

Compliance Areas

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Compliance Matrix

Compliance Area <small>University Cabinet Member(s)</small>	Specific Compliance Area	Examples of Requirements	Responsible Office(s)	Example Applicable Regulations	Resources
Academic / Admissions Susie Brubaker-Cole, Vice Provost for Student Affairs Richard Shaw, Dean of Admissions and Financial Aid	Academic Information (prospective and current students)	Availability of information on accreditation, campus safety, diversity, placement, retention statistics, course information, transfer policies, and planned changes to academic programs	University Communications Office of the University Registrar	Higher Education Opportunity Act (sections related to student disclosures, policies, and accreditation)	https://ucomm.stanford.edu/publications/ http://exploreddegrees.stanford.edu gradadmissions.stanford.edu/applying
	Admission Requirements (Undergraduate)	Required accessibility to admissions and institutional information including institutional statistics and course information. No discrimination is allowed on the basis of age, military deferment, diversity or accessibility.	Office of Undergraduate Admissions	Higher Education Opportunity Act (sections related to admissions) Age Discrimination Act Also see list in <i>Accessibility and Diversity</i>	https://admission.stanford.edu/apply/
	Financial Aid	Required information on costs, financial aid programs, selection criteria, any applicable loan, grant, etc. terms, price calculator, status of financial aid (if currently received), and student rights and responsibilities in receiving financial aid	Financial Aid Office	Truth in Lending Act Student Right to Know Act Higher Education Opportunity Act (sections on loans, grants and financial aid)	financialaid.stanford.edu
Accessibility and Diversity Susie Brubaker-Cole, Vice Provost for Student Affairs Stephanie Kalfayan, Vice Provost for Academic Affairs	Disability Access (Buildings, Services)	Disability-related accommodations for staff, faculty and guests, and student non-academic related accommodations (club sports, dorm activities, transportation, etc.)	Diversity and Access Office Office of Accessible Education	Americans with Disabilities Act The Fair Housing Act Section 504 of the Rehabilitation Act	https://diversityandaccess.stanford.edu/disability-access https://oe.stanford.edu/
	Disability Access (Online, Electronic)	Disability-related accommodations for staff, faculty and guests, and student non-academic related accommodations (websites, electronic materials, video captioning, etc.)	Stanford Online Accessibility Program Diversity and Access Office Office of Accessible Education	Americans with Disabilities Act Section 504 of the Rehabilitation Act Section 255 of the Communications Act	https://soap.stanford.edu/ https://ucomm.stanford.edu/policies/accessibility-policy/ https://oe.stanford.edu/
	Non-discrimination, Equal Opportunity, Affirmative Action, Equal Employment	Nondiscrimination protection based on race, religion, color, national origin, physical or mental disability, medical condition, pregnancy, marital status, sex, age, sexual orientation, gender identity, protected veteran status, or genetic information for participation in academic programs, activities or employment.	Diversity and Access Office, Department and School Administrators, University Human Resources	Title VI of the Civil Rights Act Title VII of the Civil Rights Act Executive Order 11246 Age Discrimination and Employment Act Equal Employment of Veterans CA Fair Employment and Housing Act	https://diversityandaccess.stanford.edu/diversity https://adminguide.stanford.edu/chapter-1/subchapter-7/policy-1-7-4

