

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Academic Programs	Age Discrimination Act of 1975, 42 U.S.C. §§ 6101-6107	ED: 34 C.F.R. § 110 HHS: 45 C.F.R. § 90 NSF: 45 C.F.R. § 617	Chief Officer for EEO/Compliance	Equal Opportunity & Institutional Compliance	Prohibits discrimination based on age in educational or academic programs or activities that receive federal financial assistance. Prohibits retaliation for filing a complaint with OCR or for advocating for a right protected by the Act.	
Academic Programs	Americans with Disabilities Act, 42 U.S.C. §§ 12101-12213	DOJ: 28 C.F.R. § 35 DOJ: 28 C.F.R. § 36 DOL: 29 C.F.R. § 1640 EEOC: 29 C.F.R. § 1630	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	Provides broad nondiscrimination protection in employment, public services, and public accommodations (including colleges and universities) for individuals with disabilities. Requires reasonable accommodations (e.g., a modification or adjustment to the status quo inherent in the program or activity) to allow a qualified person with a disability to participate fully in the educational or academic programs and activities of the university. Enforced by multiple federal agencies, including the Department of Justice, Department of Labor, and the EEOC.	ADA Instructional Guidelines are currently under creation/review by Student Accessibility and then Faculty Senate - approximate completion August 2022
Academic Programs	Higher Education Act: Institutional and Financial Assistance Information for Students	20 U.S.C. § 1092	Enrollment Management - Assistant Director of Financial Aid	Office of Financial Aid	Among other things, requires the following annual disclosures to enrolled and prospective students: f) diversity statistics; g) retention rates; h) employment placement data; and i) fire safety report. c) transfer of credit policies;	No deadline is mandated, but October 1 annually is suggested.
Academic Programs	Higher Education Act: Textbook Information	20 U.S.C. § 1015(b)	Provost	Academic Affairs	Requires disclosure of the course schedule along with the International Standard Book Number (ISBN) of every required and recommended textbook and supplemental material and retail price information to all prospective and enrolled students.	No deadline is mandated, but October 1 annually is suggested.

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Academic Programs	Higher Education Opportunity Act, Sections 152 and 153 Public Law No. 110-315		Enrollment Management - Assistant Director of Financial Aid	Office of Financial Aid	<p>Sections 152 and 153 require the following disclosures to enrolled students:</p> <p>c) transfer of credit policies; . . .</p> <p>f) diversity statistics;</p> <p>g) retention rates;</p> <p>h) employment placement data;</p> <p>i) fire safety report; . . .</p> <p>k) along with the course schedule, the International Standard Book Number (ISBN) of every required and recommended textbook and supplemental material and retail price info . . .</p> <p>Disclosures c) - k) must be available to prospective students as well.</p>	
Academic Programs	Higher Education Opportunity Act, Sections 488 and 497 Public Law No. 110-315		Enrollment Management - Assistant Director of Financial Aid	Office of Financial Aid	<p>Section 488: Requires each institution to disclose information about any plans to improve the academic program to current and prospective students on an annual basis.</p> <p>Section 497: Provides to institutions of higher education an adequate opportunity to review and respond to any program review report and relevant materials related to the report before any final program review report is issued.</p>	
Academic Programs	Section 504 of The Rehabilitation Act of 1973, 29 U.S.C. § 701	34 C.F.R. § 104 45 C.F.R. § 84	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	Prohibits discrimination on the basis of disability at any federally-funded institution. This covers admissions, recruitment, educational and/or academic programs and services	

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Academic Programs	Title IX of the Education Amendment of 1972, 20 U.S.C. §§ 1681-1688	DOJ: 28 C.F.R. §§ 42.201-42.215, 42.601-42.613 ED: 34 C.F.R. § 106 EEOC: 29 C.F.R. § 1604 HHS: 45 C.F.R. § 86	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	Prohibits discrimination on the basis of sex in education programs or activities receiving federal financial assistance including employment. Any grievance records relating to a Title IX violation or complaint must be retained for the period of time cited"&" in state law for personal injury actions.")	
Academic Programs	Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d-2000d-7	DOJ: 28 C.F.R. §§ 42.101-42.112 DOJ: 28 C.F.R. § 50.3 ED: 34 C.F.R. § 100 HHS: 45 C.F.R. § 80	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	Prohibits discrimination based on race, color, or national origin in educational and/or academic programs or activities receiving federal financial assistance.	
Academic Programs	Teacher Preparation Programs 20 U.S.C. §§ 1022 - 1022h	34 C.F.R. Part 612	Academic Affairs - School of Education (?)	Academic Affairs	An institution with a teacher preparation program must report, among other things: (1) whether it satisfied its annual goal for increasing the number of teachers in areas of shortage; (2) the steps the institution is taking to improve its performance on these goals; (3) program information, including admissions criteria and information related to supervised clinical experience; (4) pass rates, including the percentage of students who have finished all nonclinical coursework and passed the state teacher licensing exam, the average score for all students who took the state teacher licensing exam, and a comparison between the pass rates of the institution and the state; (7) a statement on the program's accreditation approval; (8) whether the program has been designated low-performing by the state; (9) a description of the activities undertaken to assist teachers with integrating technology into curricula and instruction; and (10) a description of the activities undertaken to prepare teachers to teach students with disabilities effectively. On an annual basis, the institution must report on the quality of teacher preparation and other information using the institutional report card prescribed by the Department of Education. The report card must also be posted on the institution's web site.	An institution must submit its report to the state by April 30. By October 31, states must submit their annual reports to the Department of Education.

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Accounting	Bankruptcy Abuse Prevention & Consumer Protection Act of 2005, Public Law No. 109-8 11 U.S.C. §§ 101-1532		VP for Admin & Finance - University Comptroller - Bursar	Office of Fiscal Affairs - Enrollment Management	Prohibits the discharge of most student loans in bankruptcy, when the loans were obtained from the government or non-profit higher educational institutions. There is an exception for undue hardship and for loans that became due more than seven years before the filing of the petition. An institution may be affected by the automatic stay (11 U.S.C. § 362(d)(1)), while the bankruptcy action is proceeding, and this prohibits the withholding of student transcripts to obtain payment. This action is also prohibited if the debt is actually discharged.	
Accounting	Clayton Antitrust Act of 1914, 15 U.S.C. §§ 12-27		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Enacted as a supplement to the Sherman Act. Prohibits price discrimination; conditioning sales on exclusive dealing; mergers and acquisitions when they may substantially reduce competition; and serving on the board of directors for two competing companies.	
Accounting	Fair Credit Reporting Act (FCRA), 15 U.S.C. §§ 1681-1681v	16 C.F.R. § 600	VP for Admin & Finance - University Controller - AVP for Human Resources	Office of Fiscal Affairs - Office of Human Resources	Requires employers to advise applicants if employment was denied based on a credit report. Employers, before obtaining a consumer report (including criminal background checks), must disclose in writing to the applicant or employee that it may obtain a consumer report for employment purposes, and secondly, secure the written consent of the applicant or employee. When using a third party consumer reporting agency to request motor vehicle record checks for employment purposes, notice must be given to the applicant or employee. Employers must certify to the consumer reporting agency that they will comply with the Act's disclosure requirements and that any information obtained will not be used in violation of any applicable federal or state equal employment opportunity law or regulation.	

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Accounting	Federal Insurance Contributions Act (FICA), 26 U.S.C. §§ 3101-3128	26 C.F.R. § 31 26 C.F.R. § 31.3121 26 C.F.R. § 31.3306	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	FICA defines which employers and employees are subject to taxation and levies the tax. Provides that service performed in the employ of a school, college, or university by a student who is enrolled and regularly attending classes at such school, college, or university is exempt from the FICA tax. An employer must pay social security taxes on employees but an exemption exists for most students also working for the university.	
Accounting	Federal Unemployment Tax Act, 26 U.S.C. §§ 3301-3311	26 C.F.R. § 31.6011(A)- 3	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Provides for payments of unemployment compensation to workers who have lost their jobs. If your FUTA tax is more than \$500 for the calendar year, you must deposit at least one quarterly payment. If not, alternate rules apply.	
Accounting	Higher Education Opportunity Act - Disclosure of Foreign Gifts, 20 U.S.C. § 1011f	34 C.F.R. § 668	VP for Admin and Finance - University Controller	Office of Fiscal Affairs	The University is required to submit a disclosure report for gifts and contracts of \$250,000 or more with a foreign source to the Department of Education.	By January 31st or July 31st of each year, whichever is sooner depending on the time of the gift, a postsecondary institution must file a disclosure report about ownership or control by, or contracts with or gifts from foreign sources. The institution shall file a disclosure report with the Department of Education for gifts and contracts of \$250,000 or more received within a calendar year.

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Accounting	Qualified Tuition and Student Loan Interest Reporting, 26 U.S.C. § 6050S	26 C.F.R. § 1.6050S-1 26 C.F.R. § 1.6050S-2 26 C.F.R. § 1.6050S-3 26 C.F.R. § 1.6050S-4	VP for Admin & Finance - University Controller - Bursar	Office of Fiscal Affairs - Enrollment Management	Institutions must report (1) qualified tuition and related expenses and (2) student loan interest to the IRS. Institutions must also provide payors with a statement that includes the tax information furnished to the IRS.	Institutions must complete Form 1098-T (qualified tuition payments) and Form 1098-E (student loan interest payments), both of which must be filed with the IRS on or before February 28th, or March 31st if filed electronically - Bursar. The required statement to all persons who made qualified tuition or student loan interest payments must be sent to the payor on or before January 31st of the year following the calendar year in which payments were received or amounts were billed for qualified tuition and related expenses, or in which the student loan interest payments were received. The statement may simply be a copy of Form 1098-T or Form 1098-E, respectively. Institutions must certify that they have met the regulatory requirements for soliciting student taxpayer identification numbers (TINs) at least once during the year.
Accounting	Regulation E: Electronic Fund Transfers, 15 U.S.C. § 1693b	12 C.F.R. §§ 205.1-205.20	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Establishes the basic rights, liabilities and responsibilities of consumers who use electronic fund transfer services and of financial institutions that offer these services.	
Accounting	Sherman Antitrust Act, 15 U.S.C. §§ 1-7		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	This law has been applied to colleges and universities in a number of instances regarding purchases. The Department of Justice interpreted this law to mean that financial aid awards must be established independently and not in concert with other institutions. May also apply to establishing prices for items in a bookstore based on collaboration with a wholesaler or another retailer. Section 568 - known as the antitrust exemption - allows colleges and universities to collaborate on a common formula for determining a student's financial need.	

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Accounting	Social Security Act, 42 U.S.C. §§ 301-1397mm	20 C.F.R. § 404.1028	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	An employer must pay social security taxes on employees but an exemption exists for most students also working for the university, and for clergy whose services are performed in the exercise of their ministry. To avoid penalty for reporting incorrect SSN on W-2 forms, transmit data file electronically to the Social Security Administration (SSA). Report all employees hired in the specific quarter listing name (as it appears in HR System), SSN, sex, and date of birth. After information is queried against SSA's database, mismatches are sent back for resolution.	
Accounting	Security and Exchange Commission Rule 15c2-12		VP for Admin & Finance	Office fo Fiscal Affairs	Requires bond issuers to provide periodic reports and event disclosures.	
Accounting	N.J.A.C. Title 9A:1-1.7 - Finances (Licensure)		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	New Jersey regulation sets forth annual requirements to be performed by higher education institutions to maintain New Jersey licensure.	Audited financial statements by 12/31 of each year
Accounting	University Policy VI-42 - Fixed Assets		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	University policy related to fixed assets owned/financed by the institution	Fixed assets are reviewed monthly as well as depreciated monthly.
Accounting	University Policy VI-57 - Debt Management Policy		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	University policy related to debt management to ensure financing transactions are of a prudent nature to finance capital projects.	
Accounting	University Policy VI-57.5; Procedure 6409 - Tax-Exempt Bond Compliance		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	University policies and procedure related to tax exempt bond compliance.	Each bond issue has its own unique reporting requirements. Understanding of the bond issuance documents is critical for these deadlines.
Accounting	University Procedure 6410 - Investment Procedure		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	University procedure related to investments and investment management provided for the institution.	Investment managers are required to provide monthly update reports to the University.

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Accounting	GASB standards		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	University must follow GASB standards as a public higher education institution. University elects to report as a business-type governmental entity, which requires accrual accounting, and has blended revenue streams from operating and non-operating sources, some of which are public dollars.	Must implement each unique standard by the standard's deadline
Accounting	Generally Accepted Accounting Principles		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Public colleges and universities are required to follow generally accepted accounting principles.	
Accreditation	Higher Education Opportunity Act: Institutional and Financial Assistance Information for Students Public Law No. 110-315 20 U.S.C. § 1092(a)(1)(J)	34 C.F.R. § 668.43	Provost	Academic Affairs	Each school must make available to prospective and enrolled students: Names of associations, agencies, or governmental bodies that accredit, approve, or license the school and its programs; and Procedures for obtaining or reviewing documents describing accreditation, approval, or licensing.	

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Accreditation	Higher Education Act: Recognition of Accrediting Agency or Association 20 U.S.C. § 1099b(a)(4)(A)	34 C.F.R. §§ 602.10-602.13.	Provost	Academic Affairs	The association enforces standards that respect the stated mission of the institution of higher education, including religious missions, and that ensure that the courses or programs of instruction, training, or study offered by the institution of higher education, including distance education or correspondence courses or programs, are of sufficient quality to achieve, for the duration of the accreditation period, the stated objective for which the courses or the programs are offered.	
Accreditation	Middle States Commission on Higher Education			Academic Affairs		
Accreditation	National Association of Schools of Art and Design		ARHU	Academic Affairs	Academic Program: Visual Arts Degree: BA/BFA	Last accreditation visit: October, 2021 Next accreditation visit: 2026-27
Accreditation	Association to Advance Collegiate Schools of Business		BUSN	Academic Affairs	Academic Program: Business Degree: U/G	Last accreditation visit: March, 2021 Mid-accreditation Report Due: December, 2021 Next accreditation visit: 2025
Accreditation	Council for Accreditation of Educator Preparation		EDUC	Academic Affairs	Academic Program: Teacher Education Degree: U/G	Last accreditation visit: 2019-20 Next accreditation visit: 2026-27
Accreditation	Council for Accreditation of Educator Preparation		EDUC	Academic Affairs	Academic Program: MA in Education Degree MAED	Last accreditation visit: 2019-20 Next accreditation visit: 2026-27
Accreditation	Commission on Collegiate Nursing Education (CCNE)		HLTH	Academic Affairs	Academic Program: Nursing Degree: BSN	Last accreditation visit: 2016-17 Mid-accreditation report due: June 1, 2022 Next accreditation visit: Fall, 2024
Accreditation	Commission on Collegiate Nursing Education (CCNE)		HLTH	Academic Affairs	Academic Program: Nursing Degree: MSN/MSN-PMC	Last accreditation visit: 2016-17 Mid-accreditation report due: June 1, 2022 Next accreditation visit: Fall, 2024
Accreditation	Commission on Collegiate Nursing Education (CCNE)		HLTH	Academic Affairs	Academic Program: Nursing Degree: DNP	Last accreditation visit: 2019-20 Next accreditation visit: Fall, 2024

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Accreditation	New Jersey Board of Nursing (NJBoN)		HLTH	Academic Affairs	Academic Program: Nursing Degree: BSN	Last accreditation visit: 2014-15 Next accreditation visit: Fall, 2022
Accreditation	New Jersey Board of Nursing (NJBoN)		HLTH	Academic Affairs	Academic Program: Nursing Degree: MSN/MSN-PMC	Last accreditation visit: 2014-15 Next accreditation visit: Fall, 2022
Accreditation	New Jersey Board of Nursing (NJBoN)		HLTH	Academic Affairs	Academic Program: Nursing Degree: DNP	Next accreditation visit: Fall, 2022
Accreditation	Accreditation Council for Occupational Therapy Education of the American Occupational Therapy Association (ACOTE)		HLTH	Academic Affairs	Academic Program: Occupational Therapy Degree: MSOT	Last accreditation visit: 2016-17 Next accreditation visit: 2025-26
Accreditation	Commission on Accreditation in Physical Therapy Education (CAPTE)		HLTH	Academic Affairs	Academic Program: Physical Therapy Degree: DPT	Last accreditation visit: 2021-22
Accreditation	Council on Academic Accreditation in Audiology and Speech-Language Pathology (CAA)		HLTH	Academic Affairs	Academic Program: Communication Disorders Degree: MSCD	Last accreditation visit: 2021-22
Accreditation	Council on Education for Public Health (CEPH)		HLTH	Academic Affairs	Academic Program: Public Health Degree: BSPH	Accreditation lasts for 7 years after initial accreditation
Accreditation	Council on Education for Public Health (CEPH)		HLTH	Academic Affairs	Academic Program: Public Health Degree: MPH	Accreditation lasts for 7 years after initial accreditation
Accreditation	Commission on Accreditation for Respiratory Care - (CoARC)		HLTH	Academic Affairs	Academic Program: Respiratory Therapy Degree: BSRT	Accreditation lasts for 10 years after initial accreditation
Accreditation	Commission on the Accreditation of Allied Health Education Programs (CAAHEP) through the Committee on the Accreditation for the Exercise Sciences (CoAES)		HLTH	Academic Affairs	Academic Program: Exercise Science Degree: BSES	Accreditation lasts for 10 years after initial accreditation; Kelly plans and starting
Accreditation	American Society for Biochemistry and Molecular Biology		NAMS	Academic Affairs	Academic Program: Biochemistry and Molecular Biology Degree: BS	Last accreditation visit: 2018-19
Accreditation	American Chemistry Society		NAMS	Academic Affairs	Academic Program: Chemistry Degree: BS	Last accreditation visit: 2016-17
Accreditation	Council on Social Work Education		SOBL	Academic Affairs	Academic Program: Social Work Degree: BSW	Last accreditation visit: 2017-18 Next accreditation visit: 2024-25

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Accreditation	Council on Social Work Education		SOBL	Academic Affairs	Academic Program: Social Work Degree: MSW	Last accreditation visit: 2016-17 Mid-accreditation report due: September 1, 2024 Next accreditation visit: 2024-25
Accreditation	Council for Accreditation of Counseling and Related Educational Programs (CACREP)		SOBL	Academic Affairs	Academic Program: Counseling Degree: MA	Anticipated 2022
Admissions	Age Discrimination Act of 1975, 42 U.S.C. §§ 6101-6107	ED: 34 C.F.R. § 110 HHS: 45 C.F.R. § 90 NSF: 45 C.F.R. § 617	Chief Enrollment Management Officer	Enrollment Management	Prohibits discrimination based on age in the admission of educational and/or academic programs or activities that receive federal financial assistance. Prohibits retaliation for filing a complaint with OCR or for advocating for a right protected by the Act.	
Admissions	Higher Education Opportunity Act, Public Law No. 110-315 20 U.S.C. § 1092		Chief Enrollment Management Officer	Enrollment Management	Section 488 requires institutions to provide each student, upon enrollment, with a "separate, clear, and conspicuous written notice" that provides information on the penalties associated with drug-related offenses.	
Admissions	Higher Education Act: Readmission Requirements for Servicemembers Public Law No. 110-315 20 U.S.C. § 1092		Chief Enrollment Management Officer	Enrollment Management	Section 484C requires that the University readmit students who left in order to join the military. The student must be readmitted in the same academic status. Generally, the length of absence cannot be greater than five (5) years. Exceptions to this law include those veterans receiving a dishonorable discharge, or bad conduct charge, or those who were court marshaled.	
Admissions	Section 504 of The Rehabilitation Act of 1973 29 U.S.C. § 701	34 C.F.R. § 104.42	Chief Enrollment Management Officer Director of Title IX & EEO	Enrollment Management Equal Opportunity and Institutional Compliance	Prohibits discrimination on the basis of disability at any federally-funded institution. This covers admissions, recruitment, educational and/or academic programs and services, housing and non-academic programs and services such as counseling, placement, physical education and athletics, student clubs and organizations. This list is not exhaustive.	

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Admissions	Title IX of the Education Amendment of 1972, 20 U.S.C. §§ 1681-1688	ED: 34 C.F.R. § 106 EEOC: 29 C.F.R. § 1604 HHS: 45 C.F.R. § 86	Chief Enrollment Management Officer Director of Title IX & EEO	Enrollment Management Equal Opportunity and Institutional Compliance	Prohibits discrimination on the basis of sex in the admission of education programs or activities receiving federal financial assistance including employment. Under the Title IX common rule, a recipient may not discriminate against any person on the basis of sex in the counseling or guidance of students or applicants for admission. Specifically, in appraising or counseling students, a recipient must not use different testing or other materials on the basis of sex or use materials that permit or require different treatment of students on the basis of sex. Such different materials may be used, however, where they cover the same occupational interest areas and their use is shown to be essential to eliminate sex bias. Any grievance records relating to a Title IX violation or complaint must be retained for the period of time cited in state law for personal injury actions.	
Admissions	Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d-2000d-7	DOJ: 28 C.F.R. §§ 42.101-42.112 DOJ: 28 C.F.R. § 50.3 ED: 34 C.F.R. § 100 HHS: 45 C.F.R. § 80	Chief Enrollment Management Officer Director of Title IX & EEO	Enrollment Management Equal Opportunity and Institutional Compliance	Prohibits discrimination based on race, color, or national origin in the admission of educational and/or academic programs or activities receiving federal financial assistance.	
Athletics	Equity in Athletics Disclosure Act, 20 U.S.C. § 1092(g)	34 C.F.R. § 668.41 34 C.F.R. § 668.47	Student Affairs - Interim Athletic Director	Athletics	The Equity in Athletics Disclosure Act requires co-educational institutions of postsecondary education that participate in a Title IV federal student financial assistance program and have an intercollegiate athletic program, to prepare an annual report to the Department of Education on athletic participation, staffing, and revenues and expenses, by men's and women's teams.	Each coed institution of higher education that participates in Title IV programs, and has an intercollegiate athletic program, must no later than October 15th of each year, make available on request to enrolled students, prospective students, and the public, the report required to be produced under this law. Within 15 days of making the report available to students, prospective students, and the public, (i.e., no later than October 30th of each year) the school must submit the report to the Secretary of Education.

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Athletics	Section 504 of The Rehabilitation Act of 1973 29 U.S.C. § 701		Student Affairs - Interim Athletic Director	Athletics	Prohibits discrimination on the basis of disability at any federally-funded institution. This covers admissions, recruitment, educational and/or academic programs and services, housing and non-academic programs and services such as counseling, placement, physical education and athletics, student clubs and organizations. This list is not exhaustive.	
Athletics	Title IX 20 U.S.C. §§ 1681-1688	ED: 34 C.F.R. § 106 EEOC: 29 C.F.R. § 1604	Student Affairs - Interim Athletic Director	Athletics	Requires that no person shall on the basis of sex, be excluded from participation in, be denied the benefits of, be treated differently from another person, or otherwise be discriminated against in any interscholastic, intercollegiate, club or intramural athletics offered by a recipient, and no recipient shall provide such athletics separately on such basis. NCAA provides periodic literature and training with regards Title IX for employees.	
Athletics	Sports Sponsorship and Demographic Report		Student Affairs - Interim Athletic Director	Athletics	Each NCAA institution must complete an annual Sports Sponsorship and Demographic Report	Eligibility for postseason events (i.e., championships) as well as revenue distribution will be compromised, and penalty fees may apply if you fail to submit the required information by the prescribed due date.
Athletics	Coaches Rules Test		Student Affairs - Interim Athletic Director	Athletics	The NCAA Division III Rules Test is required annually for all coaches and athletics administrators with compliance responsibilities	Per NCAA Bylaw 11.8, failure to administer the NCAA Division III Rules Test on an annual basis shall be considered an institutional violation
Athletics	Student-Athlete Statement/Drug Testing Consent		Student Affairs - Interim Athletic Director	Athletics	Each student-athlete must complete a series of NCAA-generated documents including a Student-Athlete Statement and a Drug Testing Consent form.	Failure to complete and sign the documents shall result in the student-athlete's ineligibility for participation in all intercollegiate competition.
Athletics	Student-Athlete Affirmation of Eligibility		Student Affairs - Interim Athletic Director	Athletics	A Student-Athlete Affirmation of Eligibility form, provided by the NCAA, must be completed for each varsity program. The document is signed by the respective Head Coach and Director of Athletics.	Failure to complete form would result in an institutional violation for the NCAA.

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Athletics	Attestation of Compliance		Student Affairs - Interim Athletic Director	Athletics	<p>Each NCAA institution's President/Chancellor and Athletic Director must sign an annual NCAA Attestation of Compliance. Chancellors and presidents will attest that they understand the institutional obligations and personal responsibilities imposed by NCAA Constitution 2.1 (principle of institutional control and responsibility) and Constitution 2.8 (principle of rules compliance). Directors of athletics will attest that the conditions for entry of individuals and teams in NCAA championship competition have been satisfied. The attestation will include that they understand the institutional obligations and personal responsibilities imposed by Constitution 2.1 and Constitution 2.8 and that all athletics department staff members (full time, part time, clerical, volunteer) are aware of the institutional obligations and personal responsibilities imposed by Constitution 2.1 and Constitution 2.8. Additionally, athletics directors will attest that the policies, procedures and practices of the institution, its staff members and representatives of athletics interests are in compliance with the Association's legislation.</p>	<p>Failure to complete form would result in an institutional violation for the NCAA. Failure to complete the attestation will subject the institution to removal from and/or ineligibility of individuals to serve on an NCAA board, council or committee. The institution also will be ineligible to compete in individual and team NCAA championships.</p>

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Athletics	Campus Sexual Violence Annual Attestation		Student Affairs - Interim Athletic Director	Athletics	<p>Requires schools to focus on sexual violence prevention each year by having each university chancellor/president, director of athletics and Title IX coordinator* annually attest that:</p> <ol style="list-style-type: none"> 1.The athletics department is fully knowledgeable about, integrated in, and compliant with institutional policies and processes regarding sexual violence prevention and proper adjudication and resolution of acts of sexual violence. 2.The institutional policies and processes regarding sexual violence prevention and adjudication, and the name and contact information for the campus Title IX coordinator*, are readily available within the department of athletics, and are provided to student-athletes. 3.All student-athletes, coaches and staff have been educated on sexual violence prevention, intervention and response, to the extent allowable by state law and collective bargaining agreements. 	A list of schools that have and have not attested to the requirements of the policy will be presented in a report to the Board of Governors at their August meeting each year.

