

| WESTERN MICHIGAN UNIVERSITY COMPLIANCE MATRIX - OUTWARD FACING LEGAL COMPLIANCE |  |  |                                     |  |                     |
|---|--|--|-------------------------------------|--|---------------------|
|   | <b>Business and Finance (NON-HR)</b>                       | <b>2018 - 2019</b>                                 |                                     |  |                     |
|   | <u>COMPLIANCE STANDARD</u>                                 | <u>SUMMARY OF REQUIREMENT</u>                      | <u>UNIVERSITY COMPLIANCE SOURCE</u> | <u>TITLE RESPONSIBLE</u>                   | <u>DELIVERABLES</u> |
| 1   | CLERY ACT - 20 U.S.C. § 1092                               | CRIME REPORTING                                    | PUBLIC SAFETY                       | DIR PUBLIC SAFETY                          | 1-Oct               |
| 2   | DAVIS BACON ACT - 40 USC 3141 et seq.                      | FEDERAL PREVAILING WAGES                           | PURCHASING                          | DIR LOGISTICAL SERVICES                    | ONGOING             |
| 3   | DONOR DECLARATION OF INTENT - MCL 451.921 et seq.          | HONOR DONOR RESTRICTIONS                           | INVESTMENTS/BUDGET                  | MANAGER CASH MGMT & INVESTMETNS            | ONGOING             |
| 4   | FDCPA - 15 USC 1692(e) et seq.                             | DEBT COLLECTION                                    | ACCTS REC                           | ASSOC DIR ACCTS REC                        | ONGOING             |
| 5   | FERPA - 20 USC 1232g et seq. (See also Registrar's Matrix) | HANDLING AND PRIVACY OF PII                        | ACCTS REC/CASHIERING                | ASSOC DIR ACCTS REC; ASST DIR CASHIERING   | ONGOING             |
| 6   | FIN TRANSPARENCY - MCL 18.1238, MCL 18.1245                | PUBLIC DISCLOSURE OF FINANCIAL INFO                | BUDGET                              | EXEC DIR UNIV BUDGETS                      | ANNUAL DISCLOSURE   |
| 7   | FLSA - 29 USC Chapter 8                                    | OVERTIME PAY                                       | PAYROLL                             | ASSOC DIR PAYROLL & DISBURSEMENTS          | ONGOING             |
| 8   | GAAP/GASB  | ACCOUNTING STANDARDS                               | ACCTG SERV                          | DIR FINANCIAL ACCTG & REPORTING            | ANNUAL AUDIT        |
| 9   | GLBA - 15 USC 6801 et seq.                                 | HANDLING AND PRIVACY OF PII                        | ACCTS REC/ACCTG SERV                | ASSOC DIR ACCTS REC; DIR ACCTG SERV        | ONGOING             |
| 11  | PCI - N/A  | PAYMENT CARD STANDARDS                             | BUDGET/CASHIERING                   | EXEC DIR UNIV BUDGETS; ASST DIR CASHIERING | ONGOING             |
| 12  | TAX EXEMPT BOND COMPLIANCE                                 | PRIVATE USE OF TAX-EXEMPT BOND FACILITIES          | CORP REPORT/VPB&F                   | ASST DIR FACILITIES & DEBT PLANNING        | ? MOODY'S/S&P       |
| 13  | TITLE IV - 20 USC Chapter 28                               | TIMELY AND ACCURATE DISBURSEMENTS                  | ACCTS REC/ACCTS PAY                 | ASSOC DIR ACCTS REC                        | ONGOING             |
| 14  | UMIPFA - MCL 451.921 et seq.                               | PRUDENT MANAGEMENT OF FUNDS                        | INVESTMENTS                         | MANAGER CASH MGMT & INVESTMETNS            | ONGOING             |
| 15  | UNIFORM GUIDANCE   | COMPLIANCE OVER FEDERAL FUNDS                      | GRANTS AND CONTRACTS                | DIR GRANTS & CONTRACTS                     | ANNUAL SINGLE AUDIT |
| 16  | MOTOR VEHICLE CODE - MCL 257.1 et seq.                     | COMPLY WITH STATE/FED LAW FOR VEHICLES AND DRIVERS | FM                                  |  |                     |
| 17  | CORPORATE REPT AND TAX                                     | COMPLIANCE WITH IRS REGS                           | CORP REPORTING                      | ASST DIR. CORP REPT AND TAX                |                     |
| 18  | Power Plant EPA requirements (See Power Plant Matrix)      | EPA  |                                     |  |                     |
|   |  |  |                                     |  |                     |
|   |  |  |                                     |  |                     |
|   |  |  |                                     |  |                     |