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Accounting and Finance Randy Livingston, Vice President for Business Affairs & CFO	Bank Accounts	Opening, closing or maintenance of University related bank accounts.	Office of the Treasurer	Administrative Guide 3.6.1 Bank Accounts Generally Accepted Accounting Principles (GAAP) financial statement audit requirements Know your customer (KYC)	https://adminguide.stanford.edu/chapter-3/subchapter-6/policy-3-6-1
	Credit Card Transactions	Safeguarding credit card holder's sensitive data that is captured as part of a transaction.	Office of the Treasurer Credit Card Merchant Services	Payment Card Industry (PCI) Data Security Standard	https://pcicompliance.stanford.edu/ https://web.stanford.edu/dept/businessaffairs/treasurer/merchants/index.html
	Procurement/ Contracts	Oversight of vendor selection, competition and competitive bidding, permits and licenses, invoicing and payment management.	Financial Management Services Procurement Office, Financial Support Center	Stanford Administrative Guide Vendor Requirements	https://adminguide.stanford.edu/category/vendor http://web.stanford.edu/group/fms/fingate/staff/buying/res_jobaid/buy_pay_support_center.html
	Taxes	Complying with regulations, authoritative pronouncements and rulings by the Internal Revenue Service, and similar state and local laws and regulations.	Controller's Office Tax Group	Internal Revenue Service (IRS) Regulations	http://web.stanford.edu/group/fms/fingate/staff/taxcompliance/res_jobaid.html
Campus Safety Kathryn Ann Moler, Vice Provost and Dean of Research Debra Zumwalt, Vice President and General Counsel	Campus Security	Notifications for security and safety t	Department of Public Safety	Clery Act Higher Education Opportunity Act (sections related to emergency notifications)	https://police.stanford.edu/security-report.html
	Crime Reporting	Comprehensive and prompt campus crime and safety reporting.	Department of Public Safety	Clery Act	https://police.stanford.edu/security-report.html
	Emergency Preparedness	Policies and procedures for campus e	Department of Public Safety Environmental Health & Safety	Higher Education Opportunity Act (sections related to emergency notifications) Occupational Safety and Health Act of 1970	https://ehs.stanford.edu/topic/emergency-preparedness
	Pedestrian and Traffic Safety	Abiding by traffic and safety laws.	Department of Public Safety	California Vehicle Code	https://transportation.stanford.edu/bicycle/learn-about-bike-safety/comply-with-bike-laws https://police.stanford.edu/security-report.html
Copyright and Trademark Kathryn Ann Moler, Vice Provost and Dean of Research	Copyright	Rights of authors of literary, dramatic, musical, artistic, and certain intellectual works.	Office of Technology Licensing	Copyright Act of 1976	https://fairuse.stanford.edu/ https://doresearch.stanford.edu/policies/research-policy-handbook/intellectual-property

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University Cabinet Member(s) Randy Livingston, Vice President for Business Affairs & CFO Debra Zumwalt, Vice President and General Counsel	Plagiarism	Proper citation of referenced material used under fair use guidelines and not claiming another's work as your own.	Student Affairs Office of Community Standards Vice Provost and Dean of Research Office	Copyright Act of 1976 Trademark Act of 1946	https://communitystandards.stanford.edu/student-conduct-process/honor-code-and-fundamental-standard/additional-resources/what-plagiarism https://doresearch.stanford.edu/policies/research-policy-handbook/conduct-research/research-misconduct-policy-allegations-investigations-and-reporting
	Trademarks, Images, and Name Use	Restrictions on how the Stanford name, emblems and other trademarks may be used.	Trademark Licensing Office University Communications	Trademark Act of 1946 Stanford University Administrative Guide	https://adminguide.stanford.edu/chapter-1/subchapter-5/policy-1-5-4 https://trademarks.stanford.edu/name-use-guidelines https://identity.stanford.edu trademarks@stanford.edu brandmanager@stanford.edu
Donors, Gifts and Endowments					
Martin Shell, Vice President & Chief External Relations Officer Robert Wallace, CEO Stanford Management Company	Donor Restrictions	Proper use, tracking and reporting of donor restricted gifts.	Office of Development Schools/Departments/Faculty	Philanthropy Protection Act of 1995 Uniform Prudent Management of Institutional Funds Act (UPMIFA) Donor agreements	http://giving.stanford.edu
	Investment Activity: Merged Pool and Intermediate Pool	Reporting obligations to the U.S. Securities and Exchange Commission, Department of the Treasury, and foreign counterparts.	Stanford Management Company	California Uniform Prudent Investor Act (UPIA) Securities and Exchange Commission regulations	https://irsr.stanford.edu
Environmental Health and Safety					
Kathryn Ann Moler, Vice Provost and Dean of Research	Laboratory Safety	Laboratory safety and security generally related to procurement, storage, handling, and disposal of specific material categories such as biological, radiological, toxic and highly flammable chemicals.	Environmental Health & Safety Office	Hazardous Materials Transportation Act OSHA Enforcement Guidance (personal protective equipment and hazardous materials) Toxic Substances Control Act Chemical Facility Anti-Terrorism Standards	https://ehs.stanford.edu/manual https://ehs.stanford.edu/training https://ehs.stanford.edu/topic/waste-disposal
	Occupational Safety and Emergency Management	Environmental safety and health requirements not specific to labs including: occupational health, building safety, fire suppression, and emergency preparedness	Environmental Health & Safety Office Stanford Medicine Office of Emergency Management	California Occupational Safety and Health Regulations (CAL/OSHA) Emergency Planning and Community Right Act (EPCRA)	https://ehs.stanford.edu/about-us/occupational-health-center https://ehs.stanford.edu/topic/emergency-preparedness http://med.stanford.edu/disaster/