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Athletics	Regional Rules Seminar		Student Affairs - Interim Athletic Director	Athletics	At least once every three years, an active member institution must be represented by at least one institutional staff member at the NCAA Regional Rules Seminar.	<p>3.2.4.16.2 Failure to Meet Any Portion of Convention or Regional Rules Seminar Attendance Requirement.</p> <p>3.2.4.16.2.1 Penalty Period. A penalty period of not less than three academic years shall apply to an institution that fails to meet any portion of the Convention or Regional Rules Seminar attendance requirement subject to the conditions set forth in this bylaw. The penalty period begins once a first failure occurs.</p> <p>3.2.4.16.2.1.1 First Failure. An institution shall be placed on membership probation for the length of the penalty period beginning with the next academic year after a first failure of this requirement is discovered. During the first year of the penalty period, the institution shall be subject to the probationary year conditions in Constitution 3.02.3.1.2.1.</p> <p>3.2.4.16.2.1.2 Second Failure. An institution shall be placed in restricted membership in accordance with Constitution 3.02.3.1.2.2 for one academic year beginning with the next academic year after a second failure is discovered during the penalty period. Failure to meet any of the following requirements shall be considered a second failure: (a) Any portion of the NCAA Convention and Regional Rules Seminar attendance; (b) Sports sponsorship requirement; or (c) Conditions of membership probation (see Constitution 3.02.3.1.2.1).</p> <p>3.2.4.16.2.1.3 Third Failure. An institution shall forfeit immediately its membership in the Association after a third failure is discovered during</p>

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Athletics	Financial Aid Reporting Program		Student Affairs - Interim Athletic Director	Athletics	To meet NCAA requirements, a data file containing the required information is submitted electronically to the NCAA for a systematic review. The final submission file contains final financial aid package data on all full-time, first-time students entering the institution in the academic year requested. A student-athlete is an individual listed on the institution's official roster on or after the first scheduled contest or date of competition in the NCAA championship segment.	First Failure. An institution is placed on probation for a three-year period Second Failure. An institution in violation during the probationary period has "restricted status" for one year, Third Failure. An institution in violation again during the probationary period is dismissed from Division III and the NCAA.
Athletics	Institutional Self-Study Guide		Student Affairs - Interim Athletic Director	Athletics	NCAA Constitution 6.3.1 (self-study report) requires each member institution to conduct a self-study at least once every five years.	First Failure. An institution is placed on probation for a three-year period Second Failure. An institution in violation during the probationary period has "restricted status" for one year, Third Failure. An institution in violation again during the probationary period is dismissed from Division III and the NCAA.
Athletics	NJ Athletic Training Licensure Act	N.J.A.C. 13:35-10.1	Student Affairs - Interim Athletic Director	Athletics	Provides NJ guidelines athletic trainers must follow to practice.	Bi-Annual License renewal. Continuing education 24 units every 2 years.
Athletics	NJ Athletic Training Licensure Act	N.J.A.C. 13:35-10.1	Student Affairs - Interim Athletic Director	Athletics	Oversight from a physician	Plan of Care Guidelines with physician. Reviewed updated annually.
Athletics	NJ Youth Camp COVID Standards	https://www.state.nj.us/health/legal/covid19/YouthSummerCampGuidance042821.pdf	Student Affairs - Interim Athletic Director	Athletics	COVID related standards and guidelines that should be met for youth athletic camps.	State license requirement for each camp. Annual application, (may change)
Athletics	NJ Youth Camp Safety Standards	https://www.nj.gov/health/ceohs/documents/phss/youth_camp.pdf	Student Affairs - Interim Athletic Director	Athletics	Overall minimum standards for the operation of youth camps.	State license requirement for sports camps. Annual application.

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Athletics	NJ Youth Athletic COVID Guidelines	https://nj.gov/health/cd/documents/topics/NOV/COVID_GuidanceForSportsActivities.pdf	Student Affairs - Interim Athletic Director	Athletics	COVID guidelines for youth sport tournaments hosted by Stockton Athletics	COVID outline prepared before each event. Reviewed and updated in-house only prior to each event.
Athletics	NCAA - Bylaw 17.1.6.4.1 and 17.1.6.4.1.1, Sickle Cell Trait		Student Affairs - Interim Athletic Director	Athletics	Sickle Cell testing/proof of all athletes before participation. Education if tested positive.	Once during student's athletic career. Once prior to participation w/ Annual follow-up/update.
Athletics	Independent Medical Care for College Student-Athletes	https://ncaaorg.s3.amazonaws.com/ssi/publications/SSI_IndependentMedicalCareBP.pdf	Student Affairs - Interim Athletic Director	Athletics	Ensure the unchallengeable, autonomous authority of primary athletics healthcare providers to determine medical management and return-to-play decisions.	Review of University athletic medical protocols. At least annually.
Athletics	NCAA - Bylaw 3.2.4.8, Insurance Coverage		Student Affairs - Interim Athletic Director	Athletics	Proof of Insurance Coverage for Student-Athletes.	Certification of insurance coverage. Must be signed by University President. Annual in August before practices begin
Athletics	National Athletic Trainer's Association 42 U.S.C. §§ 11001 - 11050	40 C.F.R. § 370	Student Affairs - Interim Athletic Director	Athletics	National CEU requirement to maintain certification. · Requires facilities to notify the SERC and LEPC of the presence and/or release of any extremely hazardous substance. · All information submitted pursuant to EPCRA regulations is publicly accessible, unless protected by a trade secret claim.	25 contact hours of CEU's/ Year Hazardous chemical training must be conducted annually. Facilities must report the storage, use, and release of certain hazardous chemicals bi-annually.
Athletics			Student Affairs - Interim Athletic Director	Athletics		

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Auxiliary Services	Higher Education Opportunity Act, 20 U.S.C. § 1015b Public Law No. 110-315	34 C.F.R. § 668	Registrar VP for Admin & Finance	Office of the Registrar Admin & Finance	<p>Section 112: Each school must disclose on the school's internet course schedule used for preregistration and registration purposes, the ISBN and retail price of required and recommended textbooks and supplemental materials for each course listed. If no ISBN is available, the institution may provide the textbook's author, title, publisher, and copyright date. If the disclosure is not practical for a certain text, a designation of *to be determined* can be noted. Written course schedules should indicate where on the university web page this information will be posted.</p> <p>The bookstore operated by or affiliated with the school, the school must make available as soon as practicable the most accurate information regarding the schools course schedule, information for recurred and recommended textbooks and supplemental materials and number of students enrolled in each course or class and maximum student enrollment for each course or class.</p> <p>HEOA encourages schools to disseminate information regarding book rentals, used textbooks, buyback programs, and alternative delivery programs or other cost saving strategies. Schools shall make available to the college bookstore, upon request, the most accurate information regarding the course schedule for the next academic period and for each course offered, the information described above, the number of students enrolled in such course, and the maximum enrollment for each class.</p>	

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Budget and Financial Planning	Monthly FICA Payment Recovery	https://www.nj.gov/treasury/omb/pdf/stategrant/higheredservices.pdf ; https://www.nj.gov/infobank/circular/cir22-03-omb.pdf	VP for Admin & Finance - Executive Director of Budget, Fin. Plan & Campus Services	Office of Budget, Financial Planning & Campus Services	<p>"1. As established in the New Jersey Grant Compliance Supplement, the State provides reimbursement ("FICA Payment Recovery") to the senior public colleges and universities for payment of the employer's share of FICA (Social Security and Medicare) for public employees at these institutions whose positions are authorized as state-funded by the annual Appropriations Act. The State will not provide FICA Payment Recovery for any additional employees, regardless of the source of funding for those employees.</p> <p>2. Requests for FICA Payment Recovery must be submitted monthly to the State using form NJOMB-FICA . This form will be provided in electronic format (MS Excel file) to the senior public institutions. The form is to be completed electronically – certain fields calculate automatically and may not be altered by the institutions. The completed form should be printed, signed by an appropriate certifying official of the requesting institution, and submitted per the instructions below. (If submitting by email, the originator of the email will be considered to have certified the NJOMB-FICA).</p> <p>3. FICA and Medicare rates are established by the federal government, and are incorporated into the NJOMB-FICA spreadsheet. These rates, and the current federal limit on regular FICA salary, may be found in the annual OMB Circular Letter "Employee Benefit" Reimbursement Rates.</p> <p>4. FICA reimbursement requests and fringe payments should be treated as separate transactions. FICA recoveries are not permitted as an offset to the Fringe remission amount due to the State.</p> <p>5. Requests must include documentation of actual FICA deposits reported to the IRS for the payment period for which recovery is requested. If the institution has deferred employer FICA payments to the federal</p>	Due by the 30th of each month for the preceding month.

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Budget and Financial Planning	Quarterly Remission of Fringe Benefits Costs	https://www.nj.gov/treasury/omb/pdf/stategrant/higheredservices.pdf ; https://www.nj.gov/infobank/circular/cir22-03-omb.pdf	VP for Admin & Finance - Executive Director of Budget, Fin. Plan & Campus Services	Office of Budget, Financial Planning & Campus Services	<p>1. As established in the New Jersey Grant Compliance Supplement, non-FICA fringe benefits for all employees of the senior public institutions are initially paid by State funds. The senior public colleges and universities must reimburse the State, on a quarterly basis, for fringe benefit payments made on behalf of employees beyond the number authorized in the annual Appropriations Act, whether these employees' salaries are funded from State or non-State sources. The FY22 fringe rates listed on the form are projected and are pending final approval from the federal government. The use of projected rates should reduce the amount of retroactive adjustments needed for the first and second quarter payments.</p> <p>2. Institutions must submit their quarterly calculation of fringe benefits reimbursements, along with payment of any reimbursement due to the State, using form OMB-FRIDGE (copy attached). This form will be provided in electronic format (MS Excel file) to the senior public institutions. The form is to be completed electronically – certain fields calculate automatically, and may not be altered by the institutions. The completed form should be printed, signed by an appropriate certifying official of the requesting institution, and submitted per the instructions below.</p> <p>3. Quarterly submissions must include copies of IRS Form 941, as filed by the institution for the reporting quarter, and all NJOMB-FICA forms submitted to the State for the reporting quarter. FICA recovery requests and fringe remissions should be treated as separate transactions. FICA recoveries are not permitted as an offset to the Fringe remission amount due to the State.</p> <p>4. Institutions must retain backup documentation supporting the FTE and Salary/Wage Data provided on</p>	Quarterly remissions are to be submitted not later than the 30th of the month following the end of each quarter: [e.g., 1st quarter (July to September) submit by October; 2nd quarter (October to December) submit by January; 3rd quarter (January to March) submit by April; and 4th quarter (April to June) submit by July.]

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Budget and Financial Planning	Annual State Budget Request	S2022, P.L.2021, c.133	VP for Admin & Finance - Executive Director of Budget, Fin. Plan & Campus Services	Office of Budget, Financial Planning & Campus Services	<p>1. The annual State Budget Request is submitted each fall following instructions provided by the NJ Office of Management and Budget (OMB). The State provides a target number for the request year, to which the University adds new initiatives.</p> <p>2. The 2023 Senior Public Budget Forms file contains the TUIT, FEES, BB-103, and BB-102 forms. The 2023 Salary file contains the SALCALC and BB-108 forms. Both files contain a worksheet with the number of State-funded positions, as specified in the fiscal 2022 Appropriations Act, P.L.2021, c.133, which was approved June 29, 2021. Requests for all priority funding above the FY23 Preliminary Budget Framework amount are submitted on the FY 2023 Budget Initiative Form (BIF).</p>	Due annually in November
Campus Safety	Americans with Disabilities Act, 42 U.S.C. § 12101-12213	DOJ: 28 C.F.R.A59 36	Facilities & Operations - Director of Campus Public Safety	Campus Public Safety	Although the Americans with Disabilities Act (ADA) does not require employers to have emergency evacuation plans, if organizations covered by the ADA opt to have such plans they are required to include people with disabilities.	
Campus Safety	Campus Sex Crimes Prevention Act (§ 1601 of the Victims of Trafficking and Violence Protection Act of 2000), Public Law No. 106-386 (Title VI)	34 C.F.R. § 668	Facilities & Operations - Director of Campus Public Safety	Campus Public Safety	The Campus Sex Crimes Prevention Act requires sex offenders who are required to register under state law to provide notice of enrollment or employment at any institution of higher education (IHE) in that state where the offender resides, as well as notice of each change of enrollment or employment status at the IHE. In turn, this information will be made available by the state authorities to the local law enforcement agency that has jurisdiction where the IHE is located.	<p>The University must issue a statement advising the campus community on where information concerning registered sex offenders can be obtained. Notification may be accomplished by adding the statement to the Annual Security Report required by the Campus Security Act.</p> <p>The University provides this information with the annual security and fire safety report.</p>

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Campus Safety	Drug Free Schools and Communities Act, 20 U.S.C. § 1011i	34 C.F.R. § 86	Facilities & Operations - Director of Campus Public Safety	Campus Public Safety	Requires distribution of the college or university's drug and alcohol prevention and policy information every year and biennial review of drug and alcohol prevention program.	<p>Annual distribution to students and employees of the University's standards of conduct with respect to illegal drugs and alcohol; a description of the applicable legal sanctions and health risks; and availability of drug and alcohol counseling available to employees and students.</p> <p>Must also include a statement on sanctions the University will impose for violation of the standards of conduct.</p> <p>The law does not mandate a particular date for distribution, but suggested distribution is to make this information part of the Annual Security Report distribution which is required by October 1st of each year.</p>
Campus Safety	<p>Higher Education Opportunity Act: Drug and Alcohol Abuse Prevention</p> <p>Public Law No. 110-315 20 U.S.C. § 1011i</p>		Facilities & Operations - Director of Campus Public Safety	Campus Public Safety	Requires an institution of higher education, in its biennial review, to determine the number of drug and alcohol-related violations and fatalities that have occurred on the institution's campus or as part of the institution's activities and that are reported to campus officials.	Completed in the institution's biennial review.

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Campus Safety	<p>Higher Education Opportunity Act: Institutional and Financial Assistance Information for Students: Disclosure of Fire Safety Standards and Measures</p> <p>20 U.S.C. § 1092(j)</p>		<p>Facilities & Operations - Director of Campus Public Safety - Residential Life</p>	<p>Campus Public Safety</p>	<p>Requires institutions to report and make public an annual fire safety report and requires the Secretary to make policies public, including the installation of fire detection and prevention technologies in student housing, dormitories, and other buildings.</p> <p>Institutions must publicize those procedures on an annual basis in a manner designed to reach students and staff and must test annually emergency response and the institution's procedures and document the testing.</p>	<p>Emergency Response Policies and Procedures Annually publish a campus Fire Safety Report that provides statistics on a dorm-by-dorm basis showing the number of fires, deaths, injuries, fire drills, property damage, type of fire detection systems, etc.</p> <p>Disclosure of Fire Safety Standards and Measures The statistics set forth in 20 U.S.C. § 1092(i)(1)(a) must be reported to the Secretary of Education on an annual basis:</p> <ul style="list-style-type: none"> (i) the number of fires and the cause of each fire; (ii) the number of injuries related to a fire that result in treatment at a medical facility; (iii) the number of deaths related to a fire; and (iv) the value of property damage caused by a fire.
Campus Safety	<p>Higher Education Opportunity Act: Institutional and Financial Assistance Information for Students: Missing Person Procedures</p> <p>20 U.S.C. § 1092(j)</p>		<p>Facilities & Operations - Director of Campus Public Safety</p>	<p>Campus Public Safety</p>	<p>Any institution participating in a Title IV federal student financial aid program that maintains on campus housing facilities must establish a missing student notification policy and related procedures for those students who live in on campus housing and who have been missing for 24 hours.")</p> <p>Requires institutions to implement procedures for managing reports of missing persons and notify on-campus residing students to that the institution is required to notify: 1) the student's designated emergency contact; or 2) in the case of an unemancipated minor, a parent or guardian within 24 hours after the time that the student is deemed to be missing.</p>	<p>An institution that provides any on-campus student housing facility must include in its Annual Security Report a statement of policy regarding missing student notification procedures for students who reside in on-campus student housing facilities.</p> <p>By October 1 of each year, an institution must distribute its Annual Security Report to all enrolled students and current employees.</p>

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Campus Safety	<p>Higher Education Opportunity Act: Program Participation Agreements</p> <p>Public Law No. 110-315 20 U.S.C. § 1092</p>		Facilities & Operations - Director of Campus Public Safety	Campus Public Safety	Section 493: When requested, institutions must disclose to the alleged victim of any violent crime or non-forcible sex offense the final results of any institutional disciplinary proceeding conducted against the alleged perpetrator of such crime or offense. The alleged victim's next of kin must be informed, if the alleged victim dies as a result of the crime.	
Campus Safety	<p>Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) and Violence Against Women Act</p> <p>20 U.S.C. § 1092(f)</p>	<p>34 C.F.R. § 668.41(e) 34 C.F.R. § 668.46</p>	Facilities & Operations - Director of Campus Public Safety	Campus Public Safety	<p>Any institution that participates in federal financial aid programs must collect information with respect to campus crime statistics and campus security policies of the institution. The institution must maintain a publicly-available crime log and annually distribute to current students, employees, and (upon request) prospective students or employees, an Annual Security Report containing various statements of institutional policies, descriptions of programs, and campus crime statistics.</p> <p>The Annual Security Report must include, among other things, a statement of policy regarding: 1) the institution's programs to prevent domestic violence, dating violence, sexual assault, and stalking; and 2) the procedures the institution will follow once an incident of domestic violence, dating violence, sexual assault, or stalking has been reported, including a statement of the standard of evidence that will be used during any institutional conduct proceeding arising from such report."</p>	By October 1 of each year, the University must distribute its Annual Security Report to all enrolled students and current employees.

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Campus Services	Higher Education Opportunity Act 20 U.S.C. § 1015b	34 C.F.R. §668	VP for Admin & Finance - Executive Director of Budget, Fin. Plan & Campus Services	Office of Budget, Financial Planning & Campus Services	<p>Section 112: Each school must disclose on the school's internet course schedule used for preregistration and registration purposes, the ISBN and retail price of required and recommended textbooks and supplemental materials for each course listed. If no ISBN is available, the institution may provide the textbook's author, title, publisher, and copyright date. If the disclosure is not practical for a certain text, a designation of *to be determined* can be noted. Written course schedules should indicate where on the University webpage this information will be posted.</p> <p>The bookstore operated by or affiliated with the school, the school must make available as soon as practicable the most accurate information regarding the schools course schedule, information for recurred and recommended textbooks and supplemental materials and number of students enrolled in each course or class and maximum student enrollment for each course or class.</p> <p>HEOA encourages schools to disseminate information regarding book rentals, used textbooks, buyback programs, and alternative delivery programs or other cost saving strategies. Schools shall make available to the college bookstore, upon request, the most accurate information regarding the course schedule for the next academic period and for each course offered, the information described above, the number of students enrolled in such course, and the maximum enrollment for each class.</p>	

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Campus Services	University Procedure 6640- Mail Services		VP for Admin & Finance - Executive Director of Budget, Fin. Plan & Campus Servcies	Office of Budget, Financial Planning & Campus Services	Sets forth the procedures related to University and U.S. mail services.	
Contracts & Procurement	Anti-Kickback Act of 1986, 41 U.S.C. §§ 8701-8707	48 C.F.R. § 3.502-2	VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Prohibits any payment or gratuity made for the purpose of inducing award of a subcontract or prime contract with the federal government.	
Contracts & Procurement	Byrd Amendment 31 U.S.C. § 1352		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Prohibits grantees from lobbying with federal funds. Requires disclosure of lobbying activities when receiving federal contracts, grants, loans or cooperative agreements.	Requires certification and disclosure with each submission for consideration of a federal contract, grant or cooperative agreement exceeding \$100,000 or an award of a federal loan or commitment providing for the U.S. to insure or guarantee a loan exceeding \$150,000. Federal contractors, grantees and those receiving federal loans and cooperative agreements must also report lobbying expenditures from non-federal sources to obtain such federal program monies or contracts.
Contracts & Procurement	Copeland Anti-Kickback Act, 18 U.S.C. § 874 40 U.S.C. § 3145	29 C.F.R. § 3	VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Requires contractors and subcontractors on public buildings or works financed by loans or grants from the U.S. to furnish a weekly statement of wages paid.	Requires contractors and subcontractors on public buildings or works financed by loans or grants from the U.S. to furnish a weekly statement of wages paid.

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Contracts & Procurement	Davis-Bacon Act, 40 U.S.C. §§ 3141- 3144, 3146, 3147	29 C.F.R. part 5	VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	All laborers and mechanics employed by contractors or subcontractors to work on construction contracts in excess of \$2,000 financed by federal assistance funds must be paid wages not less than those established for the locality of the project (prevailing wage rates) by the Department of Labor. In construction contracts subject to the Davis-Bacon Act, institutions must include a provision requiring that the contractor or subcontractor comply with the requirements of the Act and applicable regulations.	
Contracts & Procurement	E-Verify Executive Order 13465-Amending Executive Order 12989		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	For federal contracts of more than \$100,000 and subcontracts greater than \$3,000, the University must utilize the E-Verify electronic system to confirm the employees working on those contracts/subcontracts are lawfully eligible to work in the U.S.	
Contracts & Procurement	Higher Education Act: Foreign Gift and Contract Reports, 20 U.S.C. § 1011f		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Whenever an institution is owned or controlled by a foreign source, or receives gifts from or enter into contracts with a foreign source totaling more than \$250,000 within a calendar year, the institution shall file a disclosure report with the Secretary of Education on January 31 or July 31, whichever is sooner.	January 31 or July 31 (if applicable)
Contracts & Procurement	Trade Sanctions Reform and Export Enhancement, 22 U.S.C. §§ 7201-7211	31 C.F.R. §§ 500-599	VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Assets Control Regulations of the U.S. Department of Treasury require persons subject to U.S. jurisdiction to have a license to engage in certain transactions related to travel to, from and within regulated countries.	
Contracts & Procurement	Non-Retaliation for Disclosure of Compensation Information, Executive Order 13665	41 C.F.R. § 60	VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Federal contractors and subcontractors may not fire or otherwise discriminate against any employee or applicant for discussing, disclosing, or inquiring about his or her compensation or that of another employee or applicant. The rule applies to all federal government contractors with contracts entered into or modified on or after January 11, 2016.	

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Contracts & Procurement	NJ State College Contracts Law (N.J.S.A. 18A:64-52 et seq.)		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	<p>Sets forth procurement requirements for State colleges and universities, including but not limited to:</p> <ul style="list-style-type: none"> - Establishment of a bid threshold - Public bidding requirement for purchases exceeding bid threshold - Exceptions to public bidding requirement - Emergency purchases - Use of Joint Purchasing Agreements, Cooperatives, and Cooperative Pricing Systems - Advertising requirements - Requirements for construction bids/contracts - Time limit for award of contract - Requirement to obtain quotes and establishment of quote threshold - Requirements for design-build contracts - Sale of surplus property - Limitations on term of contracts - Public/private partnerships 	
Contracts & Procurement	Nationally-recognized cooperatives; N.J.S.A. 52:34-6.2		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Sets standards for use of nationally-recognized cooperatives, as authorized under the State College Contracts Law, including the requirement to demonstrate cost savings prior to purchase.	Prior to making purchases or contracting for services, the contracting unit shall determine that the use of the cooperative purchasing agreement shall result in cost savings after all factors, including charges for service, material, and delivery, have been considered.
Contracts & Procurement	Business Registration Certificate Requirement; N.J.S.A. 52:32-44		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Vendors must provide a valid NJ Business Registration Certificate prior to the award of a contract exceeding 15% of the current bid threshold.	

