of Treasury; • Dept. of Energy (DOE) regulations, 10 CFR 810 et seq.; • U.S. Customs Foreign Trade Regulations (15 CFR Part 30); • Trading with the Enemy Act; • International Emergency Economic Powers Act; •Dept. of HHS Grants Policy Statement; •Policy statements for other funders such as NIH GPS, NSF PAPPG; •2 CFR 200 (Uniform Guidance); •Dept. of Education General Administrative Regulations (EDGAR); •False Claims Act; •Fraud Enforcement and Recovery Act (FERA); •Bayh-Dole Act; •37 C.F.R. § 401; •48 C.F.R. § 927; •48 C.F.R. §
Student Affairs Related	UF: (Dean of Students Office) Heather White, Associate V.P. and Dean; Sevapriya Barrier, Associate Dean of Students	Office of the Dean	Patrick De Jong, Assistant Director, Academic Advising - Undergraduate Majors; Sallie Schattner, Admission Registrar Officer	Accounting; student disclosures; facilities, planning, and construction small projects housing; non-discrimination in housing; ADA (Discrimination protection and reasonable accommodations); Title IX (housing, financial aid, grievance procedure); privacy of student records, special events; reporting and training requirements applicable to this area; student welfare/counseling/ recreational sports/sexual	<ul style="list-style-type: none"> • Fla. Stat. 1009.24; •Drug Free Schools and Communities Act; •FL Building Code; •Fla. Stat. 1013.30; •Fla. Stat. 1013.31; •Fla. Stat. 1013.60, .61, .74; •ADA; •Title IX; •Section 504 of The Rehabilitation Act; •34 C.F.R. § 104; •45 C.F.R. § 84; •Clery Act; •Baker Act; •HIPAA; •FERPA; •Federal Fair Housing Act; •American Red Cross Standards; •FDA Regulations; •FERPA; •Florida Information Protection Act (FIPA); •Electronic Communications Privacy Act (ECPA); •HEOA/HEA (multiple sections); •FSA Handbook; •Drug Free Schools and
Third Party Management	UF: Multiple departments; (University Disbursement Services) Randy Staples, Associate Controller	Office of the Dean	Kutonya Sowell, Business Manager; Caroline Welch, Fiscal Assistant III	Due diligence/approved vendor list process; restricted party screening; appropriate controls; misconduct consequences; appropriate use of state/federal funds; audit rights; gifts/inducements; best contracting practices; contract/vendor management; compliance oversight of affiliations and/or joint ventures	<ul style="list-style-type: none"> 2 CFR 376.147; •Executive Orders 12549 and 12689; •OMB Circulars and Guidance, §215.3 Debarment and Suspension; •NIH Grant Policy Statement; •Office of Foreign Assets Control (OFAC) regulations; •Homeland Security and Patriot Act; •Fla. Stat. 112.313; •DOJ Evaluation of Corporate Compliance Programs

COLLEGE OF DESIGN CONSTRUCTION AND PLANNING COMPLIANCE MATRIX

Compliance Area	Primarily Responsible Office/Staff			Representative Issues	Applicable Laws & Regulations
	UF System Wide	DCP	Responsible Person		
University Relations Related	UF: (Government Community Relations) Mark Kaplan, Vice President, University Relations; (Strategic Communications) Nancy Paton, VP, (Office of the General Counsel) Amy Hass, Vice President and General Counsel [General Counsel for Public Records]	Office of the Dean	Chimay Anumba, Dean; Joey Mazzaferro, Associate Director of Communications; Seth Watts, Senior Director of Advancement	Campaign for charities; lobbying and government relations; media relations; public records laws	<ul style="list-style-type: none"> •BOG Regulation 1.001.; •Fla. Stat. 110.181(5); •UF Regulation 1.015 University of Florida Campaign for Charities (UFCC); •Honest Leadership and Open Government Act of 2007 Public Law No. 110-81; •Lobbying Disclosure Act 2 U.S.C. §§ 1601-1614 Public Law No. 104-65, 109 Stat. 691; •House and Senate Gift Ban and Ethics Rules; •Fla. Stat. 11.062 - Use of state funds for lobbying prohibited; penalty; •Byrd Amendment; •Fla. Stat.. 112.3217 - Contingency fees; prohibitions; penalties; •Political Activities IRC § 501(c)(3); •Fla. Stat. 112.3215; •Fla. Stat. 11.045; •Alachua County Lobbyist Registration Rules; •Gainesville Lobbyist Registration Rules
Unmanned Aircraft Systems (UAS or Drones)	(EH&S), John S. Rouse, UAS/Drone Coordinator; Cassandra Farley, Research Integrity Associate Director	Dean's Office; Rinker School	Abdol Chini, Associate Dean for Undergraduate Education and Facilities; Robert Cox, Rinker School Director	Institutions are permitted to use small unmanned aircraft systems (UAS) in the National Airspace System for purposes that include research and development and educational/academic uses, provided that the institution follows operation and certification requirements; An uncertified person, such as a student, may manipulate the controls of a small UAS, provided that: (1) They are under the direct supervision of a certified remote pilot in command; and (2) the remote pilot in command is capable of taking over controls at any time during the flight; Safe use of UAS or Drones for operators, spectators and property.	<ul style="list-style-type: none"> •Final Rule on the Operation and Certification of Small Unmanned Aircraft Systems ; •14 C.F.R. part 107 •Federal Aviation Administration (FAA) rules; •UF Drone Policy (EH&S)
Youth Protections (Programs and Activities Involving Minors)	UF: (UFCE), Terra DuBois, Chief Compliance Officer; Lynn Musselman, Compliance Specialist	School of Architecture	Mary Kramer, Office Manager	Campus safety; child abuse reporting laws; background checks; youth protection; reporting requirements; parental consent forms; appropriate supervision; insurance; releases, waivers, & facility use forms; assumptions of risk; indemnification; internet safety; program registration and tracking of minor participants	<ul style="list-style-type: none"> •The Child Abuse Prevention and Treatment Act (CAPTA); •Fla. Stat. Section 39.201 Mandatory reports of child abuse, abandonment, or neglect; mandatory reports of death; central abuse hotline; •BOG 2.002 Penalties for Failure to Report Child Abuse; •Children's Online Privacy Protection Act (COPPA)