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Global Randy Livingston, Vice President for Business Affairs & CFO Kathryn Ann Moler, Vice Provost and Dean of Research	Anti-bribery	Payments to or from foreign officials to assist in obtaining or retaining business, induce an individual to perform duties improperly, or gain other improper advantage	Office of the General Counsel Global Business Services	Foreign Corrupt Practices Act (FCPA) UK Anti-Bribery Act	https://globalops.stanford.edu/guide/legal/anti-bribery
	International Banking and Investment	International banking "Know Your Customer" requirements, cash management, currency exchange and international investment management	Office of the Treasurer Controllers Office Tax Dept Stanford Management Company	Report of Foreign Bank and Financial Accounts (FBAR) Office of Foreign Asset Control	https://globalops.stanford.edu/topics/finance
	International Business Regulations, Corporate Registration/ Permanent Presence	US economic and trade sanctions, International permanent establishment requirements, corporate registration, and US, Foreign and Supra-national information reporting and compliance	Office of the General Counsel Global Business Services	US Office of Foreign Assets Control (OFAC) embargoed and sanctioned countries Dept Of Treasury/IRS bilateral tax treaties OECD- Base Erosion & Profit Shifting; Transfer Pricing	https://globalops.stanford.edu/topics/legal
	International Taxes	Non-compliance with US, international and supra-national Financial, Tax and Business regulations, various entity and individual taxes	Financial Management Services Global Business Services	Internal Revenue Service (IRS) Regulations U.S. Office of Foreign Assets Control sanctions Tax codes in countries Stanford operates	https://globalops.stanford.edu/topics/tax
Information Privacy and Security Rick Moyer, Senior Associate Vice President and Chief Risk Officer	Information Security	Preventing unauthorized access, use, disclosure, disruption, modification, inspection, recording or destruction of information with a majority being IT security (cybersecurity)	Information Security Office	Minimum Security Standards guidelines and related Stanford adoption	https://uit.stanford.edu/security https://uit.stanford.edu/guide/securitystandards
	Protection of Personal/ Individual Information	Protection of Personally Identifiable Information (PII), Protected Health Information (PHI), Personal Data and confidential information	Privacy Office	Health Insurance Portability and Accountability Act (HIPAA) Health Information Technology for Economic and Clinical Health Act (HITECH)	https://privacy.stanford.edu/
	Student Records	Protections regarding sharing student records, such as report cards, transcripts, disciplinary records, class schedules and contact and family information	Registrar's Office	Family Educational Rights and Privacy Act (FERPA)	https://registrar.stanford.edu/students/student-record-privacy https://registrar.stanford.edu/everyone/parents-page/ferpa-parents

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University Cabinet Member(s) Intercollegiate Athletics Bernard Muir, Athletics Director	Conference College Sports Guidelines	Athletic activities must abide by conf.	Compliance Services Office (Athletics)	PAC-12 Conference	http://gostanford.com/sports/2013/4/17/208451259.aspx
	NCAA Compliance	Athletic activities must abide by NCAA guidelines. Recruiting requirements, student-athlete obligations, playing and practice limits, reporting requirements, etc.	Compliance Services Office (Athletics)	National Collegiate Athletics Association (NCAA)	http://gostanford.com/sports/2013/4/17/208451259.aspx
	Title IX (equal access)	No person may be excluded from participation or discriminated against based on sex for any interscholastic, intercollegiate, club or intramural athletics offered	Stanford Compliance Intercollegiate Athletics, Woman's Sports Administrator, Individual Sport Administrators	Title IX of the Education Amendment of 1972	https://undergrad.stanford.edu/advising/student-guides/student-athletes http://www.gostanford.com/sports/2013/4/17/208451259.aspx
Labor and Employment/ Human Resources Elizabeth Zacharias, Vice President for Human Resources Stephanie Kalfayan, Vice Provost for Academic Affairs	Conflict of Interest / Conflict of Commitment (Staff) <i>See Research for Faculty</i>	Protecting primary professional allegiance to the University and appropriate disclosure and management of significant financial interests in, or consulting or employment arrangements with, other (non-University) concerns	University Human Resources	Stanford University Administrative Guide Staff Policy on Conflict of Commitment and Interest	https://adminguide.stanford.edu/chapter-1/subchapter-5/policy-1-5-2
	Employee Benefits	Benefits and retirement plan disclosures such as Healthcare program structure, workplace standards and unemployment insurance	University Human Resources	The Family and Medical Leave Act Drug Free Workplace Act Employee Retirement and Income Security Act (ERISA)	https://cardinalatwork.stanford.edu/benefits-rewards
	Equal Opportunity and Access	See <i>Accessibility and Diversity</i> section.			
	Immigration (Faculty/ Staff)	Following U.S. Visa, green card and citizenship application and management guidelines, international travel restrictions and requirements, employment as a non-US Citizen, and related executive orders	Bechtel International Center, University Human Resources	Immigration and Nationality Act U.S. Citizenship and Immigration Services, Department of Homeland Security Travel Ban Executive Order	https://bechtel.stanford.edu/immigration https://immigration.stanford.edu
	Recruitment, Hiring and Termination	Establishing background check and disclosures, non-discrimination, and terminated employee rights and benefits (such as COBRA and timely payment of wages)	Staff: Individual Departments, University Human Resources Faculty: Deans within Schools and the Faculty Senate	Consolidated Omnibus Budget Reconciliation Act (COBRA) Federal-State Unemployment Insurance Program Veterans' Employment and Training Service (VETS)	https://cardinalatwork.stanford.edu/manage-lead/recruit-hire https://hr.stanford.edu/processes/background-checks https://cardinalatwork.stanford.edu/manage-lead/transition-exit