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Contracts & Procurement	<p>Chapter 51 Form Requirement (N.J.S.A. 19:44A-20.14 and Executive Order 117 (Corzine, 2008))</p> <p>N.J.S.A. 19:44A-20.14</p>		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	<p>Prohibits University from entering contracts exceeding \$17,500 with any business entity that has solicited, contributed, or pledged money or in-kind contributions to a candidate or office holder: "(i) (i) within the eighteen months immediately preceding the commencement of negotiations for the contract or agreement; (ii) during the term of office of a Governor and a Lieutenant Governor, in the case of contributions to a candidate committee or election fund of the holder of one of those offices, or to any State or county political party committee of a political party nominating such Governor and Lieutenant Governor in the last gubernatorial election preceding the commencement of such term; or (iii) within the eighteen months immediately preceding the last day of the term of office of Governor and Lieutenant Governor, in which case such prohibition shall continue through the end of the next immediately following term of the office of Governor and Lieutenant Governor, in the case of contributions to a candidate committee or election fund of the holder of one of those offices, or to any State or county political party committee of a political party nominating such Governor and Lieutenant Governor in the last gubernatorial election preceding the commencement of the latter term."</p> <p>Requires vendors to submit a certification/form regarding contributions where total spend will exceed \$17,500 in a fiscal year.</p>	
Contracts & Procurement	Ownership Disclosure Form Requirement (N.J.S.A. 52:25-24.2)		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Contract may not be awarded to a vendor unless/until they provide "a statement setting forth the names and addresses of all stockholders in the corporation or partnership who own 10% or more of its stock, of any class or of all individual partners in the partnership who own a 10% or greater interest therein..."	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Contracts & Procurement	Disclosure of Investment Activities in Iran (N.J.S.A. 52:32-57, et seq.)		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Requires any person or entity seeking to contract with the University to certify that "neither the person nor entity, nor any of its parents, subsidiaries, or affiliates, is identified on the New Jersey Department of the Treasury's Chapter 25 List as a person or entity engaged in investment activities in Iran."	
Contracts & Procurement	"Mandatory Equal Employment Opportunity and Affirmative Action Rules for Public Contracting (N.J.S.A. 10:5-31 and N.J.A.C. 17:27) N.J.S.A. 10:5-31 et seq."	N.J.A.C. 17:27-1.1 et seq.	VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Prohibits all public agencies from awarding a contract or paying any contractor or subcontractor that has not agreed and guaranteed to afford equal employment opportunity in the performance of the contract or work in accordance with the affirmative action program. Requires vendors to submit the AA302 Employee Information Report to the State prior to contracting.	
Contracts & Procurement	Source Disclosure Form Requirement (N.J.S.A. 52:34-13.2)		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	"Every State contract primarily for the performance of services shall include provisions which specify that all services performed under the contract or performed under any subcontract awarded under the contract shall be performed within the United States." Vendors must provide a Source Disclosure Form prior to contracting.	
Contracts & Procurement	New Jersey Prevailing Wage Act (N.J.S.A. 34:11-56.25 et seq.)	N.J.A.C. 12:60-1.1 et seq.	VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Establishes prevailing wage level for workers engaged in "public works," as defined in the Act, for any amount over \$2,000. Rates vary by county and trade. Requires contractor to submit certified payrolls.	Must maintain copies of certified payrolls. This is handled by Facilities.
Contracts & Procurement	The Public Works Contractor Registration Act (N.J.S.A. 34:11-56.48)	N.J.A.C. 12:62-1.1 et seq.	VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Establishes a unified procedure for the registration of contractors and subcontractors engaged in public works projects. Prohibits contractors from bidding on any public work unless they are registered. Also prohibits listing or using an unregistered subcontractor.	

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Contracts & Procurement	"COVID Vaccination & Testing Requirements Executive Order 271 (Murphy)"		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Requires state entities to ensure any new contracts, extensions, or RFP/IFBs above the bid threshold include a clause that the vendor (and any subs) coming to campus must maintain a policy that requires all covered workers to either provide proof of vaccination or submit to COVID-19 testing at least twice per week. Vendors must certify at the time of bid/proposal that they will comply. Vendors must certify when submitting an invoice that they have complied for the time period covered by said invoice.	
Contract & Procurement	Electronic Construction Procurement Act (N.J.S.A. 52:34A-1, et seq.)		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Sets forth rules governing electronic procurement processes. We are required to utilize electronic procurement processes for any public works construction project requiring public advertisement under the State College Contracts Law - specifically, N.J.S.A. 18A:64-60.1 (eff. 04/2021)	
Contract & Procurement	NJ Law Governing Project Labor Agreements (N.J.S.A. 52:38-1 et seq.)		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Sets forth rules and requirements concerning project labor agreements, which are required for any public-private partnership entered by the University under the State College Contracts Law (see N.J.S.A. 18A:64-85).	
Contract & Procurement	New Jersey College Student and Parent Consumer Information Act (N.J.S.A. 18A:3B-56)		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Any proposed contract to retain the services of a governmental affairs agent shall be considered by the governing board of a public research university or a State college at a public meeting and approval of the contract shall require the adoption of a resolution by a majority of the board members present at the meeting.	

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Contract & Procurement	Requirement to Notify State Comptroller of Award of Certain Contracts (N.J.A.C. 52:15C-10)		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	<p>State entities must provide notice to the State Comptroller for contracts exceeding certain dollar thresholds. Specifically, notice must be provided:</p> <ul style="list-style-type: none"> * no later than 20 days after award for contracts greater than \$2,500,000 but less than \$12,500,000; * no later than 30 days prior to public advertisement or other public or private solicitation for contracts exceeding \$12,500,000; and * no later than 30 days after award for contracts issued pursuant to an emergency or public exigency with a cost exceeding \$2,500,000. 	
Contract & Procurement	Contracts Related to COVID-19 Recovery Funds (Executive Order 166 (Murphy))		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	State entities must notify the Office of the State Comptroller of potential State procurements valued at \$150,000 or more involving COVID-19 Recovery Funds and/or a COVID-19 Recovery Program.	
Contract & Procurement	<p>Set-Aside Act for Small Businesses, Female Businesses, and Minority Businesses (N.J.S.A. 52:32-17 et seq.);</p> <p>Executive Order 71 (McGreevey)</p>		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	<p>Requires State entities to make a good faith effort to award a total of 25% of the dollar value of State contracts for goods and services to small businesses. The desired breakdown is as follows:</p> <ul style="list-style-type: none"> * 5% to small businesses with revenues of \$500,000 or less; * 5% to small businesses with gross revenues of \$5 million or less; * 5% to small businesses with gross revenues of \$12 million (or the applicable federal standard at 13 CFR 121.201, whichever is higher); and * 10% to be allocated across the three categories. 	State requests documentation periodically.
Contract & Procurement	Set-Aside Act for Disabled Veterans' Businesses (N.J.S.A. 52:32-31.1 et seq.)	N.J.A.C. 17:14-4.1	VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Establishes a set-aside program for businesses owned and operated by disabled veterans.	State requests documentation periodically.

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Contract & Procurement	Requirements Regarding Contracts for Services Performed Outside of the United States - Executive Order 129 (McGreevey)		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Prohibits the award of contracts to vendors that submit a proposal to perform services outside of the United States unless the contracting officer can certify: (1) the vendor or its subcontractor provides a unique service which cannot be replicated in the United States; or (2) the failure to use the foreign services would result in economic hardship; or (3) the Treasurer determines that a failure to use the vendor's services would be inconsistent with the public interest.	
Contract & Procurement	NJ State Building Service Contracts Act (N.J.S.A 34:11-56.58 et seq.)		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Similar to the NJ Prevailing Wage Act, but covers "building services" - cleaning, security, etc. - instead of public works trades. The law establishes prevailing wage standards for State building service contracts and imposes requirements for contracts falling under the Act.	
Contract & Procurement	Prohibition of subcontracting affecting the employment of an employee in a collective bargaining unit (N.J.S.A. 34:13A-50 to 34:13A-55)		VP for Admin & Finance - Director of Procurement	Office of Procurement and Contracting	Prohibits subcontracting agreements entered into by four-year public institutions of higher education which affects the employment of any employee in a collective bargaining unit.	
Contract & Procurement	Stockton University Signatory Authority Policy and Procedure; University Policy VI-65 - Signatory Authority University Procedure 6416 - Signatory Authority		VP for Admin & Finance - Director of Procurement - General Counsel	Office of Procurement and Contracting - Office of General Counsel	Authorizes President and designees to execute agreements on behalf of the University. Establishes signatory authority thresholds for designees.	
Copyright & Trademark	Copyright Act, 17 U.S.C. §§ 101-1332	37 C.F.R. § 201.1 48 C.F.R. C107 52.227-2	General Counsel	Office of General Counsel	Protects the rights of authors from unauthorized reproduction/adaptation/performance/display/distribution of protected works of authorship, including computer software, books, journals etc. Software licenses required. Includes an exception for "fair use" in criticism, comment, teaching, scholarship and research.	

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Copyright & Trademark	Copyright Term Extension Act, Public Law No. 105-298	63 Fed. Reg. 71,785	General Counsel	Office of General Counsel	<p>Extends by 20 years the length of protection afforded to copyrighted works, and thus lengthens the amount of time it will take for a work to enter the public domain.</p> <p>For copyrights in their renewal term at the time of the effective date of this new law, the term of copyright is extended to 95 years from the date the copyright was originally secured.</p> <p>For works created but not published or registered before January 1, 1978, the term endures for life of the author plus 70 years, but in no case will expire earlier than December 31, 2002.</p> <p>If the work is published before December 31, 2002, the term will not expire before December 31, 2047.</p> <p>Includes an exception that allows libraries, archives and nonprofit educational institutions to treat a copyrighted work in the last 20 years of protection as if it were in the public domain for purposes of preservation, scholarship or research.</p> <p>Conditions that apply to this usage in the last 20 years require a good faith investigation to determine that the work is not subject to normal commercial exploitation, the work or phone record cannot be obtained at a reasonable price, and use of the work stops if the copyright owner provides notice to the contrary.</p>	
Copyright & Trademark	Digital Millennium Copyright Act (DMCA), Public Law No. 105-304		Chief Information Officer	Office of Information Technology Services	<p>Imposes rules prohibiting the circumvention of technological protection measures.</p> <p>Sets limitations on copyright infringement liability for online service providers (OSPs).</p> <p>Expands an existing exemption for making copies of computer programs.</p> <p>Provides a significant updating of the rules and procedures regarding archival preservation.</p>	

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Copyright & Trademark	Higher Education Act: Institutional and financial assistance informaion for students 20 U.S.C. 1092(a)(1)(P) Public Law No. 110-315 § 152-153		Vice President for Student Affairs	Student Affairs	Requires the following disclosures to enrolled students: a) Policies/sanctions for copyright infringement; and b) annual disclosure detailing federal copyright penalties.	No deadline is mandated, but September 1 is suggested.
Copyright & Trademark	Higher Education Act: Program Participation Agreements 20 U.S.C. 1094(a)(29) Public Law No. 110-315 § 493				Requires institutions to certify, as part of their annual Program Participation Agreement, that they have: 1) developed plans to combat the unauthorized use of copyrighted material; and 2) will, to the extent practicable, offer alternatives to illegal file sharing. The regulations require periodic review of the plan to determine its effectiveness.	Certification is part of the annual Program Participation Agreement.
Copyright & Trademark	Lanham Act, 15 U.S.C. §§ 1051-1141n	19 C.F.R. § 133.1	General Counsel Executive Director of University Relations & Marketing	Office of General Counsel University Relations & Marketing	Prohibits trademark infringement, trademark dilution, and false advertising.	
Copyright & Trademark	Small Webcasters Settlement Act of 2002, Public Law No. 107-321	67 Fed. Reg. 45,239	General Manager - WLFR-FM	Student Affairs	Applies to "Noncommercial Webcasters" and to "Small Commercial Webcasters." Enables SoundExchange, the recording industry's royalty collection clearinghouse, to enter into royalty rate agreements with small commercial and all noncommercial webcasters.	Stations that average under 75 simultaneous users will have the option of submitting reports of use that do not require any audience data (ATH of ATP) or paying a \$100 proxy fee in lieu of any reporting. Stations with an average concurrent audience of over 75 will be required to submit reports of use, but they will not have to submit audience data. The fee for these stations remains at \$500 annually through 2016 unless the station has an ATH above 159, 140 (~208 average concurrent users in any month).

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Copyright & Trademark	Technology Education and Copyright Harmonization Act (TEACH ACT) of 2002 Public Law No. 107-273		Provost	Academic Affairs	Permits an instructor to display virtually all types of works during on-line instruction at accredited nonprofit educational institutions without consent of copyright owner, provided that instruction is mediated by an instructor, transmission is intended only for students enrolled in course, and measures are employed to prevent redistribution of transmission and prevent its retention for longer than the class session.	
Disabilities	Americans with Disabilities Act, 42 U.S.C. §§ 12101-12213 University Policies I-120 and VI-28 and Procedures 1200 and 6360	EEOC: 29 C.F.R. § 1630 DOJ (Title II): 28 C.F.R. § 35 DOJ (Title III): 28 C.F.R. § 36 DOL: 29 C.F.R. § 1640	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	Provides broad nondiscrimination protection for individuals with disabilities in employment, public services, and public accommodations, including colleges and universities. The university must make reasonable accommodations for employees and students with disabilities. Enforced by multiple federal agencies, including the Department of Justice, Department of Labor, and the EEOC.	
Disabilities	Fair Housing Act, Section 6, 42 U.S.C. 3604(3)	24 C.F.R. § 100.202-100.204	Director of Residential Life	Student Affairs - Residential Life	The Joint Statement of the Department of Housing and Urban Development and the Department of Justice Reasonable Accommodations under the Fair Housing Act requires housing providers to allow residents to have assistance animals reside with them.	
Disabilities	Patient Protection and Affordable Care Act (Section 1557) 42 U.S.C. 18116	42 C.F.R. 92.202, 204	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	Subject entities must provide auxiliary aids for patients with disabilities and ensure health-related programs or activities provided through electronic/IT means are accessible to individuals with disabilities.	

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Disabilities	<p>Section 504 of The Rehabilitation Act of 1973</p> <p>29 U.S.C. § 701</p> <p>University Policies I-120 and VI-28 and Procedures 1200 and 6360</p>	<p>ED: 34 C.F.R. § 104</p> <p>HHS: 45 C.F.R. § 84</p>	<p>Director of Title IX & EEO</p>	<p>Equal Opportunity & Institutional Compliance</p>	<p>Prohibits discrimination on the basis of disability at any federally-funded institution. This covers admissions, recruitment, programs and services.</p> <p>Existing facilities can be made compliant through modification, moving classes or other services to more accessible locations, assignment of aids, or other measures.</p> <p>Newly constructed facilities must be readily accessible to persons with disabilities.</p> <p>Each facility or part of a facility which is altered in a manner that affects or could affect the usability of the facility or part of the facility shall, to the maximum extent feasible, be altered in such manner that the altered portion of the facility is readily accessible to and usable by persons with disabilities.</p>	
Disabilities	<p>The Family and Medical Leave Act of 1993, Public Law 103-3</p>	<p>29 C.F.R. § 825</p>	<p>AVP for Human Resources</p>	<p>Human Resources</p>	<p>Entitles eligible employees of covered employers to take unpaid, job-protected leave for specified family and medical reasons with continuation of group health insurance coverage under the same terms and conditions as if the employee had not taken leave. Provides covered employees with certain rights to reinstatement of employment after taking FMLA leave.</p>	
Disbursement Services - Accounts Payable	<p>New Jersey Prompt Payment Act N.J.S.A 2A:30A-2 et seq.</p>		<p>VP for Admin & Finance - Director of Disbursement Services - Manager of Disbursement Services</p>	<p>Disbursement Services</p>	<p>Requires prompt payment by public and private owners to contractors and by contractors to subcontractors and material suppliers. After the 30 days, the delinquent party will be liable for interest at a rate equal to prime plus one percent on agreements written after the effective date. All other invoices require a 60-day prompt payment as noted in the Act.</p>	

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Disbursement Services - Accounts Payable	University Procedure 6411 - Accounts Payable		VP for Admin & Finance - Director of Disbursement Services - Manager of Disbursement Services	Disbursement Services	Sets forth the requirements and measures governing all Stockton University employees concerning disbursement of moneys appropriated to the University by the Legislature and moneys received from tuition, fees, auxiliary services, and other sources in payment for University-related contracts, services, materials, travel, and supplies. See procedure for additional details.	
Disbursement Services - Accounts Payable	US Department of Treasury, Internal Revenue Services - Publication 463 - Travel, Gift and Car Expenses; University Procedure 6412 - University Travel; University Procedure 6412.5 - Reception/Entertainment		VP for Admin & Finance - Director of Disbursement Services - Manager of Disbursement Services	Disbursement Services	Provides guidance on what expenses are deductible, how to report them on your return, what records you need to prove your expenses, and how to treat any expense reimbursements you may receive. Addresses travel, meals and entertainment, gifts, transportation, recordkeeping, and how to report. Sets forth roles and responsibilities relative to submitting and approving travel and business-related expenses. See procedure for additional details. Provides a framework for the expenditure of University funds for the purchase of food/refreshment on and/or off campus. See procedure for additional details.	
Disbursement Services - Accounts Payable	University Procedure 6611 - Credit Cards for Employees		VP for Admin & Finance - Director of Disbursement Services - Manager of Disbursement Services	Disbursement Services	Sets forth guidance on appropriate use of credit cards. See procedure for details.	
Disbursement Services - Payroll	Statements for Employees, 27 CFR §31.6051-1		VP for Admin & Finance - Director of Disbursement Services - Payroll Manager	Disbursement Services	Employers defined in section 3401(d) required to deduct and withhold a tax under section 3402 must furnish Form W-2 to employees.	Each statement required by this section for a calendar year and each corrected statement required for the year shall be furnished to the employee on or before January 31 of the year succeeding such calendar year.

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Disbursement Services - Payroll	State Directory of New Hires, 42 U.S.C. §652a, N.J.S.A. 2A:17-56.61		VP for Admin & Finance - Director of Disbursement Services - Payroll Manager	Disbursement Services	The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996, 42 U.S.C. 653a and the New Jersey Statutes Annotated 2A:17-56.61 requires all employers to report newly hired and re-hired employees to a state directory within 20 days of their hire date.	Each employer shall furnish to the Directory of New Hires of the State in which a newly hired employee works, a report that contains the name, address, and social security number of the employee, the date services for remuneration were first performed by the employee, and the name and address of, and identifying number assigned to the employer no later than 20 days after the date hire.
Disbursement Services - Payroll	Supplemental Compensation on Retirement (SCOR),A109 N.J.A.C. 4A:6-3.1		VP for Admin & Finance - Director of Disbursement Services - Payroll Manager	Disbursement Services	An employee may file an application form DPF-279, within one year of the effective date of retirement, requesting supplemental compensation after receiving a copy of the official notice of retirement approval issued by the appropriate pension board or authority.	The application form must be submitted within one year of the effective date of retirement.
Disbursement Services - Payroll	Internet-Based Report of Contributions (IROC)	https://www.state.nj.us/treasury/pensions/documents/factsheets/fact77.pdf	VP for Admin & Finance - Director of Disbursement Services - Payroll Manager	Disbursement Services	Employers that use their own payroll methods must report and reconcile employee pensionable service and salary each calendar quarter through the quarterly Report of Contributions and remit employee contributions through the Transmittal Electronic Payments System (TEPS).	Quarterly reports are due by the 7th of the month following the end of each calendar quarter.
Disbursement Services - Payroll	Consumer Credit Protection Act, Title III (CCPA), 15 U.S.C. §1673		VP for Admin & Finance - Director of Disbursement Services - Payroll Manager	Disbursement Services	Per Title III of the CCPA the maximum part of an employee's total disposable earnings subject to garnishment in any workweek may not exceed the lesser of 25% of disposable earnings for that week or the amount by which disposable earnings for that week exceeds 30 times the federal minimum wage rate in effect at the time the earnings are payable. 1674 prohibits firing an employee because of garnishment and imposes a \$1,000 fine for doing so.	

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Disbursement Services - Payroll	Federal Insurance Contributions Act, 26 CFR Part 31		VP for Admin & Finance - Director of Disbursement Services - Payroll Manager	Disbursement Services	<p>Provides that service performed as an employee of a school, college or university by a student who is enrolled and regularly attending classes at such school, college, or university is exempt from the FICA tax.</p> <p>An employee who is in employment for wages which are subject to taxes under the Federal Insurance Contributions Act (FICA) or which are subject to the withholding of income tax from wages must apply for a social security number by filing SSA Form SS-5.</p> <p>An employer must pay social security taxes on employees, but an exemption exists for most students who are also working for the University and for clergy whose services are performed in the exercise of their ministry.</p>	
Disbursement Services - Payroll	<p>Qualified Tuition Reductions</p> <p>University Procedure 6164 - Tuition Waiver for Spouses, Dependents, Couples in Civil Unions and Domestic Partners</p>		VP for Admin & Finance - Director of Disbursement Services - Payroll Manager	Disbursement Services	<p>A qualified tuition reduction is any reduction in tuition provided to an employee for the education of an employee or certain relatives of the employee at the institution the employee works at or another qualified institution.</p> <p>A qualified tuition reduction is tax-free.</p> <p>The tuition must be for education below the graduate level, with an exception for graduate students engaged in teaching or research at the University.</p>	Reporting due by the last day of the 7th month after end of plan year. An automatic extension of up to 2 months may be obtained by filing Form 5558 with the IRS before the return/report's regular due date.
Disbursement Services - Payroll	University Procedure 6119 - Time and Attendance Reporting		VP for Admin & Finance - Director of Disbursement Services - Payroll Manager	Disbursement Services	Sets forth guidance on time and attendance reporting include responsibilities with respect to web time entry and time clock entry, time reporting categories, change/correction of time reported, and exceptions. See procedure for additional details.	

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Disbursement Services - Accounts Payable and Payroll	Records Retention		VP for Admin & Finance - Director of Disbursement Services - Manager of Disbursement Services - Payroll Manager	Disbursement Services	<p>A records management program begins with the records inventory process to gain knowledge of holdings. Records are then placed on records retention schedules.</p> <p>Retention schedules summarize information about individual record series and designate minimum lengths of time records must be held in active and semi-active storage. Retention schedules also designate when and how a record may be disposed.</p> <p>Timely and consistent records disposition yields increased in efficiency and decreases in record keeping expenses. Use of the statewide disposal authorization process helps to eliminate inconsistent records destruction, thereby minimizing the likelihood of adverse legal, administrative, fiscal and historical impact.</p>	
Diversity / Affirmative Action	Affirmative Action/Equal Employment Opportunity, Executive Order 11246	41 C.F.R. § 60	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	Affirmative action must be taken by covered employers to recruit and advance qualified minorities, women, persons with disabilities, and covered veterans.	
Diversity / Affirmative Action	Age Discrimination Act of 1975 42 U.S.C. §§ 6101-6107 University Policies I-120 and VI-28 and Procedures 1200 and 6360	ED: 34 C.F.R. § 110 HHS: 45 C.F.R. § 90 NSF: 45 C.F.R. § 617	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	<p>Prohibits discrimination based on age in educational or academic programs or activities that receive federal financial assistance.</p> <p>Prohibits retaliation for filing a complaint with OCR or for advocating for a right protected by the Act.</p>	
Diversity / Affirmative Action	Age Discrimination Employment Act of 1967 29 U.S.C. §§ 621-634 University Policies I-120 and VI-28 and Procedures 1200 and 6360	29 C.F.R. § 1627	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	It is unlawful for a university to fail to hire, discharge, segregate, classify, or otherwise discriminate against any individual with respect to compensation, terms, conditions or privileges of employment because of age.	

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Diversity / Affirmative Action	Americans with Disabilities Act, 42 U.S.C. §§ 12101-12213 University Policies I-120 and VI-28 and Procedures 1200 and 6360	EEOC: 29 C.F.R. § 1630 DOJ (Title II): 28 C.F.R. § 35 DOJ (Title III): 28 C.F.R. § 36 DOL: 29 C.F.R. § 1640	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	Provides broad nondiscrimination protection in employment, public services, and public accommodations including colleges and universities for individuals with disabilities. Enforced by multiple federal agencies, including the Department of Justice, Department of Labor, and the EEOC.	
Diversity / Affirmative Action	Equal Employment of Veterans, 38 U.S.C. §§ 4211-4215 University Policies I-120 and VI-28 and Procedures 1200 and 6360	41 C.F.R. § 60-250	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	For federal subcontracts of \$100,000 or more the University shall include in each of its subcontracts a clause that the subcontractor will not discriminate against any employee or applicant for employment because he or she is a special disabled veteran, veteran of the Vietnam era, recently separated veteran, or other protected veteran in regard to any position for which the employee or applicant for employment is qualified. The university must agree to take affirmative action to employ and advance qualified individuals without discrimination based on such status.	
Diversity / Affirmative Action	Equal Pay Act of 1963 29 U.S.C. § 206(d) University Policies I-120 and VI-28 and Procedures 1200 and 6360	29 C.F.R. § 1620 29 C.F.R. § 1621 29 C.F.R. § 1604	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	Prohibits sex-based wage discrimination between men and women in the same establishment who perform jobs that require substantially equal skill, effort and responsibility under similar working conditions.	
Diversity / Affirmative Action	Genetic Information Non-Discrimination Act of 2008, Public Law No. 110-233	29 C.F.R. § 1635	AVP for Human Resources	Human Resources	Prohibits use of genetic information in employment decision-making. Requires that genetic information be maintained as a confidential medical record, and places strict limits on disclosure of genetic information.	
Diversity / Affirmative Action	Immigration and Nationality Act, 8 U.S.C. §§ 1101-1106	8 C.F.R. § 214 8 C.F.R. § 274a 20 C.F.R. § 655 29 C.F.R. § 501	AVP for Human Resources	Human Resources	The INA, as amended, sets forth the laws governing the admission and employment of foreign nationals in the United States, including provisions that address employment eligibility and employment verification.	