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University Cabinet Member(s)	Sexual Harassment (Faculty/ Staff)	Prevention and addressing inappropriate gender-based or sexual behavior including sexual harassment, prohibited sexual conduct, consensual sexual relationships, and Title IX Administrative Policy and Procedures	Sexual Harassment Policy Office Title IX Office	Title VII of the Civil Rights Act Title IX of the Education Amendment	https://harass.stanford.edu https://titleix.stanford.edu
	Workers' Compensation	Workers' Compensation is an employment benefit for work-related injuries/illnesses	Office of Risk Management	California Labor Code Section 3700	https://orm.stanford.edu/insurance/workers-compensation
Robert Reidy, Vice President for Land, Buildings & Real Estate	Building Regulations and Ordinances	Ensuring buildings are built and renovated in compliance with applicable building codes and ordinances within the appropriate jurisdiction	Land, Buildings & Real Estate	Uniform Building Code National Fire Protection Association	https://lbre.stanford.edu/guides
	Land Use Regulations and Ordinances	Obtaining land entitlements to support the mission of the University	Land, Buildings & Real Estate	2000 Santa Clara County General Use Permit and Community Plan Habitat Conservation Plan Redwood City Precise and Development Plans	https://gup.stanford.edu/ https://hcp.stanford.edu/
Kathryn Ann Moler, Vice Provost and Dean of Research	Animal Subjects	Adhering to the minimum standards for housing, feeding, handling, veterinary care, and for some species, psychological well-being of animal subjects	Research Compliance Office	Animal Welfare Act (AWA) Public Health Service Policy on the Humane Care and Use of Laboratory Animals (NIH)	https://labanimals.stanford.edu/
	Biosafety & Biosecurity	Protection of personnel and environment regarding biohazardous materials and recombinant and synthetic nucleic acids	Environmental Health & Safety Office	Occupational Safety and Health Administration (OSHA) rules California Medical Waste Management Act (MWWMA) NIH/CDC (Biosafety in Microbiological and Biomedical Laboratories)	https://ehs.stanford.edu/topic/biosafety-biosecurity https://ehs.stanford.edu/manual/biosafety-manual https://www.cdc.gov/biosafety/publications/bmbl5/index.htm
	Conflict of Interest / Conflict of Commitment (Faculty & Academic Staff)	Conflicts of Commitment and Interest is a Faculty Senate policy, requiring disclosure of outside professional activities that may have an impact on the design, conduct or reporting of research. Faculty members owe their primary professional allegiance to Stanford University, and their primary commitment of time and intellectual energies should be to the education, research, and scholarship programs of the institution.	Vice Provost and Dean of Research Office	Public Health Service Responsibility of Applicants for Promoting Objectivity in Research (42 C.F.R. Part 50, Subpart F) National Science Foundation financial disclosure requirements	https://doresearch.stanford.edu/research-scholarship/conflicts-interest https://doresearch.stanford.edu/node/39107