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Diversity / Affirmative Action	Lilly Ledbetter Fair Pay Act of 2009, Public Law No. 111-2		Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	<p>An individual subjected to compensation discrimination under Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, or the Americans with Disabilities Act of 1990 may file a charge within 180 (or 300) days of any of the following:</p> <p>1) when a discriminatory compensation decision or other discriminatory practice affecting compensation is adopted;</p> <p>2) when the individual becomes subject to a discriminatory compensation decision or other discriminatory practice affecting compensation; or</p> <p>3) when the individual's compensation is affected by the application of a discriminatory compensation decision or other discriminatory practice, including each time the individual receives compensation that is based in whole or part on such "&" compensation decision or other practice.</p> <p>The Act has a retroactive effective date of May 28, 2007, and applies to all claims of discriminatory compensation pending on or after that date.</p>	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Diversity / Affirmative Action	Section 504 of The Rehabilitation Act of 1973, 29 U.S.C. A107 701	ED: 34 C.F.R. § 104 HHS: 45 C.F.R. § 84	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	<p>Prohibits discrimination on the basis of disability at any federally-funded institution. This covers admissions, recruitment, programs and services.</p> <p>If an existing facility is not accessible, redesign of equipment, reassignment of classes or other services to accessible buildings is an alternative to new construction.</p> <p>Newly constructed facilities must be readily accessible to persons with disabilities.</p> <p>Each facility or part of a facility which is altered in a manner that affects or could affect the usability of the facility or part of the facility shall, to the maximum extent feasible, be altered in such manner that the altered portion of the facility is readily accessible to and usable by persons with disabilities.</p>	
Diversity / Affirmative Action	Title IX of the Education Amendment of 1972 20 U.S.C. §§ 1681-1688 University Policies I-120 and VI-28 and Procedures 1200 and 6360	DOJ: 28 C.F.R. §§ 42.201-42.215 ED: 34 C.F.R. § 106 EEOC: 29 C.F.R. § 1604 HHS: 45 C.F.R. § 86	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	<p>Prohibits discrimination on the basis of sex in education programs or activities receiving federal financial assistance including employment.</p> <p>Any grievance records relating to a Title IX violation or complaint must be retained for the period of time cited in state law for personal injury actions.</p>	
Diversity / Affirmative Action	Title VI of the Civil Rights Act of 1964 42 U.S.C. §§ 2000d-2000d-7 University Policies I-120 and VI-28 and Procedures 1200 and 6360	DOJ: 28 C.F.R. §§ 42.101-42.112 DOJ: 28 C.F.R. § 50.3 ED: 34 C.F.R. § 100 HHS: 45 C.F.R. § 80	Director of Title IX & EEO	Equal Opportunity & Institutional Compliance	Prohibits discrimination based on race, color, or national origin in educational and/or academic programs or activities receiving federal financial assistance.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Diversity / Affirmative Action	<p>Title VII of the Civil Rights Act of 1964</p> <p>442 U.S.C. §§ 2000e-2000e-17</p> <p>University Policies I-120 and VI-28 and Procedures 1200 and 6360</p>	<p>DOJ: 29 C.F.R. § 42</p> <p>DOL: 41 C.F.R. § 60-1</p>	<p>Director of Title IX & EEO</p>	<p>Equal Opportunity & Institutional Compliance</p>	<p>Title VII prohibits discrimination in hiring, firing, training, promotion, discipline, or other workplace decisions on the basis of an employee or applicant's race, color, sex, national origin, or religion.</p> <p>Sexual harassment is also prohibited under this law.</p> <p>Prohibits discrimination on the basis of pregnancy, childbirth, or related illness in employment opportunities, health or disability insurance programs, or sick leave plans.</p>	
Diversity / Affirmative Action	<p>Uniformed Services Employment and Reemployment Rights Act (USERRA)</p> <p>38 U.S.C. §§ 4301-4335</p> <p>University Policies I-120 and VI-28 and Procedures 1200 and 6360</p>	<p>5 C.F.R. § 353</p>	<p>Director of Title IX & EEO</p>	<p>Equal Opportunity & Institutional Compliance</p>	<p>Seeks to ensure that members of the uniformed services are entitled to return to their civilian employment upon completion of their service.</p> <p>Qualified employees must be reinstated with the seniority, status, and rate of pay they would have obtained had they remained continuously employed by their civilian employer. The law also protects individuals from discrimination in hiring, promotion, and retention on the basis of present and future membership in the armed services.</p>	
Environmental Health & Safety	<p>Chemical Facility Anti-Terrorism Standards, Executive Order 13563 and 12866</p>	<p>6 C.F.R. § 27</p>	<p>Facilities & Operations - Associate Director of EHS</p>	<p>Office of EHS</p>	<p>This rule establishes risk-based performance standards for the security of the nation's chemical facilities. It requires covered chemical facilities to prepare Security Vulnerability Assessments, which identify facility security vulnerabilities, and to develop and implement Site Security Plans, which include measures that satisfy the identified risk-based performance standards.</p>	<p>University is registered under CFATS in 2008 and will continue to monitor the chemicals kept on campus to determine its status/reporting as required. Currently, the University does not possess the chemicals listed in quantities that would require additional oversight.</p>

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Environmental Health & Safety	Clean Air Act, 42 U.S.C. §§ 7401-7671q	40 C.F.R. § 50 40 C.F.R. § 60 40 C.F.R. § 61	Facilities & Operations - Associate Director of EHS	Office of EHS	Regulates air emissions from stationary and mobile sources.Requires annual fees to be paid based upon total tons of actual emissions of each regulated pollutant.	<p>The EHS office is required to record and submit several documents annually to keep the University in compliance. Some items include: semi-annual deviation reports, annual emission statement, fuel logs, generator testing and maintenance logs, submittal of new equipment specs for permit updates and 5-year renewal information.</p> <p>The EPA will require semi-annual reporting of all facilities that release annual emissions of 25,000 megatons CO2 equivalent.</p>
Environmental Health & Safety	Clean Water Act, 33 U.S.C. §§ 1251-1387	40 C.F.R § 122.41	Facilities & Operations - Associate Director of EHS	Office of EHS	Establishes the basic structure for regulating discharges of pollutants into the waters of the United States and regulating quality standards for surface waters. Facilities are governed by local wastewater pretreatment standards issued by local wastewater treatment plants.	<p>Waste water permits and reporting quarterly.</p> <p>EHS is required to record and submit several documents annually to keep the University in compliance. Some items include: coliform, disinfection byproducts, pH, orthophosphate, PFAS, Nitrates, Chlorides, Inorganics, VOCs (federal and state), Radiologicals, Alkalinity and lead and copper. This constituents must be sampled as required and submitted to the NJDEP during a required timeframe. Failure to do so can lead to multiple notices of violations which lead to monetary penalties. Our wastewater system is currently handled by a third party and they perform all required inspections/recordkeeping.</p>
Environmental Health & Safety	Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), 42 U.S.C. §§ 9601-9675	40 C.F.R. § 307	Facilities & Operations - Associate Director of EHS	Office of EHS	Establishes prohibitions and requirements concerning closed and abandoned hazardous waste sites;Provides for liability of persons responsible for releases of hazardous waste at these sites; andEstablishes a trust fund to provide for cleanup when no responsible party can be identified.	EHS conducts a pre-purchase program review of its properties (including potential sales) to ensure due diligence is being performed.These reports are Phase I assessment reports and indicate if any potential problems may exist. The University does not currently own any abandoned hazardous waste sites that would require CERCLA oversight.

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Environmental Health & Safety	Emergency Planning and Community Right Act (EPCRA), 42 U.S.C. §§ 11001 - 11050	40 C.F.R. § 370 40 C.F.R. § 372.25 40 C.F.R. § 372.27 40 C.F.R. § 355 48 C.F.R. § 52.223-13	Facilities & Operations - Associate Director of EHS with support from F&O, A&S and NAMS	Office of EHS	Helps communities plan for emergencies involving hazardous substances. The Act establishes requirements for federal, state and local governments, Indian tribes, and industry regarding emergency planning and "Community Right-to-Know" reporting on hazardous and toxic chemicals. The Community Right-to-Know provisions help increase the public's knowledge and access to information on chemicals at individual facilities, their uses, and releases into the environment. States and communities, working with facilities, can use the information to improve chemical safety and protect public health and the environment. Hazardous chemical training must be conducted annually.	By March 1st of each year, the owner or operator of any facility which is required to have available a material safety data sheet for a hazardous chemical under OSHA shall prepare and submit an emergency and hazardous chemical inventory. Facilities must report the storage, use, and release of certain hazardous chemicals bi-annually. The University is not classified as and does not currently maintain Extremely Hazardous Substances (EHS) on-site in quantities greater than corresponding threshold planning quantities (TPQs). It does not currently have to fill out a report (Tier I or Tier II).
Environmental Health & Safety	Energy Policy Act, 42 U.S.C. §§ 13201-13574	14 C.F.R. § 313	Facilities & Operations - Associate Director of EHS	Office of EHS	Addresses energy production and contains Underground Storage Tank provisions. Underground Storage Tank Training must be conducted every seven years.	Underground Storage Tank annual registration and postings required September 1 of each year. Stockton's UST's were removed from the University in 2019 and as such the program no longer applies.
Environmental Health & Safety	Federal Insecticide, Fungicide and Rodenticide Act, 7 U.S.C. §§ 136-136y	40 C.F.R. §§ 152-180	Facilities & Operations - Associate Director of EHS	Office of EHS	Provides for federal regulation of pesticide distribution, sale, and use. In addition, FIFRA regulations mandate Good Laboratory Practice standards which apply to laboratories performing testing or research on pesticides for marketing or registration purposes.	NJDEP Applicators license regulations must be followed to keep license. Stockton F&O personnel are monitored to stay in compliance with NJDEP compliance and enforcement regarding all pesticide requirements (exam, continuing education, etc.).

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Environmental Health & Safety	Guarding and Use of Hand & Portable Powered Tools,	29 C.F.R. § 1910.243	Facilities & Operations - Associate Director of EHS	Office of EHS	The University is responsible for the safe condition and guarding of portable powered tools/equipment (ex: saws/drills/drivers/sanders/grinders/ pneumatic tools/explosive fasteners, etc.) including tools furnished by employees.	As requested, training is provided to affected personnel. EHS office has developed a machine shop safety program and offers machine guarding training for all affected personnel as needed. Failure to follow regulations can result in injury and additional regulatory oversight.
Environmental Health & Safety	Hazardous and Solid Waste Amendments of 1984, 42 U.S.C. §§ 6921-6939g	40 C.F.R. § 260 40 C.F.R. § 280.10	Facilities & Operations - Associate Director of EHS with support from F&O, A&S and NAMS	Office of EHS	Regulation of underground storage tanks and land-based disposal of hazardous substances.	Requires reporting of installation of tanks, suspected releases, and confirmed releases to authorities. Annual training provided. Failure to comply with the RCRA can lead to extensive monetary fines (up to \$100,000 per occurrence per day) and include jail time, if found to be a willful/on-going violation.
Environmental Health & Safety	Hazardous Materials Transportation Act, 49 U.S.C. §§ 5101-5128	49 C.F.R. § 107 49 C.F.R. § 172	Facilities & Operations - Associate Director of EHS	Office of EHS	Primary objective is to provide adequate protection against the risks to life and property inherent in the transportation of hazardous material in commerce by improving the regulatory and enforcement authority of the Secretary of Transportation. Training is required 90 days after employment or change in job function, followed by recurrent training once every three years.	University personnel who transport or cause to be transported hazardous materials must file annually a registration statement by June 30. EHS renews the University's Hazardous Materials DOT registration every three years. In addition it updates the Hazardous Materials Safety and Security plan in the event of an outside audit. Failure to do so could result in monetary penalties handed down by DOT.

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Environmental Health & Safety	Housing & Urban Development Lead Based Paint Poisoning in Certain Residential Structures, 42 U.S.C. § 4852d	40 C.F.R. § 745	Facilities & Operations - Associate Director of EHS	Office of EHS	The University must provide lessees with a federally-approved pamphlet on lead poisoning prevention.	<p>Annually, the University must provide a disclosure notice to lessees of property built prior to 1978 that such structures may contain lead based paint and/or lead based paint hazards, regarding the health risks of such hazard, and disclosing any known lead paint or hazard.</p> <p>EHS reviews projects to determine if a lead abatement contractor is necessary. If abatement is performed without appropriate permit fines of up to \$5000 a day can be imposed.</p>
Environmental Health & Safety	Mandatory Reporting of Greenhouse Gases, Public Law No. 110-161	40 C.F.R. § 86 40 C.F.R. § 87 40 C.F.R. § 89	Facilities & Operations - Associate Director of EHS	Office of EHS	Implemented under the Environmental Protection Agency's (EPA) powers under the Clean Air Act, the rule requires that the university submit an annual report on the university's greenhouse gas emissions. Gases covered by the rule include carbon dioxide (CO2), methane (CH4), nitrous oxide (N2O), hydro fluorocarbons (HFC), per fluorocarbons (PFC), sulfur hexafluoride (SF6) and other fluorinated gases and hydro fluorinated ethers.	The University must submit an annual report on the University's greenhouse gas emissions. The University must also submit semi-annual deviation reports with respect to compliance initiatives. Gas consumption and generator readings must be recorded and documented every month. Whenever there is a change of equipment to the University, the specifications must be vetted through the NJDEP for approval prior to the equipment being installed. This list includes generators and boilers to name a few.
Environmental Health & Safety	Medical Waste Tracking Act, 42 U.S.C. § 6992		Facilities & Operations - Associate Director of EHS; Academic Affairs - Health Sciences and NAMS; Academic Affairs - Health Services and Athletics	Office of EHS	If the university is a generator of medical (biological) waste it must track it from "cradle to grave" and make all records available to the Environmental Protection Agency upon request. Medical waste includes but is not limited to: cultures of infectious agents, discarded vaccines, tissues, organs, body parts, blood products, sharps, soiled dressings and surgical gloves, etc.	Regulated medical waste generators must register with the NJDEP and keep track of all wastes generated, properly packed/labelled and shipped through the hazardous waste manifest system. Failure to do so could result in monetary penalties handed down by NJDEP.

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Environmental Health & Safety	Motor Carrier Act of 1980, 49 U.S.C. §§ 13101-14916	49 C.F.R. § 386	Facilities & Operations - Associate Director of EHS	Office of EHS	Institutions are liable for any pollution-related incident that occurs during the transportation of hazardous material.	DOT Hazmat training and IATA air transport training are performed every 2 years. Most hazardous materials on campus are packaged and shipped by third party vendors. In order to properly ship hazardous materials, including our semi-annual hazardous waste products, personnel from NAMS and EHS must undergo hazardous material training.
Environmental Health & Safety	Occupational Safety and Health Act of 1970 29 U.S.C. §§ 651-678		Facilities & Operations - Associate Director of EHS	Office of EHS	Each institution must have a written emergency action plan kept in the workplace and available for employee review upon request, as required under OSHA standards.	
Environmental Health & Safety	Oil Pollution Act, 33 U.S.C. §§ 2701-2762	15 C.F.R. § 990	Facilities & Operations - Associate Director of EHS	Office of EHS	Regulation requires container inspection and integrity, testing, recordkeeping, annual training for employees who handle oil, and annual discharge prevention briefings.	Spill Prevention, Control, and Countermeasure Rule reporting due every five years. Currently, Stockton does not meet the requirements of having to follow the SPCC regulations. All current containers of oil are properly guarded and inspected by local authorities to ensure proper operations.
Environmental Health & Safety	OSHA, 29 U.S.C. § 651-678	29 C.F.R. §§ 1900-2400	Facilities & Operations - Associate Director of EHS	Office of EHS	Requires employers to train employees on hazards in the workplace, to provide information to employees, to report occupational injuries and illnesses to the federal government, and to keep records of same, and to provide controls and protective equipment as well.	Training is very topic dependant - some programs only require initial training while others are annual or every three years. EHS utilizes both a hands-on and computer based safety training program to accomplish its annual training goals. Any non-compliance can result in University-wide non-compliance citations which could lead to monetary fines.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Environmental Health & Safety	OSHA Asbestos in Construction Standard,	29 C.F.R. § 1926.1101	Facilities & Operations - Associate Director of EHS	Office of EHS	Applies to construction only. No employee may be exposed to an airborne concentration of asbestos in excess of 0.1 fiber per cubic cm of air as an 8 hour time-weighted average. The University must use enumerated safety procedures, monitor subject areas and notify potentially affected employees of results within five days.	Annual training. EHS performs an annual program review to ensure all program elements are being completed, including the annual training requirement. Failure to comply could lead to non-compliance citations which could lead to monetary fines. F&O personnel will also alert all outside vendors to the possible presence of asbestos before a project begins.
Environmental Health & Safety	OSHA Asbestos in General Industry Standard,	29 C.F.R. § 1910.1001	Facilities & Operations - Associate Director of EHS	Office of EHS	The University must ensure that no employee is exposed to an airborne concentration of asbestos in excess of 0.1 fiber per cubic centimeter of air as an eight hour time-weighted average. Applies to occupational exposure other than construction. The University must perform initial monitoring where employees are or may reasonably be expected to be exposed at or above the exposure limit, and must promptly notify such employees of the results within 15 working days. Required, repeated monitoring depends on the initial results. Additional safety and compliance procedures are required.	Annual training. The EHS office will perform an annual program review to ensure all program elements are being completed, including the annual training requirement. Failure to comply could lead to non-compliance citations which could lead to monetary fines.
Environmental Health & Safety	OSHA - Bloodborne Pathogens Standard,	29 C.F.R. § 1910.1030	Facilities & Operations - Associate Director of EHS	Office of EHS	The university must maintain a written exposure control plan and provide appropriate instruction on precautions to all workers who might become exposed to blood or other potentially infectious materials.	Annual training. The EHS office will perform an annual program review to ensure all program elements are being completed, including the annual training requirement. Failure to comply could lead to non-compliance citations which could lead to monetary fines.
Environmental Health & Safety	OSHA Emergency Action Plan Standard,	29 C.F.R. § 1910.38			The university must maintain a written exposure control plan and provide appropriate instruction on precautions to all workers who might become exposed to blood or other potentially infectious materials.	

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Environmental Health & Safety	OSHA Enforcement Guidance for Personal Protective Equipment (PPE) in General Industry,	29 C.F.R. § 1910.132	Facilities & Operations - Associate Director of EHS	Office of EHS	OSHA requires the use of Personal Protective Equipment (PPE) to reduce employee exposure to hazards when engineering and administrative controls are not feasible or effective in reducing these exposures to acceptable levels. The regulations clarify what type of PPE employers must provide at no cost to workers and when employers are required to pay for PPE.	Annual training. The EHS office will perform annual reviews of all program requirements and procure all proper PPE as necessary. The continued development and creation of job hazard analysis (JHA's) help define what PPE are necessary depending on the tasks and hazards present. In addition, annual PPE training is administered and failure to comply could lead to non-compliance citations which could lead to monetary fines.
Environmental Health & Safety	OSHA Lead in Construction Standard,	29 C.F.R. § 1926.62	Facilities & Operations - Associate Director of EHS	Office of EHS	Applies to exposure to lead during construction only. The university must conduct lead exposure assessments for construction jobs (alternation, repair, demolition, painting, decorating) with possible exposure to lead to determine if exposure threshold met (i.e. > 50 micrograms concentration per cubic meter of air averaged over an 8 hours). If threshold met, the university must notify affected employee, institute engineering and work practice controls to reduce exposure to permissible levels, and conduct repeat monitoring. Also applies to contractors.	Annual training. Construction projects performed by outside contractors must include all applicable lead safety program elements as described in Stockton's safety manual. Failure to do so may result in project interruption.
Environmental Health & Safety	OSHA Lead in General Industry Standard,	29 C.F.R. § 1910.1025	Facilities & Operations - Associate Director of EHS	Office of EHS	Applies to occupational exposure to lead by employees in non-construction setting. The university must ensure no employee is exposed to > 50 micrograms lead concentration per cubic meter of air averaged over an 8 hours. Where there is potential exposure, the university must make a determination as to whether employees are so exposed, and if so must notify the employee, institute corrective action via engineering and work practice controls, and repeat monitoring activities.	Annual training. EHS performs an annual program review to ensure all program elements are being completed, including the annual training requirement. Failure to comply could lead to non-compliance citations which could lead to monetary fines.
Environmental Health & Safety	OSHA Occupational Noise Exposure Standard,	29 C.F.R. § 1910.95			The OSHA noise exposure standards define two action levels at which worker protection must be provided and used, based on the 8 hour time weighted average of noise levels that the worker is exposed to throughout the day.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Environmental Health & Safety	OSHA Occupational Exposure to Hazardous Chemicals in Laboratories Standard,	29 C.F.R. §§ 1910.1000 et seq., 29 C.F.R. § 1910.145			<p>Provides strict guidelines for laboratory safety. Key components of the laboratory standard include having a chemical hygiene plan and providing employees with training and information. The laboratory standard applies to labs that:</p> <ul style="list-style-type: none"> * use hazardous chemicals * serve as workplaces where relatively small amounts of hazardous chemicals are used on a nonproduction basis * hazardous chemicals are manipulated on a laboratory scale * use multiple chemical procedures or chemicals * have procedures not part of a production process * use protective practices and equipment to minimize the potential for employee exposure to hazardous chemicals <p>These hazardous chemicals include those regulated under 29 CFR 1910 subpart Z, and those defined under the Hazard Communication Standard, 29 CFR 1910.1200</p>	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Environmental Health & Safety	OSHA Welding, Cutting, and Brazing,	29 C.F.R. § 1910.251	Facilities & Operations - Associate Director of EHS	Office of EHS	Before cutting/welding can be permitted, the area must be inspected by the individual responsible for authorizing cutting/welding operations, and who must designate precautions to be followed in granting authorization, preferably in the form of a written permit. Cutting/welding shall be permitted only in areas that are or have been made fire safe, and appropriate PPE and clothing based on the type of work performed must be used. (Note: Per OSHA, to minimize carbon monoxide hazard, maintain 3-4 feet of clear ventilation space around generators).	EHS performs an annual program review to ensure all program elements are being completed, including the training requirement. Welding incorporates other EHS training program elements (PPE/Respiratory Protection/Hot Work Permit) which are discussed prior to any welding being performed. Failure to comply could lead to non-compliance citations which could lead to monetary fines.
Environmental Health & Safety	OSHA's Hazard Communication Standard,	29 C.F.R. § 1910.1200	Facilities & Operations - Associate Director of EHS	Office of EHS	To comply with employees' right to know about the hazards associated with materials/substances they use on the job, the university must compile and maintain chemical inventories, and make Material Safety Data Sheets readily available upon employee request.	Annual training. The EHS office will perform an annual program review to ensure all program elements are being completed, including the training and inventory requirements. Failure to comply could lead to non-compliance citations which could lead to monetary fines.
Environmental Health & Safety	Resource Conservation and Recovery Act, 42 U.S.C. §§ 6901-6992k	40 C.F.R. § 98.250 40 C.F.R. § 260	Facilities & Operations - Associate Director of EHS with support of NAMS	Office of EHS	Gives the EPA authority to control hazardous waste generation, transportation, treatment, storage and disposal. If the university is a hazardous waste generator it must: Certify there is a program in place to reduce quantity and toxicity of waste to the degree economically practicable; Establish record-keeping practices for waste generated; 3. Use appropriate containers and labeling practices for storage, transport or disposal, and use a manifest system. If the university is a small quantity generator, it must provide to the EPA every year setting out quantities and nature of waste generated, how disposed, efforts to reduce volume and toxicity, and changes in volume and toxicity achieved. Underground Storage Tank training must be conducted every 7 years.	Annual training. EHS performs an annual program review to ensure all program elements are being completed, including the training, semi-annual pick-ups, inventory checks, manifest documentation and 3-year registration requirements. Failure to comply could lead to non-compliance citations which could lead to monetary fines.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Environmental Health & Safety	The Public Health Security and Bioterrorism Preparedness and Response Act, 18 U.S.C. § 175b		Facilities & Operations - Associate Director of EHS	Office of EHS	All colleges and universities that possess select agents, which are certain biological agents and toxins, need to register with the Secretary of the U.S. Department of Health and Human Services. Requires prompt notification of the release of a select agent outside of the biocontainment area, or of theft or loss of a select agent. The university must also deny access to the agents/toxins by restricted persons.	Universities must keep comprehensive inventories of select agents and must submit the names and other identifying information for individuals who the University determines have a legitimate need to handle or use the toxins. EHS performs an annual program review of the Hazardous Materials Safety and Security Plan to ensure all program elements are being completed. Failure to comply could lead to non-compliance citations from the DOT which could lead to monetary fines.
Environmental Health and Safety	Standards For the Management of Used Oil, 40 C.F.R Part 279	40 C.F.R Part 279			Covers the standards for used oil storage, recordkeeping, labeling, off-site shipments, recycling, etc.	
Environmental Health & Safety	Toxic Substances Control Act, 15 U.S.C. § 2601-2629	40 C.F.R. § 761	Facilities & Operations - Associate Director of EHS	Office of EHS	Regulates the use and disposal of certain chemicals, including PCBs used in electrical transformers. Must comply with regulations concerning use, service, storage, and disposal of transformers containing PCBs. The Act requires the identification, inventory, marking and quarterly inspection of PCB transformers.	15 U.S.C. § 2607; 40 C.F.R. § 761.180: A written annual document log of the disposition of PCBs and PCB items must be prepared for each facility by July 1st, covering the previous calendar year (January through December). The written annual report, which summarizes the records and annual document log shall be submitted to the EPA Regional Administrator by July 15th of each year. EHS will work with Facilities and Operations personnel to ensure any remediation conducted on Stockton properties that may involve PCB's will be properly recorded and directed by a LSRP as required.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Environmental Health & Safety	New Jersey Uniform Construction Code, N.J.A.C. 5:23-2.14(e)		Facilities & Operations - Executive Director of Facilities Planning & Constructiton	Facilities & Operations	NJ State Uniform Construction Code 5:23-2.14 states: It shall be unlawful to construct, enlarge, repair, renovate, alter, reconstruct or demolish a structure, or change the use of a building or structure, or portion thereof, or to install or alter any equipment for which provision is made or the installation of which is regulated by this chapter, or to undertake a project involving lead abatement in accordance with N.J.C.C. 5:17, without first filing an application with the Construction Official, or the appropriate Sub-code Official where the construction involves only one sub-code, in writing and obtaining the required permit therefore.	Every Year F&O administration applies for annual building permit.
Environmental Health & Safety	University Policy VI-94 -Safety Program		Facilities & Operations - Associate Director of EHS	Office of EHS	University policy that guides the University as it relates to compliance issues.	
Environmental Health & Safety	Stormwater Pollution Prevention Plan University Policy VI-81 University Procedures 6880, 6881, 6882, 6883, and 6884		Facilities & Operations - Associate Director of EHS	Office of EHS	The Public Complex Stormwater General Permit authorizes the discharge of stormwater from large publicly owned complexes such as colleges, universities, prisons and hospital complexes. Stockton must follow all applicable rules and regulations of this permit in order to maintain a compliant status.	Every year EHS personnel submit a MSRP Annual Report for its Public Complex.
Ethics	Ethics in Government Act (Amended by Ethics Reform Act and Honest Leadership and Open Government Act of 2007), 5 U.S.C. § 7353	5 C.F.R. § 2635 41 C.F.R. § 301-1.2 41 C.F.R. § 304-1.2	VP for Personnel, Labor & Government Relations	Human Resources	Members of Congress and officers and employees of the executive, legislative, and judicial branches are barred from soliciting or accepting anything of value from anyone seeking official action from, doing business with, or conducting activities regulated by the individual's employing entity or whose interests may be substantially affected by the performance or nonperformance of the individual's official duties. A private university that does not employ a lobbyist is subject to restrictions.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Ethics	House and Senate Gift Ban and Ethics Rules	Chapter 2 of House Ethics Manual	VP for Personnel, Labor & Government Relations	Human Resources	Both the House and Senate have banned gifts from registered lobbyists or private entities that retain or employ them. Non-lobbyists can give gifts valued at less than \$50, such as a meal at a briefing for a Member of Congress and their staff that is valued at less than \$50 per person.	
Ethics	State of New Jersey Uniform Ethics Code	NJSA 52:13D-23; NJAC 19:61-2.2(a)(1)	Chief Officer of Diversity & Inclusion Ethics Liaison Officer	Office of Diversity & Inclusion	The Uniform Ethics Code incorporates the Conflicts of Interest Law and Commission Rules. The UEC is the primary code of ethics for State agencies to govern and guide the conduct of State officers and employees.	Annual online ethics training
Export Controls	Arms Export Control Act, 22 U.S.C. §§ 2751-2799aa-2				Provides the authority to control the export of defense articles and services, and charges the President to exercise this authority. Executive Order 11958, as amended, delegated this statutory authority to the Secretary of State.	
Export Controls	Export Administration Act of 1979, 50 U.S.C. §§ 2401-2420	15 C.F.R. §§ 730-774			Primary statutory basis for the Export Administration Regulations, which regulate the export of certain § dual use § item, i.e. items that are capable of both civilian and military use.	
Export Controls	Foreign Assets Control Regulations 22 U.S.C. §§ 7201-7211				Foreign Assets Control Regulations of the U.S. Department of Treasury require persons subject to U.S. jurisdiction to have a license to engage in certain transactions related to travel to, from and within regulated countries.	
Export Controls	International Emergency Economic Powers Act, 50 U.S.C. §§ 1701-1707				Authorizes the President to declare the existence of an "unusual and extraordinary threat to the national security, foreign policy, or economy of the United States" that originates "in whole or substantial part outside the United States." It further authorizes the President, after such a declaration, to block transactions and freeze assets to deal with the threat. In the event of an actual attack on the United States, the President can also confiscate property connected with a country, group, or person that aided in the attack.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Export Controls	International Traffic in Arms Regulations (ITAR), 22 U.S.C. § 2778	22 C.F.R. §§ 120-130			The International Traffic in Arms Regulations govern the export of defense articles and defense services, i.e. those items with a military application. The licensing conditions for materials covered as military products and technology are set forth at 22 U.S.C. § 2778. The Department of State administers this law.	
Export Controls	Trading with the Enemy Act, 22 U.S.C. § 7201-7211	31 C.F.R. § 500			Foreign Assets Control Regulations of the U.S. Department of Treasury require persons subject to U.S. jurisdiction to have a license to engage in certain transactions related to travel to, from and within regulated countries.	
Financial Aid	Contracts with Third Party Servicers, 20 U.S.C. 1094(c) 20 U.S.C. § 1094	34 C.F.R. § 668.25	Enrollment Management - Director of Financial Aid	Office of Financial Aid	<p>An institution may enter into a contract with a third-party servicer for the administration of any aspect of the institution's participation in any Title IV program only to the extent that the servicer's eligibility to contract with the institution has not been limited, suspended, or terminated under financial aid regulations.</p> <p>An institution must notify the Department of Education whenever: (1) it enters into a new contract or significantly modifies an existing contract with a third-party servicer to administer any aspect of a Title IV program; (2) it terminates such a contract; or (3) the third-party servicer stops providing services or goes out of business.</p> <p>Upon request, an institution must provide a copy of its contracts with third-party servicers to the Department of Education.</p>	The institution must notify the Department of Education within 10 days of entering into, substantially modifying, or terminating a contract.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Higher Education Act: Aid Application Verification, Public Law No. 110-315	34 C.F.R. § 668.53	Enrollment Management - Director of Financial Aid	Office of Financial Aid	<p>The university must maintain and use written policies and procedures for verifying information contained in student aid applications.</p> <p>Policies and procedures must include: 1) The time period for applicants to provide documentation and consequences for failure to do so; 2) the school's verification requirements and method for notifying applicants of the results of the verification process; 3) how to correct erroneous application information; 4) how to make referrals to the Department of Education's Office of Inspector General for suspected criminal conduct by students in applying for aid.</p>	
Financial Aid	Higher Education Act: Audits, Public Law No. 110-315 20 U.S.C. § 1094	34 C.F.R. § 668.23	Enrollment Management - Director of Financial Aid	Office of Financial Aid	<p>The university must at least annually have an independent auditor (independent certified public accountant or a government auditor) conduct a compliance audit of its administration of that program and an audit of the institution's general purpose financial statements. An audit conducted in accordance with the Office of Management and Budget's Uniform Guidance satisfies this requirement. The audit must cover all Title IV, HEA program transactions. Fine of up to \$27,500 per violation and/or program suspension for failure to comply.</p>	The compliance audit and audited financial statements must be submitted to the Secretary no later than six months after the last day of the institution's fiscal year.
Financial Aid	Higher Education Act: Borrower Defense to Repayment 20 U.S.C. § 1087e(h)	34 C.F.R. § 685.206(c); 34. C.F.R. 685.222			<p>For loans first disbursed prior to July 1, 2017, allows a student to assert a defense to repayment of the loan if the student's institution committed an act or omission related to the making of the loan or the provision of educational services that would give rise to a cause of action against the institution under state law.</p> <p>For loans first disbursed on or after July 1, 2017, allows a student to assert a defense to repayment based on a judgment against the school, breach of contract by the school, or substantial misrepresentation by the school.</p>	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Higher Education Act: Cash Management, Public Law No. 110-315	34 C.F.R. §§ 668.161-167	Enrollment Management - Bursar; Admin and Finance	Bursar	Establishes rules and procedures institutions must follow in requesting, maintaining, disbursing, and otherwise managing most Title IV funds.	
Financial Aid	Higher Education Act: Code of Conduct, 20 U.S.C. § 1094	34 C.F.R. § 668.14	Enrollment Management - Director of Financial Aid	Office of Financial Aid	An institution that participates in Title IV programs must have a code of conduct for financial aid practices that prohibits conflicts of interest, is published prominently on the university's website, and is distributed annually to relevant personnel.	
Financial Aid	Higher Education Act: Cohort Default Rate, 20 U.S.C. § 1015a 20 U.S.C. § 1085	34 C.F.R. 668 subparts M, N, & R	Enrollment Management - Assistant Director of Financial Aid	Office of Financial Aid	Cohort default rates are used to determine institutional eligibility to participate in various Title IV programs.	
Financial Aid	Higher Education Act: Eligibility and Certification, Public Law No. 110-315 20 U.S.C. § 1099c	34 C.F.R. § 668.13	Enrollment Management - Director of Financial Aid	Office of Financial Aid	To participate in Title IV financial assistance programs the university must: 1) Obtain from the Secretary certification that it provides higher education (i.e. that it is an "eligible institution"); and 2) where the HEA program has undergone a change in ownership that results in a change in control, the university's chief administrator and its designated HEA program administrator must complete Title IV, HEA program training within 12 months of executing the program participation agreement.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Higher Education Act: Entrance and Exit Counseling, Public Law No. 110-315 20 U.S.C. § 1092		Enrollment Management - Assistant Director of Financial Aid	Office of Financial Aid	Section 488 requires exit counseling to borrowers by institutions to include information on repayment plans, debt management, and forbearance programs, among other specific information. Requires institutions to provide comprehensive information on the terms and conditions of loans and borrowers' responsibilities prior to loan disbursement to a first-time borrower. Information shall be provided in simple and understandable terms and may be provided: during an entrance counseling session conducted in person; on a separate written form provided to the borrower that the borrower signs and returns to the institution of higher education; or, online, with the borrower acknowledging receipt of the information. Institutions of higher education are encouraged to provide entrance counseling through interactive programs that test borrowers' understanding of the terms and conditions of their loans.	No deadline is set, but September 1 is suggested.
Financial Aid	Higher Education Act: Federal Supplemental Educational Opportunity Grant (SEOG) Program, Public Law No. 110-315 20 U.S.C. §§ 1070b- 1070b-4	34 C.F.R. § 676.19	Enrollment Management - Director of Financial Aid	Office of Financial Aid	To provide Federal Supplemental Educational Opportunity Grant (FSEOG) grants to exceptionally needy undergraduate students the university must: 1) Sign a Participation Agreement with ED; 2) maintain funds in accordance with 34 C.F.R. § 668.163; 3) maintain an internal control system so no office can both authorize and disburse payments; 4) maintain program and fiscal records; 5) contribute at least 25% of each grant; 6) limit and account for carry-forwards or carry-backs of funds; 7) follow the eligibility requirements and selection criteria set forth by ED; and 8) submit a Fiscal Operations Report and Application to Participate (FISAP) report each year. The university may not transfer FSEOG funds to any other program. HEOA now allows the University to transfer 25% of FSEOG to Federal Work Study.	Fiscal Operations Report and Application to Participate (FISAP) reports cover the institution's fiscal operations and request for future funding for Title IV Federal campus-based funds (SEOG, Perkins Loans, Work-study, and Federal Pell Grants. Due by September 30 each year.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Higher Education Act: Federal Work Study, Public Law No. 110-315 42 U.S.C. §§ 2751-2757	34 C.F.R. § 675	Enrollment Management - Assistant Director of Financial Aid	Office of Financial Aid	Generally, under the Federal Work Study Program (FWS), the university or the employing agency must pay 25% of the student's salary. The university must pay federal or state minimum wage, whichever is higher, for all hours worked, per the Fair Labor Standards Act. Volunteered time does not qualify. The university must use 7% of FWS allocation to employ students in community service, one of whom must be a reading tutor. The university must make students aware of community service opportunities. Private, for-profit entities do not qualify as employers for community service. Students may work during non-attendance if planning to return the following semester, but if they do not do so the university must demonstrate it had reason to believe the student would return. To apply for Title III or Title V designation, and thus be eligible for a waiver of the FWS and Federal Supplemental Education Opportunity Grant (FSEOG) non-federal share requirements, an institution must complete the "Application for Designation as an Eligible Institution" annually through the Department of Education.	Fiscal Operations Report and Application to Participate (FISAP) reports cover the institution's fiscal operations and request for future funding for Title IV Federal campus-based funds (SEOG, Perkins Loans, Work-study, and Federal Pell Grants. Due by September 30 each year. The University must reconcile reported student earnings to complete Department of Education Fiscal Operations Report (Form 646-1) at the end of the academic year.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Higher Education Act: Information Distributed to Students, Public Law No. 110-315 20 U.S.C. § 1092	34 C.F.R. §§ 668.41-668.49	Enrollment Management - Assistant Director of Financial Aid	Office of Financial Aid	Annually the institution must distribute to all enrolled students a notice of availability of the following: 1) financial assistance available; 2) institutional information (e.g., cost of attendance including tuition, room, board, books and transportation; refund policy; description of academic programs and facilities; withdrawal requirements, facilities for the disabled; names of accrediting or licensing entities); 3) retention, completion, graduation, and transfer-out rates; 4) employment and graduate school enrollment information for graduates of the institution's degree programs; 5) annual security report; 6) report on athletic program participation rates and financial support data; 7) FERPA notice regarding how to obtain student information. The foregoing must also be made available to prospective students upon request. Notice may be given online.	No deadline for disclosures to enrolled students is set, but September 1 is suggested.
Financial Aid	Higher Education Act: Net Price Calculator, 20 U.S.C. § 1015a 20 U.S.C. § 1015		Enrollment Management - Director of Financial Aid	Office of Financial Aid	Any institution that receives Title IV funds must post on the institution's website a net price calculator to help current and prospective students estimate their individual net price at that institution as well as other financial aid information. Any institution that appears on the Department of Education's list of institutions with the largest percentage increase in tuition and fees or net price over the most recent three academic years must submit a report to the Department that includes the reason for the increase and the steps that will be taken to reduce cost.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Higher Education Act: Penalties for Drug Violations, 20 U.S.C. 1092(k)	34 C.F.R. § 668.40	Enrollment Management - Director of Financial Aid	Office of Financial Aid	An institution must provide to each student (at time of enrollment) a written notice that advises the student that a conviction for any drug offense while receiving Title IV aid will result in a loss of eligibility for any Title IV, HEA grant, loan or work-study assistance. For individuals who have lost eligibility, an institution must provide them with a written notice of Title IV eligibility loss that advises the student of the ways in which Title IV eligibility may be regained.	No deadline is mandated, but September 1 is suggested.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Higher Education Act: Perkins Loans, Public Law No. 110-315 20 U.S.C. §§ 1087aa-1087ii	34 C.F.R. § 674.19			Perkins Loans are not currently supported or funded by the federal government, and are self-sustaining only. Authorization of additional appropriations for the Federal Perkins Loan program beyond FY2015 is prohibited. The university must: 1) Make loans first to students with exceptional need; 2) provide assurances that thorough and adequate loan information is provided to student borrowers; and 3) enter into cooperative agreements with credit bureaus to exchange information concerning student borrowers. At or prior to making a Perkins Loan the university must disclose thorough and adequate loan information including: 1) Name of institution of higher education and payment address; 2) principal loan amount and interest rate; 3) charges collected at or prior to disbursement and whether deducted from the loan or paid separately by borrower; 4) yearly and cumulative maximum amounts that may be borrowed; 5) when repayment is required and when accrued interest must be paid; 6) minimum and maximum repayment term, minimum monthly payment; 7) definition of default and consequences, and default penalty; 8) total cumulative balance and projected monthly payment; 9) options for consolidation or refinancing; 10) right to prepay without penalty and deferral options; 11) effect of loan on eligibility for other aid; 12) cost to borrower in making loan; and 13) a notice and explanation regarding the end to future availability of the loan made under this part. An institution was able to make loans to an eligible undergraduate borrower under the Perkins program through September 30, 2016, provided that the institution had already awarded all Federal Direct Loans for which the student was eligible. Through March 31, 2018, an institution may continue to disburse Perkins Loans to an eligible graduate student to enable the student to continue or complete an academic program, provided that the student received a Perkins loan for an academic	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Higher Education Act: PLUS Loans, Public Law No. 110-315 20 U.S.C. § 1078-2	34 C.F.R. § 682	Enrollment Management - Director of Financial Aid	Office of Financial Aid	PLUS Loans are available to the parents of eligible students through the FDLP (Direct) or FFEL (private) program, but not both. If applications are made for an FFEL PLUS loan, the University must: 1) Verify the parent's immigration status and social security number in the same manner verified for students; 2) extend PLUS loans only to parents who do not have an adverse credit history; 3) extend such loans on the same terms, conditions and benefits as other FFEL loans; 4) for any academic year, limit the loan amount to the student's estimated cost of attendance minus other financial aid; and 5) be disbursed to the institution electronically or co-payable to the school and parent. Graduate/professional degree students are eligible to borrow under the PLUS Loan Program up to their cost of attendance minus other estimated financial assistance in both the FFEL and Direct Loan Program. The terms and conditions applicable to Parent PLUS Loans apply to Graduate/Professional PLUS loans.	No deadline is set, but September 1 is suggested.
Financial Aid	Higher Education Act: Preferred Lenders, Public Law No. 110-315 20 U.S.C. § 1094(h)	34 C.F.R. § 601.10			The university may maintain a preferred vendor list so long as it is not used to deny or impede a borrower's choice of lenders, offers three or more lenders not affiliated with one another, and doesn't include lenders who have offered financial or other benefits to be included on the list. The university must disclose to borrowers the method and criteria used to select preferred lenders, and offer comparative information to borrowers about each lender's benefits. The university must include in its preferred lender materials a prominent statement that borrowers are not required to use any lender on the list, and may not delay award certification because a preferred lender is not used. The preferred lender list and associated information must be updated annually.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Higher Education Act: Program Participation Agreements, 20 U.S.C. § 1094	34 C.F.R. § 668.14	Enrollment Management - Director of Financial Aid	Institutional Research and Decision Support	<p>An institution must enter into a written program participation agreement with the Department of Education in order to participate in any Title IV, HEA program (other than the LEAP and NEISP programs). The written program participation agreement requires that the university, among other things: (1) Maintain administrative and fiscal procedures for proper and efficient administration of program funds; (2) demonstrate financial responsibility and administrative capability; (3) make voter registration forms widely available to enrolled students at the institution (either by email or regular email); (4) in the case of an institution that advertises job placement rates to attract students, make available to prospective students the most recent available employment statistics and state licensing requirements, (5) in the case of an institution participating in the FFEL or Direct Loan programs, inform all eligible borrowers enrolled in the institution about the availability and eligibility of such borrowers for state grant assistance from the state in which the institution is located, and will inform such borrowers from another state of the source for further information concerning such assistance from that state, and (6) certify that it has a drug abuse prevention program available to everyone, a campus security policy, and that it is in compliance with athletic program participation rate and financial support data disclosures. Under the written program participation agreement the university is prohibited from engaging in the following activities: (1) Charging students fees for processing program eligibility applications, forms or data; (2) knowingly employing or contracting with individuals or entities in any capacity involving administration of HEA programs if they have been found to have committed fraud or other violations involving federal/state/local funds; (3) penalizing or denying students access because of inability to meet financial obligations resulting from</p>	<p>The institution must publish and make readily available to current and prospective students information on the entire federal, state, local, private, and institutional financial assistance programs available to students who enroll at the institution. Institutional information must also be made available as well. Although no deadline is specifically enumerated, September 1st is suggested.</p> <p>The institution should request the voter registration forms from the state at least 120 days before the deadline to register to vote.</p> <p>Employment statistics and state licensing requirements, if required, must be provided to prospective students at or before the time they apply.</p>