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	Export Control	Regulations that impose access, dissemination, participation, or financial restrictions on the transfer of items, information or services for reasons of national security, trade sanctions policy, anti-terrorism or non-proliferation	Director of Export Compliance and University Export Control Officer	International Traffic in Arms Regulations (ITAR) Export Administration Regulations (EAR) Office of Foreign Assets Control Trade Sanctions Regulations (OFAC)	https://doresearch.stanford.edu/research-scholarship/export-controls
	Human Subjects and Stem Cells	Following federal policy or the “Common Rule” for Institutional Review Boards (IRB) oversight and ethics, additional protections for prisoners, children, pregnant women, human fetuses, neonates and any others participating in human stem cell research	Research Compliance Office	Department of Health and Human Services Title 45 CFR 46 California Institute of Regenerative Medicine (CIRM) and California Department of Public Health (CDPH) regulations	http://researchcompliance.stanford.edu/hs/index.html http://scro.stanford.edu/ https://www.hhs.gov/ohrp/
	Radiological Safety	Ensuring safe use of ionizing radiation and radiation producing devices to protect device users and the public as well as authorizing permits for radiation use and x-ray device use, providing appropriate training for users, monitoring exposure to radiation and safe disposal of radioactive waste	Environmental Health & Safety Office	Nuclear Regulatory Commission Standards for Protection Against Radiation	https://ehs.stanford.edu/topic/radiation-safety
	Research Misconduct	Procedures for reporting and investigating allegations of research misconduct, and for the required notifications to federal agencies of such allegations and investigations	Vice Provost and Dean of Research Office	May relate to all research associated regulations listed in other research, copyright and plagiarism, or accounting and finance sub-topics	https://doresearch.stanford.edu/research-scholarship/responsible-conduct-research https://doresearch.stanford.edu/policies/research-policy-handbook/conduct-research/research-misconduct-policy-allegations-investigations-and-reporting https://ori.hhs.gov/

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University Cabinet Member(s)	Research Policy and Training	Recommends and promulgates new research policy regarding research, the conduct of research and research administration. Cardinal Curriculum Certification programs and Principal Investigator training provide instruction regarding the conduct of research, managing the financial aspects of research, and research administration in compliance with Stanford policies, federal and state laws, sponsor requirements and award terms and conditions.	Vice Provost and Dean of Research Office	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (OMB Uniform Guidance Title 2 Part 200)	https://doresearch.stanford.edu/policies/research-policy-handbook
Student Related (not covered elsewhere)					
Susie Brubaker-Cole, Vice Provost for Student Affairs	Drug and Alcohol	Education, notification, prevention and fair implementation of administrative actions related to underage drinking and use of illegal drugs or drugs not prescribed	Office of Alcohol Policy and Education	Drug Free Schools and Communities Act Clery Act Higher Education Opportunity Act (Drug Policy Notification)	https://alcohol.stanford.edu/alcohol-and-other-drugs https://adminguide.stanford.edu/chapter-2/subchapter-2/policy-2-2-8
	Immigration (Students)	Providing guidance around F-1/J-1 Student and Scholar Visas and restrictions for students traveling internationally	Bechtel International Center	Immigration and Nationality Act U.S. Citizenship and Immigration Services, Department of Homeland Security Travel Ban Executive Order	https://bechtel.stanford.edu/immigration/visa-types https://bechtel.stanford.edu/overseas-scholarships
	Sexual Harassment and Assault	Informing and enforcing Title IX protections, education and incident notification	Title IX Office	Title IX of the Education Amendment of 1972	https://sexualviolencesupport.stanford.edu/
Technology and Licensing					
Kathryn Ann Moler, Vice Provost and Dean of Research	Licensing, Intellectual Property and Contracting	Protection of patents, copyrights (software), Tangible Research Property, and outgoing Material Transfer Agreements for biological materials	Office of Technology Licensing	Patent Act U.S. Code of Federal Regulations Title 37	http://otl.stanford.edu/
Other Areas					
Megan Pierson, Chief of Staff	Political Activities	Including lobbying activities, endorsements, financial contributions or other political related activities that may endanger the University's 501(c)(3) status	Office of Government and Community Relations	Internal Revenue Service (IRS) guidance on political activity at 501(c)(3) entities	https://sal.stanford.edu/policies/partisan-political-activities

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University Cabinet Member(s)	Volunteers	Volunteer protections and requirements (e.g. waivers, insurance coverage, background checks, vaccinations, etc.) may vary based upon specific roles and responsibilities of the volunteer. Contact Risk Management for consultation.	Office of the Chief Risk Officer Risk Management Office	California Labor Code 3363.5 Volunteer Protection Act of 1997	Contact local Human Resources representatives: https://stanford.app.box.com/v/HRM-listing Office of Risk Management, orm.stanford.edu (650) 721-4348