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Higher Education Act: Record Retention, Public Law No. 110-315	34 C.F.R. § 668.24	Enrollment Management - Director of Financial Aid	Office of Financial Aid	<p>The university must maintain any application for Title IV, HEA program funds and program records that document:</p> <ol style="list-style-type: none"> 1) Its eligibility to participate and eligibility of its programs to receive funds; 2) its administration of the HEA programs per applicable requirements; 3) its financial responsibility; 4) information included in any application for program funds; and 5) its disbursement and delivery of program funds. <p>The university must maintain the following financial information:</p> <ol style="list-style-type: none"> 1) The Student Aid Report (SAR) or Institutional Student Information Record (ISIR); 2) application data submitted on behalf of the student or parent; 3) documentation of each student's or parent borrower's eligibility for and receipt of program funds and loan detail; 4) documentation of and information collected at initial or exit loan counseling; 5) reports and forms used by the University in participating in an HEA program, and any records needed to verify data in those reports and forms; and 6) documentation supporting calculations of the University's completion or graduation rates. <p>The university must keep records relating to administration of the Federal Perkins Loan, FWS, FSEOG, or Federal Pell Grant Program for three years after the end of the award year for which the aid was awarded and disbursed. The university must keep records relating to a student or parent borrower's eligibility and participation in the FFEL or Direct Loan Program for three years after the end of the award year in which the student last attended the institution. All other records relating to the University's participation in the FFEL or Direct Loan Program must be kept for three years after the end of the award year in which the records are submitted. Records pertaining to any loan, claim, or expenditure questioned by a program audit, review, or investigation must be kept until resolution or the end of the applicable retention period, whichever is later.</p>	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Higher Education Act: Standard of Conduct, Public Law No. 110-315	34 C.F.R. § 668.82	Enrollment Management - Director of Financial Aid	Office of Financial Aid	The university acts as a fiduciary in administering Title IV, HEA programs. Failure to administer the program or account for the funds received under that program in accordance with the highest standard of care and diligence constitutes grounds for: 1) An emergency action; 2) a fine (up to \$27,500 per violation); or 3) limitation, suspension, or termination of the institution's participation in that program.	
Financial Aid	Qualified Tuition and Student Loan Interest Reporting, 26 U.S.C. § 6050S	26 C.F.R. § 1.6050S-1 26 C.F.R. § 1.6050S-2 26 C.F.R. § 1.6050S-3 26 C.F.R. § 1.6050S-4	Enrollment Management - Bursar	Bursar	Institutions must report (1) qualified tuition and related expenses and (2) student loan interest to the IRS. Institutions must also provide payors with a statement that includes the tax information furnished to the IRS.	<p>Institutions must complete Form 1098-T (qualified tuition payments) and Form 1098-E (student loan interest payments), both of which must be filed with the IRS on or before February 28th, or March 31st if filed electronically.</p> <p>The required statement to all persons who made qualified tuition or student loan interest payments must be sent to the payor on or before January 31st of the year following the calendar year in which payments were received or amounts were billed for qualified tuition and related expenses, or in which the student loan interest payments were received. The statement may simply be a copy of Form 1098-T or Form 1098-E, respectively.</p> <p>Institutions must certify that they have met the regulatory requirements for soliciting student taxpayer identification numbers (TINs) at least once during the year.</p>
Financial Aid	Student Loan Default Prevention Initiative Act of 1990, 20 U.S.C. §§ 1001-1019d	34 C.F.R. § 675 34 C.F.R. § 676	Enrollment Management - Director of Financial Aid	Office of Financial Aid	Renders institutions with high default rates on student loans ineligible to participate in certain student loan programs.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Student Right to Know Act, Public Law No. 101-542 20 U.S.C. § 1092	34 C.F.R. § 668.4134 C.F.R. § 668.4534 C.F.R. § 668.48	Enrollment Management - Director of Financial Aid	Office of Financial Aid	<p>The University must have full time financial aid staff to assist students. University must make readily available upon request, through publications, mailings and electronic media, to enrolled and prospective students: 1) Financial aid programs available; 2) methods by which assistance is distributed among recipients; 3) means and requirements for applying; 4) rights and responsibilities when receiving aid; 5) cost of attendance; 6) refund policy, and grant return and withdrawal requirements; 7) the academic degree program; 8) names of financial aid personnel; 9) handicapped facilities; 10) names of accrediting entities; 11) academic standards; 12) graduation rates; 13) loan deferral and cancellation terms; 14) applicability of aid for study abroad; and 15) campus crime report. Annually the University must provide a list of this info to all enrolled students with the procedures for obtaining it. The University also must provide exit counseling for borrowers under this section. Annually the University must prepare the completion or graduation rate of its certificate or degree-seeking, full-time undergraduate students. As a member of an athletic conference, however, the Secretary of Education allows this requirement to be satisfied by the NCAA report to prospective student athletes, their coaches, parents and guidance counselors regarding completion or graduation rates for student athletes. The University must publish this data by July 1st, and the Spring IPEDS reporting satisfies that deadline.</p>	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Financial Aid	Title IX of the Education Amendment of 1972, 20 U.S.C. §§ 1681-1688	DOJ: 28 C.F.R. §§ 42.201-42.215 ED: 34 C.F.R. § 106 EEOC: 29 C.F.R. § 1604 HHS: 45 C.F.R. § 86	Enrollment Management - Director of Financial Aid	Office of Financial Aid	When a recipient provides financial assistance to any student participating in an educational program or activity, the recipient must ensure that it does not provide different types or amounts of assistance, limit eligibility for such assistance, apply different criteria, or otherwise discriminate in the provision of financial assistance on the basis of sex. Any grievance records relating to a Title IX violation or complaint must be retained for the period of time cited in state law for personal injury actions.	Student Affairs?
Financial Aid	Higher Education Act: Financial Responsibility Requirements, 20 U.S.C. § 1094		Enrollment Management - Director of Financial Aid	Office of Financial Aid	Provides that institutions participating in the U.S. Department of Education's Title IV programs must be financially responsible as determined by the Secretary Requires institutions to notify the U.S. Department of Education within specified timeframes if certain events, actions, or conditions occur, on or after July 1, 2017, that could affect the institution's financial responsibility	
Financial Aid	Higher Education Act: Code of Conduct, 20 U.S.C. § 1094	34 C.F.R. § 668.14	Director of Financial Aid	Office of Financial Aid	An institution that participates in Title IV programs must have a code of conduct for financial aid practices that prohibits conflicts of interest, is published prominently on the university's website, and is distributed annually to relevant personnel.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Fundraising & Development	Controlling the Assault of Non-Solicited Pornography And Marketing Act of 2003 (CAN-SPAM Act), 15 U.S.C. §§ 7701-7713	16 C.F.R. § 316	Office of the President - Chief Development Officer	University Foundation	Prohibits the inclusion of deceptive or misleading information and subject headings, requires identifying information such as a return address in email messages, and prohibits sending emails to a recipient after an explicit response that the recipient does not want to continue receiving messages. In addition to bulk email, the law covers all commercial messages, which it defines as "any electronic mail message the primary purpose of which is the commercial advertisement or promotion of a commercial product or service" Each separate email in violation of the CAN-SPAM Act is subject to penalties of up to \$16,000.	
Fundraising & Development	Higher Education Act: Foreign Gift and Contract Reports 20 U.S.C. § 1011f		Office of the President - Chief Development Officer VP for Admin & Finance	University Foundation Admin & Finance	Whenever an institution is owned or controlled by a foreign source, or receives gifts from or enters into contracts with a foreign source totaling more than \$250,000 within a calendar year, the institution shall file a disclosure report with the Secretary of Education on January 31 or July 31, whichever is sooner.	
Fundraising & Development	Internal Revenue Code: Substantiation and Disclosure Provisions, 26 U.S.C. § 170		Office of the President - Chief Development Officer	University Foundation	Substantiation and disclosure provisions apply to contributions made to tax-exempt organizations after December 31, 1993. For charitable contributions of \$250 or more, the donor must receive a contemporaneous written acknowledgment from the organization of the gift. The acknowledgment should note the amount of any cash contribution and, if the donation is in the form of property, the acknowledgment must describe, but need not value the property. Valuation of the property is the responsibility of the donor.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Fundraising & Development	Pension Protection Act, 26 U.S.C. § 170		Office of the President - Chief Development Officer	University Foundation	<p>No deduction will be allowed for the donor for a contribution of \$250 or more (whether in cash or property) unless the donor has a contemporaneous written acknowledgment from the university substantiating the contribution.</p> <p>The university must provide a written disclosure statement to the donor(s) who make payments described as quid pro quo contributions in excess of \$75.</p>	
Fundraising & Development	Philanthropy Protection Act of 1995, Public Law No. 104-62		Office of the President - Chief Development Officer	University Foundation	<p>Requires the university to provide a disclosure statement to all annuitants in a Gift Annuity Fund and also to provide the same to all prospective donors at the time of solicitation, using a letter or pamphlet format.</p> <p>Prohibits the payment of commissions or remuneration to anyone based on the value of a charitable gift annuity given to a public charity.</p>	
Governance	Federal Sentencing Guidelines, 18 U.S.C. chapters 227-235 28 U.S.C. chapter 58	2016 Guidelines Manual	General Counsel	Office of General Counsel	<p>The guidelines at §8B2.1 set forth the requirements for an effective compliance and ethics program for organizations. Organizations are vicariously liable under federal criminal law for acts committed by their agents. The definition of "organization" at 18 U.S.C. §18 includes non-profits such as a university.</p>	
Governance	Internal Revenue Service: Governance Information Required on Form 990,		Vice President for Admin & Finance	Admin & Finance	The IRS asks 501(c)(3) organizations about their management and governance practices on the Form 990.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Grants Management	Byrd Amendment, 31 U.S.C. § 1352	32 C.F.R. § 28 34 C.F.R. § 82.100	VP for Admin and Finance - University Controller	Office of Fiscal Affairs	<p>Prohibits grantees from lobbying with federal funds.</p> <p>Requires disclosure of lobbying activities when receiving federal contracts, grants, loans or cooperative agreements.</p>	<p>Requires certification and disclosure with each submission for consideration of a federal contract, grant or cooperative agreement exceeding \$100,000 or an award of a federal loan or commitment providing for the U.S. to insure or guarantee a loan exceeding \$150,000.</p> <p>Federal contractors, grantees and those receiving federal loans and cooperative agreements must also report lobbying expenditures from non-federal sources which they used to obtain such federal program monies or contracts.</p>
Grants Management	Department of Education General Administrative Regulations and Other Applicable Grant Regulations,	34 C.F.R. §§ 75-79, 81-86, and 97-99	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	<p>The Department of Education's General Administrative Regulations (EDGAR) regulate the administration of grants and agreements with certain programs, including direct grant programs, state administered programs, drug and alcohol abuse prevention programs, and research involving human subjects. For awards made prior to 12/26/2014, EDGAR parts 74 and 80 (related to administration of grants and agreements with institutions of higher education and with state and local governments) still apply (to view prior versions of the CFR and for additional explanation, visit here). For awards made on or after 12/26/2014, 2 CFR Part 200, which includes the substance formerly in parts 74 and 80, applies.</p>	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Grants Management	False Claims Act, 31 U.S.C. §§ 3729-3733		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	A person does not violate the False Claims Act by submitting a false claim to the government; to violate the FCA a person must have submitted, or caused the submission of, the false claim (or made a false statement or record) with knowledge of the falsity. Defines a claim as a demand for money or property made directly to the Federal Government or to a contractor, grantee, or other recipient if the money is to spend on the government's behalf and if the Federal Government provides any of the money demanded or if the Federal Government will reimburse the contractor or grantee.	
Grants Management	Federal Awardee Performance and Integrity Information System (FAPIS), Public Law No. 110-417, § 872		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Federal Awardee Performance and Integrity Information System (FAPIS) is a federally-mandated information system that contains specific information on the integrity and ethical performance of covered Federal contractors and grantees. The University must disclose certain ethical and performance information (such as criminal, civil and administrative findings against specific individuals) at the proposal stage for use by federal acquisition professionals in award and responsibility determinations. The Past Performance Information Retrieval System (PPIRS) is the mechanism for that reporting.	
Grants Management	Federal Funding Accountability and Transparency Act of 2006 (FFATA), Public Law No. 109-282		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	The Act requires full disclosure to public of all entities/orgs receiving federal funds via single searchable website accessible to public at no cost (www.USASpending.gov). For each award the University must include: 1) Name of receiving entity; 2) amount; 3) transaction type, funding agency and program source; 4) location of recipient entity and primary location of performance; 5) reporting on executive compensation for first-tier sub award recipients; and 6) unique recipient entity identifier. Reporting requirements apply to vendors as well as sub-grantees.	Reporting must occur in the month following the date of full execution of the sub-award (as determined by the University).

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Grants Management	Fraud Enforcement and Recovery Act of 2009 (FERA), Public Law No. 111-21		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	<p>The Act clarifies that the False Claims Act was intended to cover to any false or fraudulent claim for government money or property, regardless of whether the claim is presented to a government official or employee, whether the government has physical custody of the money, or whether the defendant specifically intended to defraud the government.</p> <p>FERA also expands the False Claims Act provisions to sub-recipients of federal funds.</p>	
Grants Management	Department of Health and Human Services Grants Policy Statement,		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	<p>Intended to make available in a single document the general terms and conditions of HHS discretionary grant and cooperative agreement awards. This policy statement applies only to HHS discretionary grant programs and only to awards to organizational entities made by Operating Divisions other than the National Institutes of Health (NIH). It does not apply to awards under mandatory grant programs (e.g., entitlement programs) or to awards made directly to individuals (e.g., scholarships).</p>	
Grants Management	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance, Super Circular, or Omni Circular)	2 C.F.R. Part 200	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	<p>The Uniform Guidance streamlines and consolidates the federal government's guidance on administrative rules, cost principles, and audit requirements for federal awards (including sponsored research awards and others awarded to institutions) across the entire federal government. Also requires disclosures of potential conflicts of interest or criminal violations.</p> <p>The Uniform Guidance, which supersedes current OMB Circulars A-110, A-21, A-122, and A-133 (among others), became effective upon each federal agency's promulgation of implementing regulations, and no later than December 26, 2014. New audit requirements apply to grantee fiscal years beginning on or after December 26, 2014.</p>	<p>Higher education institutions that receive aggregate federal awards totaling \$50 million or more per fiscal year must disclose their cost accounting practices by filing a Disclosure Statement (DS-2), and amendments to the DS-2 must be filed six months in advance of a disclosed practice being changed.</p>

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Grants Management	U.S. Department of Justice policies	DOJ policies	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	The Office of Legal Policy (OLP) acts as the principal liaison between the rulemaking components of the Department of Justice, the Office of Information and Regulatory Affairs at the Office of Management and Budget, and other federal agencies. OLP coordinates the regulatory development and the review of virtually all regulations and rule-related notices developed by all Department components.	
Grants Management	University Policy I-98 - Grant Applications and Management		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Establishes the policy concerning all grant applications	
Grants Management	University Policy I-99 - Effort Reporting and Certification for Grants, Contracts and Other Sponsored Agreements (OSRP)		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Establishes policy regarding effort reporting on sponsored projects.	
Grants Management	University Procedure 1097 - Research Participant Payment Process		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Establishes procedures regarding payments to research study participants.	
Grants Management	University Procedure 6700 - Grants and Contracts Cost Sharing (Mathcing)		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Provides procedure for proposing and contributing cost share on externally funded grants and contracts.	
Grants Management	University Procedure 6701 - Grants and Contracts Cost Transfer		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	The purpose of this procedure is to specify means of ensuring that transfers of expenses (salary and non-salary) involving an externally funded grant or contract are in compliance with the sponsor's terms and conditions, federal and state regulations, and University policies and procedures.	

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Health Care & Insurance	Controlled Substances Act, 21 U.S.C. §§ 801-889	21 C.F.R. § 1300		Student Affairs	<p>"Regulates the manufacture and distribution of narcotics, stimulants, depressants, hallucinogens, anabolic steroids, and chemicals used in the illicit production of controlled substances.</p> <p>All substances are placed in one of five schedules, based on medicinal value, harmfulness, and potential for abuse or addiction, with Schedule 1 reserved for the most dangerous drugs that have no recognized medical use.")</p>	By January 15, qualifying entities must submit to the Attorney General an annual report of controlled substances in stock and quarterly reports of acquisition and distribution of controlled substances.
Health Care & Insurance	HIPAA, Public Law No. 104-191	45 C.F.R. § 160 45 C.F.R. § 164		Student Affairs	<p>Establishes national standards to protect individuals' medical records and other personal health information.</p> <p>Requires appropriate safeguards to protect the privacy of personal health information, and sets limits and conditions on the uses and disclosures that may be made of such information without patient authorization.</p> <p>Gives patients rights over their health information, including rights to examine and obtain a copy of their health records, and to request corrections.</p>	Health plans must provide a Notice of Privacy Policy to enrollees once every three years and when there is a change to the policy.
Health Care & Insurance	Higher Education Opportunity Act, Public Law No. 110-315			Student Affairs	Section 488: Requires institutions to disclose policies on all vaccinations.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Housing	Americans with Disabilities Act, 42 U.S.C. §§ 12101-12213		Student Affairs - Residential Life - Assistant Director of Residential Life	Student Affairs - Residential Life	<p>"Requires reasonable accommodations to allow a qualified person with a disability to participate fully in the programs and activities of the university.</p> <p>Requires that universities ensure that no individual with a disability is discriminated against on the basis of a disability in the full and equal enjoyment of the universities services and facilities, including university housing.</p> <p>Enforced by multiple federal agencies, including the Department of Justice, Department of Labor, and the EEOC.")</p>	The assistant director of residential life meets regularly with the learning access office and collaborates to accommodate students requests once evaluated by the learning access office.
Housing	Section 504 of The Rehabilitation Act of 1973, 29 U.S.C. § 793	34 C.F.R. § 104 45 C.F.R. § 84	Student Affairs - Residential Life - Assistant Director of Residential Life	Student Affairs - Residential Life	<p>"Prohibits discrimination on the basis of disability at any federally-funded institution. This covers admissions, recruitment, educational and/or academic programs and services.</p> <p>A recipient that provides housing to its able-bodied students shall provide comparable, convenient, and accessible housing to students with disabilities at the same cost as to others.</p> <p>If an existing facility is not accessible, redesign of equipment, reassignment of classes or other services to accessible buildings is an alternative to new construction.</p> <p>Newly constructed facilities must be readily accessible to persons with disabilities.</p> <p>Each facility or part of a facility which is altered in a manner that affects or could affect the usability of the facility or part of the facility shall, to the maximum extent feasible, be altered in such manner that the altered portion of the facility is readily accessible to and usable by persons with disabilities.")</p>	Residential life does not discriminate in assigning students. Residential life does offer specialized housing such as graduate, veteran, non-traditional, and themed living communities that are optional. Students may choose housing options that best suit them.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Housing	Title IX of the Education Amendment of 1972, 20 U.S.C. §§ 1681-1688	DOJ: 28 C.F.R. §§ 42.201-42.215 ED: 34 C.F.R. § 106 EEOC: 29 C.F.R. § 1604 HHS: 45 C.F.R. § 86	Associate Vice Provost, Student Affairs	Equity and Access Services	Under the Title IX common rule, a recipient may not apply different rules or regulations, impose different fees or requirements, or offer different services or benefits related to housing based on sex. However, a recipient may provide separate housing on the basis of sex if such housing is both proportionate in quantity to the number of students of each sex applying for the housing and comparable in quality and cost to the student. Any grievance records relating to a Title IX violation or complaint must be retained for the period of time cited in state law for personal injury actions.	
Human Resources	Health Insurance Portability and Accountability Act, 45 C.F.R. 164.520c(1)	45 C.F.R. 164.520c(1)			Requires self-funded employee health plans (including those offered by colleges and universities) to comply with specified provisions of HIPAA, including requirements to protect enrollee information and to train employees administering the plan.	Not Applicable
Human Resources	NSF grant term and condition, September 21, 2018, 83 Fed. Reg. 47940	83 Fed. Reg. 47940	EAS/Sponsored Programs	Sponsored Programs	National Science Foundation new term and condition requires recipients of NSF awards to notify NSF of any findings/determinations of sexual harassment, other forms of harassment, of sexual assault regarding an NSF-funded PI or co-PI.	
Human Resources: Discrimination	Age Discrimination Employment Act of 1967, 29 U.S.C. §§ 621-634 University Policy VI-28 - Policy Prohibiting Discrimination in the Workplace	29 C.F.R. §§ 1625-1627	Chief Officer for EEO/Compliance	Equal Opportunity & Institutional Compliance	It is unlawful for the University to fail to hire, discharge, segregate, classify, or otherwise discriminate against any individual with respect to compensation, terms, conditions or privileges of employment because of age.	Upon Hiring & Annually thereafter in the Spring. Training offered through Vector Solutions - Owned by EEO/Compliance and administered by OHR.
Human Resources: Discrimination	Americans with Disabilities Act, 42 U.S.C. §§ 12101-12213 University Policy I-67 - Disability, Assessibility & Reasonable Accommodations	29 C.F.R. § 1630	Chief Officer for EEO/Compliance	Equal Opportunity & Institutional Compliance	Prohibits covered entities from discriminating on the basis of disability against a qualified individual in regard to recruitment, hiring, wages, promotion, and other employment-related matters. Enforced by multiple federal agencies, including the Department of Justice, Department of Labor, and the EEOC.	

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Human Resources: Discrimination	Equal Employment of Veterans, 38 U.S.C. §§ 4211-4215	41 C.F.R. § 60-250.5	AVP for Human Resources	Human Resources	<p>For federal subcontracts of \$100,000 or more the University shall include in each of its subcontracts a clause that the subcontractor will not discriminate against any employee or applicant for employment because he or she is a special disabled veteran, veteran of the Vietnam era, recently separated veteran, or other protected veteran in regard to any position for which the employee or applicant for employment is qualified.</p> <p>The university must agree to take affirmative action to employ and advance qualified individuals without discrimination based on such status.</p>	
Human Resources: Discrimination	Equal Employment Opportunity, Executive Order 11246 (OFCCP)	41 C.F.R. § 60-1.4	Talent & Acquisition Team	Human Resources	<p>Federal contractors must not discriminate in employment decisions on the basis of race, religion, color, sex, or national origin.</p> <p>Covered institutions must take affirmative action to ensure applicants are treated without regard to such factors.</p>	Internal reporting provided to the Hiring Department and Employee's nomination file
Human Resources: Discrimination	Genetic Information Non-Discrimination Act of 2008, Public Law No. 110-233	29 C.F.R. § 1635	AVP for Human Resources	Human Resources	Under Title II of GINA, it is illegal to discriminate against employees or applicants because of genetic information.	

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Human Resources: Discrimination	Lilly Ledbetter Fair Pay Act of 2009, Public Law No. 111-2		AVP for Human Resources	Human Resources	<p>An individual subjected to compensation discrimination under Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, or the Americans with Disabilities Act of 1990 may file a charge within 180 (or 300) days of any of the following: 1) when a discriminatory compensation decision or other discriminatory practice affecting compensation is adopted; 2) when the individual becomes subject to a discriminatory compensation decision or other discriminatory practice affecting compensation; or 3) when the individual's compensation is affected by the application of a discriminatory compensation decision or other discriminatory practice, including each time the individual receives compensation that is based in whole or part on such compensation decision or other practice.</p> <p>The Act has a retroactive effective date of May 28, 2007, and applies to all claims of discriminatory compensation pending on or after that date.</p>	
Human Resources: Discrimination	The Equal Pay Act of 1963, 29 U.S.C. § 206(d)	29 C.F.R. § 1620 29 C.F.R. § 1621 29 C.F.R. § 1604	AVP for Human Resources	Human Resources	Prohibits sex-based wage discrimination between men and women in the same establishment who perform jobs that require substantially equal skill, effort and responsibility under similar working conditions.	

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Human Resources: Discrimination	<p>The Family and Medical Leave Act of 1993, 29 U.S.C. §§ 2601-2654</p> <p>University Policy VI-27 - Leaves of Absence</p>	29 C.F.R. § 825	AVP for Human Resources	Human Resources	<p>Entitles eligible employees of covered employers to take unpaid, job-protected leave for specified family and medical reasons with continuation of group health insurance coverage under the same terms and conditions as if the employee had not taken leave.</p> <p>The University must permit a ""spouse, son, daughter, parent, or next of kin"" to take up to 26 workweeks of leave to care for a member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness.</p>	Pension & Benefits staff attend training sessions offered as updates are made to the FMLA process/procedures as part of professional development
Human Resources: Discrimination	Title IX of the Education Amendment of 1972, 20 U.S.C. §§ 1681-1688	29 C.F.R. § 1604	Chief Officer for EEO/Compliance	Equal Opportunity & Institutional Compliance	<p>Prohibits discrimination on the basis of sex in education programs or activities receiving federal financial assistance, including employment.</p> <p>Any grievance records relating to a Title IX violation or complaint must be retained for the period of time cited in state law for personal injury actions.</p>	<p>Discrimination Awareness in the Workplace - Training - Upon Hiring and annually thereafter in the Spring</p> <p>* Title IX & Sexual Harassment Prevention for Employees - Training - Upon Hiring and Annually thereafter in the Fall</p>

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Human Resources: Discrimination	Title VII of the Civil Rights Act of 1964, 42 USC U.S.C. §§ 2000e-2000e-17	DOJ: 29 C.F.R. § 42.101-112 DOL: 41 C.F.R. § 60-1.1-60.1.47	Chief Officer for EEO/Compliance	Equal Opportunity & Institutional Compliance	<p>Title VII prohibits discrimination in hiring, firing, training, promotion, discipline, or other workplace decisions on the basis of an employee or applicant's race, color, sex, national origin, or religion.</p> <p>Sexual harassment is also prohibited under this law.</p> <p>Allows for compensatory and punitive damages and jury trials when intentional employment discrimination can be shown with respect to one of the Title VII protected classes or with respect to protection offered by the Americans with Disabilities Act or the Rehabilitation Act.</p> <p>Prohibits discrimination on the basis of pregnancy, childbirth, or related illness in employment opportunities, health or disability insurance programs, or sick leave plans.</p>	
Human Resources: Discrimination	Uniformed Services Employment and Reemployment Rights Act (USERRA), 38 U.S.C. § 4301-4335	5 C.F.R. § 353	Director, Employee Relations	Human Resources	<p>Seeks to ensure that members of the uniformed services are entitled to return to their civilian employment upon completion of their service.</p> <p>Qualified employees must be reinstated with the seniority, status, and rate of pay they would have obtained had the"y remained continuously employed by their civilian employer.</p> <p>The law also protects individuals from discrimination in hiring, promotion, and retention on the basis of present and future membership in the armed services.</p>	

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Human Resources: Employee Benefits	Cafeteria Plan Regulations 26 U.S.C. § 125	26 C.F.R. § 1.125-4	Manager for University Pension & Benefits	Human Resources - Pension & Benefits	<p>A cafeteria plan is a written plan that allows employees to exclude from gross income certain types of employer provided benefits, such as accident and health insurance, group term and life insurance, and benefits under a dependent care assistance program.</p> <p>Qualified scholarships or tuition reduction, educational assistance or deferred compensation may not be excluded from income.</p> <p>For purposes of determining the taxable year of inclusion, any benefit described in paragraph (1) or (2) from the statute shall be treated as received or accrued in the taxable year of the participant or key employee in which the plan year ends.</p>	
Human Resources: Employee Benefits	Consolidated Omnibus Budget Reconciliation Act (COBRA)	Public Law No. 99-272	Manager for University Pension & Benefits	Human Resources - Pension & Benefits	Enables employees and their families to continue health care coverage under an employer's group health plan even after they experience an event that would otherwise end their coverage (e.g. layoff, termination, decrease in hours, divorce, etc.).	
Human Resources: Employee Benefits	Employee Retirement Income Security Act of 1974 (ERISA) 29 U.S.C. § 18	29 C.F.R. § 2560	Manager for University Pension & Benefits	Human Resources - Pension & Benefits	<ul style="list-style-type: none"> · Sets minimum standards for participation, vesting, benefit accrual and funding pension plans. · Requires employers to regularly provide participants with information about the plan including information about plan features and funding. · Requires accountability of plan fiduciaries and gives participants the right to sue for benefits and breaches of fiduciary duty. 	The administrator of the University's employee benefit plan must file IRS Form 5500 by the last day of the seventh month after the plan year ends (July 31 for a calendar-year plan).

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Human Resources: Employee Benefits	Medicare, Medicaid, and SCHIP Extension Act of 2007	Public Law No. 110-173	Manager for University Pension & Benefits	Human Resources - Pension & Benefits	The University, as a provider of self-insured group health and worker's compensation plans, must determine whether a claimant is entitled to benefits under Medicare on any basis, and if so, must submit to the Secretary of the Department of Health and Human Services the claimant's identity and other information (e.g. SSNs, date of birth, sex, and address) specified by the Secretary for coordination of benefits and recovery claims purposes.	The University must have an authorized representative who is legally responsible and signs a contract with the government, and also an account manager (must be a different person) who is collecting data and reporting on a quarterly basis. \$1,000 per day civil penalty for each claimant for whom information should have been submitted, but was not.

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Human Resources: Employee Benefits	Patient Protection and Affordable Care Act Public Law No. 111-148 42 U.S.C §§ 18001-18122	26 C.F.R. § 1 26 C.F.R. § 54 26 C.F.R. § 301	Manager for University Pension & Benefits	Manager for University Pension & Benefits	<p>Beginning in 2015, under IRC 4980H applicable large employers (generally those with 50 or more employees) must pay a tax penalty if</p> <p>(1) they do not offer health insurance coverage to substantially all of their full-time employees or</p> <p>(2) the coverage they do offer is not affordable or does not provide a certain minimum level of benefits.</p> <p>A full-time employee under the employer mandate is defined as a common law employee who is employed an average of at least 30 hours per week.</p> <p>The final regulations offer some specific guidance to higher education institutions with respect to counting the hours worked by certain adjunct faculty and student workers.</p>	<p>By July 31 of each year between 2013 and 2019 (for plan years ending on or after 10/1/12 and before 10/1/19), the University must file IRS Form 720 and pay applicable PCOR (Patient Centered Outcome Research Institute) fees for any covered self-insured plans, at the applicable rate (\$1.00 per covered life for 2012, \$2.00 for 2013, adjusted for health inflation thereafter).</p> <p>Section 6055 requires an applicable large employer to report to the IRS with respect to the minimum essential coverage it provides to an individual during a calendar year.</p> <p>Section 6056 requires an applicable large employer to file a return with the IRS that reports, for each employee who was a full-time employee for one or more months during the calendar year, certain information about the health care coverage the employer offered to that employee.</p> <p>Sections 6055 and 6056 also require applicable large employers to furnish, by January 31 of the calendar year following the calendar year for which the return must be filed, related statements to responsible individuals (Section 6055) and to full-time employees (Section 6056).</p> <p>(Note: The reporting rules take effect January 1, 2015, with the first returns filed under Section 6055 and 6056 due in early 2016.)</p>
Human Resources: Employee Benefits	The Veterans' Readjustment Benefits Act, 38 U.S.C. §§ 4211-4214	41 C.F.R. § 61-250.10	Manager for University Pension & Benefits	Manager for University Pension & Benefits	Provides the rights, benefits, and obligations of persons absent from employment for military service.	

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Human Resources: Employee Benefits	Title IX of the Education Amendment of 1972, 20 U.S.C. §§ 1681-1688	29 C.F.R. § 1604	Manager for University Pension & Benefits	Manager for University Pension & Benefits	<p>Under the Title IX common rule, a recipient must not discriminate on the basis of sex in providing health and insurance benefits or services. Specifically, the provision of such benefits and services to students must meet the same requirements as outlined in the employee provisions of the common rule.</p> <p>Any grievance records relating to a Title IX violation or complaint must be retained for the period of time cited in state law for personal injury actions.</p>	
Human Resources: Employee Benefits	Uniformed Services Employment and Reemployment Rights Act (USERRA), 38 U.S.C. § 4301-4335	5 C.F.R. § 353	Manager for University Pension & Benefits	Manager for University Pension & Benefits	<p>Seeks to ensure that members of the uniformed services are entitled to return to their civilian employment upon completion of their service.</p> <p>Qualified employees must be reinstated with the seniority, status, and rate of pay they would have obtained had the employee remained continuously employed by their civilian employer.</p> <p>The law also protects individuals from discrimination in hiring, promotion, and retention on the basis of present and future membership in the armed services.</p>	
Human Resources: Recruitment, Hiring & Termination	Drug & Alcohol Testing of Transportation Employees, 49 U.S.C. § 31144	49 C.F.R. § 40 49 C.F.R. § 382	AVP for Human Resources	Human Resources	<p>Commercial motor vehicle operators are subject to pre-employment drug testing, and post-accident, random and reasonable suspicion drug and alcohol testing. Testing is mandatory if the driver is involved in a fatal accident.</p> <p>Passenger vehicle drivers are required to be tested prior to employment.</p> <p>The Code of Federal Regulations sets forth the procedures for administering drug and alcohol testing as mandated by the DOT.</p>	

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Human Resources: Recruitment, Hiring & Termination	Drug Free Workplace Act, 41 U.S.C. §§ 701-707	48 C.F.R. § 52.223-6 48 C.F.R. § 23.504 University Policy VI-13	AVP for Human Resources	Human Resources	<p>A federal contractor receiving \$25,000 or more in funding must:</p> <ol style="list-style-type: none"> 1) Certify it provides a drug-free workplace; 2) publish a statement notifying employees that unlawful manufacture, distribution, dispensing, possession, use of controlled substances is prohibited and stating what action will be taken for violations; 3) establish an ongoing drug-free awareness program; 4) require that each employee directly involved in the contract/grant work notify the employer of any criminal drug statute convictions for a violation occurring in the workplace (however, drug testing is not mandated or authorized); 5) notify the federal government of such a violation within ten days after learning of conviction; and 6) require sanctions or remedial measures for an employee convicted of a drug abuse violation in the workplace. Failure to comply can lead to being barred from participation in future contract or grant activity for up to five (5) years. 	<p>Annual community notification email sent out by Director of Human Resources with the active link to the DAAP (drug, alcohol and prevention program) document</p> <p>Upon Hire - Included as part of the on-boarding process in New Hire Orientation. Owned by EEO/Compliance and administered by Christy Cunningham</p> <p>Annually - Email notification required to entire Stockton Community</p>

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Human Resources: Recruitment, Hiring & Termination	Employee Polygraph Protection Act, 29 U.S.C. §§ 2001-2009		AVP for Human Resources	Human Resources	<p>The University may not:</p> <ul style="list-style-type: none"> Directly or indirectly require, request, suggest, or cause any employee or prospective employee to take or submit to any lie detector test; Use, accept, refer to, or inquire concerning the results of any lie detector test of any employee or prospective employee; or Discharge, discipline, discriminate against, deny employment or promotion, or threaten such action against any employee or prospective employee who a) refuses, declines, or fails to take or submit to any lie detector test, or b) on the basis of the results of any lie detector test; or 4) discharge, discipline, discriminate against, deny employment or promotion, or threaten such action against any employee or prospective employee a) who has filed a complaint or caused to be instituted any proceeding per this Act, b) has or will testify in any such proceeding, or c) exercises any right per the Act. <p>The University must post a notice of the Act, as prepared by the Secretary of Labor, in conspicuous places where notices to employees and applicants are customarily posted.</p>	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Human Resources: Recruitment, Hiring & Termination	Fair Credit Reporting Act (FCRA), 15 U.S.C. §§ 1681-1681x	16 C.F.R. § 600	AVP for Human Resources	Human Resources	<p>Employers, before obtaining a consumer report (including criminal background checks) must disclose in writing to the applicant or employee that it may obtain a consumer report for employment purposes, and secondly, secure the written consent of the applicant or employee.</p> <p>Note that when using a third party consumer reporting agency to request motor vehicle record checks for employment purposes, the FCRA should be followed, and notice given to the applicant or employee.</p>	
Human Resources: Recruitment, Hiring & Termination	Federal Volunteer Protection Act, Public Law No. 105-19 42 U.S.C. §§ 14501-14505	University Procedure 6107	AVP for Human Resources	Human Resources	Partially protects individual volunteers for non-profit organizations and governmental entities from liability for acts of negligence in the course of their volunteer work.	
Human Resources: Recruitment, Hiring & Termination	Immigration and Nationality Act, 8 U.S.C. §§ 1101-1537	8 C.F.R. § 214 8 C.F.R. § 274a 20 C.F.R. § 655 29 C.F.R. § 501	AVP for Human Resources	Human Resources	The INA, as amended, sets forth the laws governing the admission and employment of foreign nationals in the United States, including provisions that address employment eligibility and employment verification.	
Human Resources: Recruitment, Hiring & Termination	Non-Retaliation for Disclosure of Compensation Information, Executive Order 13665	41 C.F.R. § 60	AVP for Human Resources	AVP for Human Resources	<p>Federal contractors and subcontractors may not fire or otherwise discriminate against any employee or applicant for discussing, disclosing, or inquiring about his or her compensation or that of another employee or applicant.</p> <p>The rule applies to all federal"&" government contractors with contracts entered into or modified on or after January 11, 2016.</p>	

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Human Resources: Recruitment, Hiring & Termination	Worker Adjustment and Retraining Notification Act (WARN), 29 U.S.C. §§ 2101-2109		AVP for Human Resources	Human Resources	<p>The University must provide 60 days advance notice of plant closings or mass layoffs to affected workers (whether hourly or salaried, including managers or supervisors) or their representatives (i.e. labor union).</p> <p>Notice also must be given to the state dis"&"located worker unit and the appropriate unit of local government.</p> <p>Failure to comply may result in liability to each aggrieved employee for back pay and benefits for the period of violation up to 60 days, and \$500 for each day of violation for failing to notify the unit of local govt.</p>	
Human Resources: Recruitment, Hiring & Termination	Cybersecurity Awareness - on-boarding		AVP for Human Resources	Human Resources		Upon Hire - Presented through Vector Solutions and renewed annually
Human Resources: Recruitment, Hiring & Termination	Sexual Violence Awareness for Employees (Campus SaVE Act)		AVP for Human Resources	Human Resources		Upon Hire
Human Resources: Recruitment, Hiring & Termination	New Jersey Code of Ethics Acknowledgement		AVP for Human Resources	Human Resources		Upon Hire
Human Resources: Recruitment, Hiring & Termination	Policy Prohibiting Discrimination in the Workplace - acknowledgement		AVP for Human Resources	Human Resources		Upon Hire

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Human Resources: Recruitment, Hiring & Termination	FMLA Acknowledgement		AVP for Human Resources	Human Resources		Upon Hire
Human Resources: Recruitment, Hiring & Termination	Protection of Minors Acknowledgement		AVP for Human Resources	Human Resources		Upon Hire
Human Resources: Recruitment, Hiring & Termination	Hazardous Communications Notification		AVP for Human Resources	Human Resources		Upon Hire
Human Resources: Recruitment, Hiring & Termination	Title IX Notification		AVP for Human Resources	Human Resources		Upon Hire
Human Resources: Recruitment, Hiring & Termination	Cleary Act Notification		AVP for Human Resources	Human Resources		Upon Hire
Human Resources: Recruitment, Hiring & Termination	Campus Security authorities: Roles & Responsibilities		AVP for Human Resources	Human Resources		Upon Hire for CSA's Presented through Vector Solutions and renewed annually
Human Resources: Recruitment, Hiring & Termination	Reasonable Assurance Survey		AVP for Human Resources	Human Resources	School employer must report to NJDOL which school employees have "reasonable assurance" to return to their jobs after summer or winter break, and which employee are not expected to return to their jobs.	No later than 10 days before the end of the school year or term

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Human Resources: Recruitment, Hiring & Termination	New Jersey Residency Requirement		Talent Acquisition Team	Human Resources	New public employees in certain positions (faculty exempt) are required to obtain New Jersey Residency within one year of employment.	All applicants must meet this requirement.
Human Resources: Retirement	Deferred Compensation, 26 U.S.C. § 457		AVP for Human Resources	Human Resources	Any amount of compensation deferred under an eligible deferred compensation plan, and any income attributable to the amounts so deferred, shall be includible in gross income only for the taxable year in which such compensation or other income is paid.	Reporting due by the Administrator by the last day of 7th month after end of plan year. An automatic extension of up to 2 months may be obtained by filing Form 5558 with the IRS before the return/report's regular due date.
Human Resources: Retirement	Employee Annuities, 26 U.S.C. § 403		AVP for Human Resources	Human Resources	If an annuity contract is purchased by an employer for an employee under a plan which meets the requirements of section 404(a)(2) (whether or not the employer deducts the amounts paid for the contract under such section), the amount actually distributed to any distributee under the contract shall be taxable to the distributee (in the year in which so distributed) under section 72 (relating to annuities).	Reporting by the last day of 7th month after end of plan year. An automatic extension of up to 2 months may be obtained by filing
Human Resources: Retirement	Employee Retirement Income Security Act of 1974 (ERISA) 29 U.S.C. § 18	29 C.F.R. § 2560	AVP for Human Resources	Human Resources	<ul style="list-style-type: none"> · Sets minimum standards for participation, vesting, benefit accrual and funding pension plans. · Requires employers to regularly provide participants with information about the plan including information about plan features and funding. · Requires accountability of plan fiduciaries and gives participants the right to sue for benefits and breaches of fiduciary duty. 	The administrator of the University's employee benefit plan must file IRS Form 5500 by the last day of the seventh month after the plan year ends (July 31 for a calendar-year plan).

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Human Resources: Retirement	Nonqualified Deferred Inclusion, 26 U.S.C. § 409A		AVP for Human Resources	Human Resources	<p>If at any time during a taxable year a nonqualified deferred compensation plan</p> <p>(I) fails to meet the requirements of paragraphs (2), (3), and (4), or</p> <p>(II) is not operated in accordance with such requirements, all compensation deferred under the plan for th"&"e taxable year and all preceding tax able years shall be includible in gross income for the taxable year to the extent not subject to a substantial risk of forfeiture and not previously included in gross income.</p>	Reporting due by the last day of 7th month after end of plan year. An automatic extension of up to 2 months may be obtained by filing Form 5558 with the IRS before the return/report's regular due date.
Human Resources: Retirement	Qualified Pensions, 26 U.S.C. § 401		AVP for Human Resources	Human Resources	A trust created or organized in the United States and forming part of a stock bonus, pension, or profit-sharing plan of an employer for the exclusive benefit of his employees or their beneficiaries shall constitute a qualified trust.	Reporting due by the Administrator by the last day of 7th month after end of plan year. An automatic extension of up to 2 months may be obtained by filing Form 5558 with the IRS before the return/report's regular due date.
Human Resources: Retirement	Social Security Act, 42 U.S.C. §§ 301-1397mm	20 C.F.R. § 404.1028	AVP for Human Resources	Human Resources	An employer must pay social security taxes on employees but an exemption exists for most students also working for the university, and for clergy whose services are performed in the exercise of their ministry.	To avoid penalty for reporting incorrect SSN on W-2 file/forms of \$50 each, transmit data file, electronically, to the Social Security Administration (SSA). Report all employees hired in the specific quarter listing name, SSN, sex, and date of birth. After information is queried against SSA's database, mismatches are sent back for resolution.
Human Resources: Unions	Civil Service Reform Act of 1978 5 U.S.C. § 1104		AVP for Human Resources	Human Resources	<p>These regulations establish a Bill of Rights for union members and set standards for union reports, trusteeships imposed on subordinate unions, elections of union officers, financial safe-guards, and other matters. They also set forth administrative procedures for enforcing the standards of conduct requirements, including hearings before an administrative law judge and determinations by the Assistant Secretary for Employment Standards.</p>	

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Human Resources: Unions	National Labor Relations Act, 29 U.S.C. §§ 151-169	29 C.F.R. § 103.1	AVP for Human Resources	Human Resources	It is an unfair labor practice for the University to: 1) Interfere with, restrain, or coerce employees in the exercise of their rights; 2) dominate or interfere with the formation or administration of any labor organization; 3) discriminate in any term or condition of employment; 4) encourage or discourage membership in any labor organization; or 5) refuse to bargain collectively with a labor organization's representatives.	
Human Resources: Unions	CWA - Contract	CWA - Contract	AVP for Human Resources	Human Resources	Communication Workers of America (CWA)	
Human Resources: Unions	AFT - Contract	AFT - Contract	AVP for Human Resources	Human Resources	American Federation of Teachers (AFT), local - Stockton Federation of Teachers (SFT)	
Human Resources: Unions	IFPTE - Contract	IFPTE - Contract	AVP for Human Resources	Human Resources	International Federation of Professional and Technical Engineers (IFPTE)	
Human Resources: Unions	Stockton Local MOA's	Stockton Local MOA's	AVP for Human Resources	Human Resources	Stockton University - Office of Human Resources Locally Negotiated Agreements - website	
Human Resources: Unions	PBA SLEU	PBA SLEU	AVP for Human Resources	Human Resources	New Jersey Policemen's Benevolent Association - website	
Human Resources: Unions	NJSOA	NJSOA	AVP for Human Resources	Human Resources	New Jersey Superior Officers - website	
Human Resources: Unions	NJLESA	NJLESA	AVP for Human Resources	Human Resources	New Jersey Law Enforcement Association - website	

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Human Resources: Wages	Consumer Credit Protection Act, Title III (CCPA) - Garnishments, 15 U.S.C. § 1673		AVP for Human Resources	Human Resources	Per Title III of the CCPA the maximum part of an employee's total disposable earnings subject to garnishment in any workweek may not exceed the lesser of 25% of disposable earnings for that week or the amount by which disposable earnings for that week exceeds 30 times the federal minimum wage rate in effect at the time the earnings are payable. 1674 prohibits firing an employee because of garnishment and imposes a \$1,000 fine for doing so.	

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Human Resources: Wages	Fair Labor Standards Act (FLSA), 29 U.S.C. §§ 201-219	29 C.F.R. §§ 500-870	AVP for Human Resources Payroll Manager	Human Resources Admin & Finance	<p>Establishes minimum wage.</p> <p>Guarantees time and a half overtime for some employees.</p> <p>Establishes requirements for break time and places for nursing mothers.</p> <p>The University must preserve for 3 years:</p> <p>All payroll records or other records containing employee data from the last date of entry.</p> <p>From their last effective date collective bargaining agreements and amendments, plans, trusts, employment and individual contracts, written agreements or memoranda summarizing the terms of oral agreements, and certificates and notices.</p> <p>The University must preserve for two years:</p> <p>Basic employment and earnings records.</p> <p>Wage rate tables Records of additions to or additions to or deductions from wages paid.</p> <p>All records used in determining original, operating and maintenance costs, and depreciation and interest charges.</p>	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Human Resources: Wages	Federal Insurance Contributions Act (FICA), 42 U.S.C. §§ 401-434	26 C.F.R. § 31	AVP for Human Resources Payroll Manager	Human Resources Admin & Finance	<p>Provides that service performed in the employ of a school, college or university by a student who is enrolled and regularly attending classes at such school, college, or university is exempt from the FICA tax.</p> <p>An employee who is in employment for wages which are subject to taxes under the Federal Insurance Contributions Act (FICA) or which are subject to the withholding of income tax from wages must apply for a social security number by filing SSA Form SS-5.</p> <p>An employer must pay social security taxes on employees, but an exemption exists for most students who are also working for the university and for clergy whose services are performed in the exercise of their ministry.</p>	
Human Resources: Wages	Federal Unemployment Tax Act, 26 U.S.C. §§ 3301-3311	26 C.F.R. § 31.6011(a)-3	AVP for Human Resources Payroll Manager	AVP for Human Resources Payroll Manager	<p>Provides for payments of unemployment compensation to workers who have lost their jobs.</p> <p>If your FUTA tax is more than \$500 for the calendar year, you must deposit at least one quarterly payment. If not, alternate rules apply.</p>	
Human Resources: Wages	Qualified Tuition Reductions: Publication,	<p>Publication</p> <p>6161 Tuition Assistance & Tuition Waiver for Employees</p> <p>University Procedure 6164 - Tuition Waiver for Spouses, Dependents, Couple in Civil Unions and Domestic Partners</p>	AVP for Human Resources Payroll Manager	Human Resources Admin & Finance	<p>A qualified tuition reduction is any reduction in tuition provided to an employee for the education of an employee or certain relatives of the employee at the institution the employee works at or another qualified institution.</p> <p>A qualified tuition reduction is tax-free.</p> <p>The tuition must be for education below the graduate level, with an exception for graduate students engaged in teaching or research at the university.</p>	Reporting due by the last day of 7th month after end of plan year. An automatic extension of up to 2 months may be obtained by filing

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Immigration	Student Exchange and Visitor Information System (SEVIS),	22 C.F.R. § 62.15 67 Fed. Reg. 34,862	Director, Office of Global Engagement	Office of Global Engagement	The Student and Exchange Visitor Program (SEVP) acts as the bridge for various government organizations that have an interest in information on foreign students. SEVIS was created to improve data collection and reporting, enhance customer service, facilitate compliance with regulations and help Immigration and Customs Enforcement (ICE) better monitor schools and exchange programs, as well as F, M and J non-immigrants. Via SEVIS, the University must keep information and records relating to each F-1 or M-1 student to whom it has issued a Form I-20A or I-20M.	
Immigration	Immigration and Nationality Act (INA), 8 U.S.C. §§ 1101-1537	8 C.F.R. § 214 8 C.F.R. § 274a 20 C.F.R. § 655 29 C.F.R. § 501	General Counsel	Office of General Counsel	The INA, as amended, sets forth the laws governing the admission and employment of foreign nationals in the United States, including provisions that address employment eligibility and employment verification.	
Information Technology	Communications Assistance for Law Enforcement Act (CALEA), 47 U.S.C. §§ 1001-1010		Chief Information Officer	Office of Information Technology Services - Infrastructure and Communications	CALEA requires a "telecommunications carrier," as defined by the Act, to ensure that equipment, facilities, or services that allow a customer or subscriber to "originate, terminate, or direct communications," enable law enforcement officials to conduct electronic surveillance pursuant to court order or other lawful authorization.	
Information Technology	Controlling the Assault of Non-Solicited Pornography And Marketing Act of 2003 (CAN-SPAM Act), 15 U.S.C. §§ 7701-7713	16 C.F.R. § 316	Chief Information Officer	Office of Information Technology Services - Infrastructure and Communications	<p>Prohibits the inclusion of deceptive or misleading information and subject headings, requires identifying information such as a return address in email messages, and prohibits sending emails to a recipient after an explicit response that the recipient does not want to continue receiving messages.</p> <p>In addition to bulk email, the law covers all commercial messages, which it defines as "any electronic mail message the primary purpose of which is the commercial advertisement or promotion of a commercial product or service."</p> <p>Each separate email in violation of the CAN-SPAM Act is subject to penalties of up to \$16,000.</p>	

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Information Technology	Digital Millennium Copyright Act (DMCA), 17 U.S.C. § 512		Chief Information Officer	Office of Information Technology Services - Information Security	<p>Imposes rules prohibiting the circumvention of technological protection measures.</p> <p>Sets limitations on copyright infringement liability for online service providers (OSPs).</p> <p>Expands an existing exemption for making copies of computer programs.</p> <p>Provides a significant updating of the rules and procedures regarding archival preservation.</p>	
Information Technology	Electronic Communications Privacy Act, 18 U.S.C. §§ 2510-2522 (Wiretap) 18 U.S.C. §§ 2701-2711 (Stored Communications)		Chief Information Officer	Office of Information Technology Services - Infrastructure and Communications	<p>The ECPA, as amended, protects wire, oral, and electronic communications while those communications are being made, are in transit, and when they are stored on computers.</p> <p>The Act applies to email, telephone conversations, and data stored electronically.</p>	
Information Technology	FCC - Cable Certification, 47 U.S.C. § 151	47 C.F.R. § 76.1502	Chief Information Officer	Office of Information Technology Services - Infrastructure and Communications	<p>Prior to commencing service, cable television systems, cable operators, and satellite carriers must obtain certification that they are in conformity with signal carriage, program exclusivity, cable casting, and other standards.</p> <p>An operator of an open video system must certify on FCC Form 1275 that it will comply with the FCC's regulations in 47 C.F.R. § 76.1502.</p>	

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Information Technology	FCC - Fixed Microwave Services, Licensing, 47 U.S.C. § 151	47 C.F.R. § 101	Chief Information Officer AVP of Facilities & Plant Operations	Office of Information Technology Services Facilities Management	<p>The University must file an application to provide fixed microwave services electronically via ULS for each Digital Electronic Message Service (DEMS) Nodal Station. Licensee may not be a foreign government or representative of a foreign government.</p> <p>The application must contain all technical information, including but not limited to transmitting and receiving station names, coordinates, equipment, antennae information, etc.</p> <p>Must demonstrate substantial service at the time of license renewal, and must provide a description of current service.</p>	
Information Technology	FCC - Wireless Communications, Licensing, 47 U.S.C. § 151	47 C.F.R. § 27	Chief Information Officer	Office of Information Technology Services - Infrastructure and Communications	<p>The University's authorization to provide wireless communication services is granted for any or a combination of the following services in a single license:</p> <ol style="list-style-type: none"> 1) common carrier; 2) non-common carrier; 3) private internal communications; 4) and broadcast services. <p>A license application must be filed with the FCC.</p>	
Information Technology	Hazardous Materials Transportation Act, 49 U.S.C. §§ 5101-5128	40 C.F.R. § 261	Chief Information Officer AVP of Facilities & Plant Operations	Office of Information Technology Services Facilities Management	The University must properly dispose of computers and electrical equipment containing hazardous materials or the University is subject to fines and penalties.	
Information Technology	Higher Education Opportunity Act, Public Law No. 110-315 20 U.S.C. § 1092		Chief Information Officer	Office of Information Technology Services	Section 488 requires institutions to develop plans to detect and prevent unauthorized distribution of copyrighted material on information technology systems, including offering alternatives to illegal-downloading or peer-to-peer distribution of intellectual property.	

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Information Technology	Homeland Security Act of 2002, Public Law No. 107§296		Chief Information Officer	Office of Information Technology Services - Information Security	<p>The Act encourages private sector sharing of information with the Department of Homeland Security.</p> <p>Information that is voluntarily provided relating to infrastructure vulnerabilities or other vulnerabilities to terrorism is not subject to public disclosure under FOIA, and does not lose its protected character if forwarded by DHS to other federal agencies.</p>	
Information Technology	Junk Fax Prevention Act of 2005, 47 U.S.C. § 227(b)(1)(C)		Chief Information Officer	Office of Information Technology Services - Infrastructure and Communications	<p>Applicable to non-profits, the Act provides that it is unlawful for the University to use a fax machine to send an unsolicited advertisement to another fax machine unless there is:</p> <ol style="list-style-type: none"> 1) An established business relationship; 2) the sender obtained the fax number through voluntary communication with the recipient; and 3) the first page of the fax conspicuously states the recipient can request no further unsolicited communications. <p>Penalties include a right of private action for actual damages or \$500 per fax, whichever greater, and can be increased if willful or knowing.</p>	
Information Technology	No Electronic Theft Act Public Law No. 105-147		Chief Information Officer	Office of Information Technology Services - Information Security	<p>Makes it a criminal offense to willfully infringe a copyright by sharing, as well as selling, pirated software with a retail value of \$1,000 or more.</p> <p>Offenders will be subject to up to five years in prison, and a \$250,000 fine.</p>	
Information Technology	Telemarketing, 47 U.S.C. § 227	47 C.F.R. § 64.1200	Chief Information Officer	Office of Information Technology Services - Infrastructure and Communications	<p>A tax-exempt nonprofit University is exempt from the Do-Not-Call-Registry, but may not call any residential telephone subscriber before 8 a.m. or after 9 p.m. local time at the called party's location.</p>	

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Institutional Research	<p>IPEDS Data Reporting</p> <p>20 USC 1094, Section 487(a)(17); Title VI of the Civil Rights Act of 1964 (34 CFR 100.13), or defined in any ED regulations implementing Title IX of the Education Amendments of 1972; P.L. 88-352</p>		Office of the President - Institutional Research	Institutional Research	The completion of all IPEDS surveys, in a timely and accurate manner, is mandatory for all institutions that participate or are applicants for participation in any Federal financial assistance program authorized by Title IV of the Higher Education Act of 1965, as amended.	<p>Registration & Report Mapping = Early August; Fall Collection, Septemeber to Mid-October (Institutional Characteristics, Completeions, & 12-Month Enrollment); Winter Collection, December to Early Febraury (Student Financial Aid, Gradaution Rates (150% & 200%) Admissions, & Outcomes Measures); Spring Collection, December to April (Fall Enrollment, Finance, Human Resources, & Academic Libraries)</p>
Institutional Research	State SURE Reporting		Office of the President - Institutional Research	Institutional Research	State SURE Reporting is not mandated, but all NJ Public 4-year institutions participate.	<p>SSN updates - Feburary & August; 12-Month Enrollment & FY Completions - September; Summer Completions - October; Fall Enrollment - November; New Transfer Enrollment - December; Spring Enrollment - April</p>

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Institutional Research	Institutional Profile Report	N.J.S.A.18A:3B-35	Office of the President - Institutional Research	Institutional Research	Each public institution of higher education shall prepare and make available to the public an annual report on the condition of the institution which shall include, but need not be limited to a profile of the student body including graduation rates, SAT or other test scores, the percentage of New Jersey residents in the student body, the number of scholarship students and the number of Educational Opportunity Fund students in attendance; a profile of the faculty including the ratio of full to part-time faculty members, and major research and public service activities; a profile of the trustees or governors as applicable; and, a profile of the institution, including degree and certificate programs, status of accreditation, major capital projects, any new collaborative undertakings or partnerships, any new programs or initiatives designed to respond to specific State needs, an accounting of demonstrable efficiency and quality improvements, and any other information which the commission and the institution deem appropriate. The form and general content of the report shall be established by the Commission on Higher Education.	State provides form and general content of report; Due annually in mid-September
Institutional Research	NJ Parent and Consumer Information Act	N.J.S.A.18a:3B-44	Office of the President - Institutional Research	Institutional Research	Four-year public institution of higher education shall provide for public inspection on its website comprehensive information on the cost of attendance, the graduation rates of admitted students, and the faculty of the institution. The purpose of the information shall be to maximize the awareness of students and their families of the costs associated with enrollment in the institution, the institution's success in ensuring the graduation of its students, and the composition of the teaching faculty that a student will encounter in his coursework. The institution shall post, and annually update, a student consumer information report on its website	Must be posted to the web and sent to OSHE as a Excel file annually mid- October

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Intellectual Property & Technology Transfer	American Jobs Creation Act of 2004, 26 U.S.C. § 170		Chief Development Officer	Stockton Foundation	For contributions of patents and certain other intellectual property made to a 501(c)(3) after June 3, 2004 the taxpayer's initial contribution deduction is limited to the lesser of the donor's basis in the contributed property or the fair market value of the property.	The institution is expected to file
Intellectual Property & Technology Transfer	Bayh-Dole Act of 1980, 35 U.S.C. §§ 200-212	37 C.F.R. § 401 48 C.F.R. § 927 48 C.F.R. § 952 48 C.F.R. § 970	General Counsel	Office of General Counsel	Establishes a uniform policy for the disposition and licensing of rights to patentable inventions discovered in the course of federally-funded research.	
Intellectual Property & Technology Transfer	Cooperative Research and Technology Enhancement Act (CREATE Act), Public Law No. 108-453	37 C.F.R. § 401	General Counsel	Office of General Counsel	Amends the Patent Act to provide that sharing of confidential information under a joint research agreement that was in effect on or before the date the claimed invention was made will not be the basis of an obviousness determination under patent law. Promotes patentability of inventions created between universities and the private sector by treating inventions as having a sole owner.	
Intellectual Property & Technology Transfer	Trademark Revision Act, 15 U.S.C. § 1051 Public Law No. 109-312		General Counsel	Office of General Counsel	Subject to the principles of equity, the owner of a famous mark that is distinctive, inherently or through acquired distinctiveness, shall be entitled to an injunction against another person who, at any time after the owner's mark has become famous, commences use of a mark or trade name in commerce that is likely to cause dilution by blurring or dilution by tarnishment of the famous mark, regardless of the presence or absence of actual or likely confusion, of competition, or of actual economic injury.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Intellectual Property & Technology Transfer	U.S. Patent Act, 35 U.S.C. §§ 1-390	Consolidated Patent Rules, 37 C.F.R. §§ 1-150	General Counsel	Office of General Counsel	<p>The consolidated patent laws specify the subject matter for which a patent may be obtained and the conditions for patentability. They also include requirements related to representation before the U.S. Patent and Trademark Office, applications for registration, examination procedures, amendment of applications, publication and post publication procedures, appeals, petitions, post registration practice, correspondence in trademark cases, classification of goods and services, and procedures under the Madrid Protocol.</p> <p>The laws establish the Office to administer the law relating to the granting of patents and contain various other provisions relating to patents.</p>	
Intellectual Property & Technology Transfer	Visual Artists Rights Act, 17 U.S.C. § 106A		General Counsel	Office of General Counsel	Protects moral rights for fine art works, but does not protect audiovisual works and probably does not apply to most multimedia creations.	
International Activities & Programs	Foreign Agents Registration Act of 1938, 22 U.S.C. §§ 611-621	28 C.F.R. § 5			<p>Requires persons acting as agents of foreign principals in a political or quasi-political capacity to make periodic public disclosure of their relationship with the foreign principal, as well as activities, receipts and disbursements in support of those activities.</p> <p>The FARA Registration Unit of the Counterespionage Section (CES) in the National Security Division (NSD) is responsible for the administration and enforcement of the Act.</p>	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
International Activities & Programs	Foreign Corrupt Practices Act (FCPA), 15 U.S.C. §§ 78dd-1, et seq.	OPIC: 22 C.F.R. § 709			<p>Makes it unlawful for certain classes of persons and entities to make payments to foreign government officials to assist in obtaining or retaining business.</p> <p>The anti-bribery provisions of the FCPA prohibit the willful use of the mails or any means of instrumentality of interstate commerce corruptly in furtherance of any offer, payment, promise to pay, or authorization of the payment of money or anything of value to any person, while knowing that all or a portion of such money or thing of value will be offered, given or promised, directly or indirectly, to a foreign official to influence the foreign official in his or her official capacity, induce the foreign official to do or omit to do an act in violation of his or her lawful duty, or to secure any improper advantage in order to assist in obtaining or retaining business for or with, or directing business to, any person.</p>	
Lobbying & Political Activity	Lobbying Disclosure Act, 2 U.S.C. §§ 1601-1614 Public Law No. 104-65, 109 Stat. 691		VP for Personnel, Labor & Government Relations	Government Relations	<p>Requires institutions to register if they employ (as a salaried employee) individuals who make at least two lobbying contacts each six months and devote 20% of their time to lobbying activities and incur expenses for lobbying of \$20,000 or more in a six-month period.</p> <p>Permits tax exempt charitable organizations required to report lobbying expenses by the IRC to report, under this law, only good faith estimates of such expenses in order to meet reporting requirements.</p>	
Privacy & Information Security	Americans with Disabilities Act, 42 U.S.C. §§ 12101-12213	28 C.F.R. §§ 36.101-36.104 29 C.F.R. § 1640	Chief Officer for Diversity and Inclusion	Diversity and Inclusion	<p>The ADA contains strict confidentiality requirements for medical information related to employee's disabilities.</p> <p>Enforced by multiple federal agencies, including the Department of Justice, Department of Labor, and the EEOC.</p>	

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Privacy & Information Security	Children's Online Privacy Protection Act of 1998 (COPPA), 15 U.S.C. § 6501	COPPA Rule: 16 C.F.R. 312	Chief Information Officer	Office of Information Technology Services	<p>Regulates the collection, use and protection of information from children (up to age 13) via websites or on-line services.</p> <p>Any for-profit websites that are directed to and collect personal info from children must, among other requirements: 1) Provide notice on the website of what info is collected, how it's used, and the operator's disclosure practices; 2) respond to parental requests for info; 3) maintain procedures to protect confidentiality, security and integrity of personal information collected.</p>	
Privacy & Information Security	Electronic Communications Privacy Act, 18 U.S.C. §§ 2510-2522 (Wiretap) 18 U.S.C. §§ 2701-2711 (Stored Communications)		Chief Information Officer	Office of Information Technology Services	<p>The ECPA, as amended, protects wire, oral, and electronic communications while those communications are being made, are in transit, and when they are stored on computers.</p> <p>The Act applies to email, telephone conversations, and data stored electronically.</p>	
Privacy & Information Security	Fair Credit Reporting Act (FCRA), 15 U.S.C. §§ 1681-1681x	16 C.F.R. § 600	AVP for Human Resources	Human Resources	<p>Employers, before obtaining a consumer report (including criminal background checks) must disclose in writing to the applicant or employee that it may obtain a consumer report for employment purposes, and secondly, secure the written consent of the applicant or employee.</p> <p>Note that when using a third party consumer reporting agency to request motor vehicle record checks for employment purposes, the FCRA should be followed, and notice given to the applicant or employee.</p>	
Privacy & Information Security	Fair and Accurate Credit Transaction Act (FACTA), Public Law No. 108-159	Red Flag Rules: 16 C.F.R. § 681	AVP for Human Resources	Human Resources	<p>Amends the Fair Credit Reporting Act.</p> <p>Establishes requirements for maintaining information privacy, accuracy, and disposal.</p> <p>Limits the ways consumer information can be shared</p>	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Privacy & Information Security	Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. § 1232g	34 C.F.R. § 99	Registrar	Office of the Registrar	The University must provide students the right to inspect their education records and obtain written consent to release the records to anyone other than school officials, authorized government personnel, in connection with financial aid, in an emergency, or for other specifically-allowed purposes.	
Privacy & Information Security	Federal Information Security Management Act (FISMA), 44 U.S.C. § 35		Chief Information Officer	Office of Information Technology Services	The act, applicable to federal agencies, also covers the University as a federal contractor where it is holding federal data pursuant to federally-funded research. The Act requires that the University: 1) implement security programs and policies; 2) assess risk; and 3) periodically test controls.	
Privacy & Information Security	Freedom of Information Act, 5 U.S.C. § 552		General Counsel	Office of General Counsel	Provides a process by which every person may request access to a public college or university's records or information.	
Privacy & Information Security	Gramm Leach Bliley Act (GLBA), 15 U.S.C. § 6801	17 C.F.R. § 248 16 C.F.R. § 314	Registrar	Office of the Registrar	Governs the collection, disclosure, and protection of consumers' personal information and personally identifiable information. Requires institutions that offer consumers financial products or services like loans, financial or investment advice, or insurance to explain their information-sharing practices to their customers and to safeguard sensitive data.	
Privacy & Information Security	HIPAA, Public Law No. 104-191	45 C.F.R. § 160 45 C.F.R. § 164			Establishes national standards to protect individuals' medical records and other personal health information. Requires appropriate safeguards to protect the privacy of personal health information, and sets limits and conditions on the uses and disclosures that may be made of such information without patient authorization. Gives patients rights to examine and obtain a copy of their health records, and to request corrections.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Privacy & Information Security	Health Information Technology for Economic and Clinical Health (HITECH) Act of 2009, Public Law No. 111-5	45 C.F.R. § 160 45 C.F.R. § 164			<p>HITECH broadens HIPAA by extending coverage to business associates.</p> <p>Covered providers must implement administrative/physical/technical safeguards for Protected Health Information (PHI).</p> <p>Section 13402 of HITECH requires that covered entities notify affected individuals and the Secretary of the DHHS and, in some cases, the media following the discovery of a breach of unsecured PHI.</p> <p>Unsecured PHI is PHI that is not secured via technologies and methodologies, as defined by DHHS guidance, that make the PHI unusable, unreadable, or indecipherable to unauthorized individuals.</p>	
Privacy & Information Security	Open Public Records Act, N.J.S.A. 47:1 A-1		General Counsel		<p>The Open Public Records Act outlines the types of records that are open to the public and procedures for requesting such records. In compliance with OPRA, the University provides records other than those identified by OPRA as exempt or as exceptions and therefore as confidential and privileged or as protected from disclosure by federal or other State law to the public according to the procedure described on the Stockton Open Public Records Request Form.</p>	
Program Integrity Rules	Higher Education Act: Credit Hour Definition, 20 U.S.C. §§ 1001, 1002	34 C.F.R. § 600.2	Registrar	Office of the Registrar	Provides a federal definition of "credit hour."	

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Program Integrity Rules	Higher Education Act: Gainful Employment, 20 U.S.C. §§ 1001, 1002	34 C.F.R. § 668 Subpart Q	Director of Financial Aid	Office of Financial Aid	<p>To be Title IV eligible, an educational program must either lead to a degree awarded by a public or nonprofit institution or prepare students for gainful employment (GE) in a recognized occupation. Institutions must certify that a GE program meets acceptable state and accreditation requirements, and the programs must meet specified debt-to-earnings (D/E) measures. The D/E rates measure is based on the typical loan debt and earnings of students who previously completed the program. Two D/E rates are calculated, one based on annual earnings and one based on discretionary income.</p> <p>Institutions must also establish the eligibility of a GE program by certifying, among other things, that the program is included in the institution's accreditation and satisfies any applicable state licensing and certification requirements for the occupations for which the program prepares students to enter. With the exception of the disclosure requirements (pertaining to prospective and enrolled students) in 34 CFR 668.412, all of the provisions in the GE regulations took effect July 1, 2015. The new disclosure requirements are effective July 1, 2017.</p>	<p>By December 31, 2015, an institution must provide to the Department of Education a Transitional Certification for Existing Programs that each of the institution's GE programs included on its Eligibility and Certification Approval Report (ECAR) meets certain state and accreditation requirements. As a condition of its continued participation in the Title IV programs, an institution must certify in its program participation agreement that each of its currently eligible GE programs included on its ECAR meets the requirements under the Transitional Certification for Existing Programs. An institution must update the certification within 10 days if there are any changes in the approvals for a program or other changes that make an existing certification inaccurate.</p>
Program Integrity Rules	Higher Education Act: Incentive Compensation Prohibition, 20 U.S.C. § 1094	34 C.F.R. § 668.14(b)(22)	Director of Financial Aid	Office of Financial Aid	<p>Institutions are prohibited from providing any commission, bonus, or other incentive payment based in any part, directly or indirectly, upon success in securing enrollments or the award of financial aid, to any person or entity who is engaged in any student recruitment or admission activity, or in making decisions regarding the award of Title IV, HEA program funds.</p> <p>There is an exception provided for the recruitment of foreign students residing in foreign countries who are not eligible to receive Federal student assistance. According to 2015 guidance, the Department of Education does not interpret the regulations to proscribe compensation for recruiters that is based upon students' graduation from, or completion of, educational programs.</p>	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Program Integrity Rules	Higher Education Act: Misrepresentation, 20 U.S.C. § 1094	34 C.F.R. § 668	Director of Institutional Research	Institutional Research	<p>Makes the institution responsible for substantial misrepresentations made by the institution itself, a representative of the institution, or any person or entity with whom the institution has an agreement to provide educational programs, marketing, advertising, and recruiting or admissions services.</p> <p>Broadens the definitions of misrepresentations of the nature of an institution's educational program, financial charges, or employability of its graduates.</p> <p>Expands the sanctions that ED may impose for substantial misrepresentations.</p>	

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Program Integrity Rules	Higher Education Act: State Authorization, 20 U.S.C. §§ 1001, 1002	State Authorization Rule: 34 C.F.R. § 600.9	Chief Enrollment Management Officer	Enrollment Management	<p>In order for its students to be eligible for Title IV student financial assistance, an institution must be able to demonstrate to ED that it meets the legal authorization standards of every state in which it operates.</p> <p>An institution offering distance education or correspondence courses must be authorized by each state in which the institution enrolls students, if such authorization is required by the state, in order for these programs to be Title IV eligible. Alternatively, an institution may be authorized through state authorization reciprocity agreements. Institutions must also (1) document the state process for resolving complaints from students enrolled in distance education or correspondence courses and (2) provide public and individualized disclosures to enrolled and prospective students regarding its programs offered solely through distance education or correspondence courses. (effective July 1, 2018)</p> <p>An institution must make available, upon request, to any enrolled or prospective student a copy of the documents describing the institution's accreditation and its state, federal or tribal approval or licensing. In addition, the institution must provide students and prospective students with contact information for filing complaints with the institution's accreditor and with its state approval agency and any other relevant state official or agency.</p>	
Research	<p>American COMPETES Act</p> <p>National Science Foundation Responsible Conduct of Research,</p> <p>Public Law No. 111-358 42 U.S.C. § 1862o-1</p>	74 Fed. Reg. 42,126	Executive Director, Office of Research and Sponsored Programs	Office of Research and Sponsored Programs	Requires that each institution that applies for financial assistance from the National Science Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project.	CITI Training prior to research

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Research	Animal Welfare Act, 7 U.S.C. §§ 2131-2159	9 C.F.R. §§ 1-4	Executive Director, Office of Research and Sponsored Programs	Office of Research and Sponsored Programs	Governs the treatment of animals used for research: dogs, cats, monkeys, guinea pigs, hamsters, and other warm-blooded animals.	9 C.F.R. § 2.36: Each reporting facility shall submit an annual report to the AC Regional Director for the State where the facility is located on or before December 1 of each calendar year. AC Regional Director means a veterinarian or his designee, employed by the U.S. Department of Agriculture Animal and Plant Health Inspection Service (APHIS), who is assigned by the Administrator to supervise and perform the official work of APHIS in a given state or states. Training though IACUC prior to research - required.
Research	Clinical Trials § Financial Disclosures by Investigator,	21 C.F.R. § 54	Executive Director, Office of Research and Sponsored Programs	Office of Research and Sponsored Programs	Clinical investigators are required to disclose financial arrangements with sponsor(s) of the studies (such as payment and royalties) and interests in the product under study or sponsor entity (i.e. proprietary interest such as a patent or other equity interest).	CITI Training prior to research
Research	Export Administration Regulations,	15 C.F.R. §§ 730-774	Executive Director, Office of Research and Sponsored Programs	Office of Research and Sponsored Programs	The Export Administration Regulations (EAR) govern export of goods and services on the Commerce Control List (CCL). Most research done at universities should be exempt from the EAR as long as the institution has not accepted restrictions on publication of results and thus falls under the fundamental research exclusion. "Fundamental research" means basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community. The exemption for fundamental research is codified at 15 C.F.R. § 734.8.	

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Research	Food and Drug Administration (FDA) Amendments Act of 2007, Public Law No. 110-85	21 C.F.R. § 50 21 C.F.R. § 56 21 C.F.R. § 312 21 C.F.R. § 314	Executive Director, Office of Research and Sponsored Programs	Office of Research and Sponsored Programs	<p>For an investigational new drug to be used in a clinical investigation, the University must ensure the sponsor submits an Investigational New Drug Application and complies with all applicable requirements with respect to the regulations pertaining to human subjects and IRB review and approval.</p> <p>The regulation includes medical devices for human use as well as drugs. (Applies to federally-funded projects). Sponsors of certain clinical trials of drugs/devices regulated by the FDA must obtain informed consent from potential research subjects to submit their de-identified data to the ClinicalTrials.gov database.</p> <p>Specific language must be included in consent forms indicating that a description of the trial, but not any identifiable data, will be available through that database. Subjects who do not consent will not be permitted to participate in the trial.</p>	
Research	National Science Foundation Research Misconduct Policies, 42 U.S.C. § 1870(a)	45 C.F.R. § 689	Executive Director, Office of Research and Sponsored Programs	Office of Research and Sponsored Programs	A finding of research misconduct requires that: (1) there be a significant departure from accepted practices of the relevant research community; (2) the research misconduct be committed intentionally, or knowingly, or recklessly; and (3) the allegation be proven by a preponderance of evidence.	CITI Training prior to research

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Research	Protection of Human Subjects Regulations (Common Rule),	45 C.F.R. §§ 46.101-46.124	Executive Director, Office of Research and Sponsored Programs	Office of Research and Sponsored Programs	<p>Institutions must provide a written assurance application that they will comply with the Common Rule requirements. These requirements include written procedures for reporting to the institutional review board (IRB), institutional officials, and the department or agency head of unanticipated problems involving risks to subjects or serious or continuing non-compliance, and any suspension or termination of research.</p> <p>Human subjects research must undergo review and be approved by the designated IRB.</p> <p>With certain exceptions, investigators must obtain informed consent from any subject used for human subjects research. (Certain requirements regarding information that must be given to prospective subjects as part of the informed consent process take effect January 19, 2018.)</p> <p>Effective January 19, 2020, U.S.-based institutions engaged in cooperative research must use a single IRB for that portion of the research that takes place within the U.S., with certain exceptions.</p>	CITI Training prior to research
Research	Public Health Service Policies on Research Misconduct, 42 U.S.C. § 241	42 C.F.R. § 93.70 Fed. Reg. 28,370	Executive Director, Office of Research and Sponsored Programs	Office of Research and Sponsored Programs	<p>Institutions engaged in federally-funded biomedical, behavioral, clinical, or other research in which identifiable, sensitive information is collected must take certain measures to protect the privacy of the subjects of such research.</p> <p>Among other requirements, institutions must have written policies and procedures for addressing allegations of research misconduct that meet the requirements of this part and must respond to each allegation of research misconduct for which the institution is responsible under this part in a thorough, competent, objective and fair manner.</p>	CITI Training prior to research

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Research	Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought	42 C.F.R. Part 50, Subpart F	Executive Director, Office of Research and Sponsored Programs	Office of Research and Sponsored Programs	These regulations describe standards to be followed by Institutions that apply for or receive research funding from PHS Awarding Components, including the National Institutes of Health (NIH), for grants, cooperative agreements, and research contracts. The 2011 revised regulations were written to increase accountability, add transparency, enhance regulatory compliance and effective Institutional management of Investigators' financial conflicts of interest, and strengthen NIH's compliance oversight. The primary goal is to promote objectivity by establishing standards that provide a reasonable expectation that the design, conduct, and reporting of research funded under PHS grants, cooperative agreements and contracts will be free from bias resulting from Investigator financial conflicts of interest.	
Research	Small Unmanned Aircraft Systems	14 C.F.R. part 107	Executive Director, Office of Research and Sponsored Programs	Office of Research and Sponsored Programs	<p>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.</p> <p>An uncertified person, such as a student, may manipulate the controls of a small UAS, provided that:</p> <p>(1) They are under the direct supervision of a certified remote pilot in command; and</p> <p>(2) the remote pilot in command is capable of taking over controls at any time during the flight.</p>	CITI Training prior to research
Risk Management	New Jersey State College Contracts Law N.J.S.A. 18A:64-86 et seq. provisions concerning state college risk management groups		VP for Admin & Finance - Risk Management	Risk Management	Provides framework for establishment of a risk management consortium.	Risk Manager for state consortium is housed at TCNJ.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Risk Management	New Jersey Tort Claims Act N.J.S.A. 59:1-1 et seq.		VP for Admin & Finance - Risk Management	Risk Management	Protects the institution and its employees, within the scope of their employment, from most tort claims. Individuals seeking damages from the University must go through the Tort Claims process with the State.	The Tort Claims Act negates the need for the University to carry general liability insurance. All claims that would otherwise be covered under a general liability policy are processed by the State through the filing of a Notice of Tort Claim.
Risk Management	New Jersey Contractual Liability Act N.J.S.A. 59:13-1 et seq.		VP for Admin & Finance - Risk Management	Risk Management	Similar to the Tort Claims Act but for contractual liability.	
Risk Management	New Jersey Charitable Immunity Act N.J.S.A. 2A:53A-7 et seq.		VP for Admin & Finance - Risk Management	Risk Management	Provides non-profit corporations organized exclusively for religious, charitable, educational or hospital purposes immunity, with certain exceptions, from damages arising from the ordinary negligence of an individual acting on behalf of the non-profit where the person suffering the injury/damages is a beneficiary of the organization's services.	
Risk Management	NCAA Catastrophic Injury Insurance Program	NCAA Catastrophic Injury Insurance Program	VP for Admin & Finance - Risk Management	Risk Management	Covers student-athletes who are "catastrophically" injured while participating in a covered intercollegiate athletic activity. Coverage has a \$90,000 deductible. "Catastrophic" designation is based on medical expenses - i.e., whether expenses exceed \$90,000.	Through our insurance consortium, we maintain Athletic Accident Insurance to cover injuries below the \$90,000 deductible. Separately, we maintain Club Catastrophic insurance to cover catastrophic injuries (in excess of \$25,000) suffered by students involved in club sports.
Risk Management	Contractual Insurance Requirements for Atlantic City Campus		VP for Admin & Finance - Risk Management	Risk Management	Lease with ACDEVCO requires us to maintain general liability coverage with limits of liability of at least \$1 million per occurrence and \$2 million aggregate.	This is an exception to our general rule that we do not carry general liability insurance due to our protections under the Tort Claims Act.
Sexual Misconduct	Campus Sex Crimes Prevention Act (§ 1601 of the Victims of Trafficking and Violence Protection Act of 2000), Public Law No. 106-386 (Title VI)	34 C.F.R. § 668	Director of Public Safety	Stockton University Police Department	The Campus Sex Crimes Prevention Act requires sex offenders, who must register under state law, to provide notice of enrollment or employment at any institution of higher education (IHE) in that state where the offender resides, as well as notice of each change of enrollment or employment status at the IHE. In turn, this information will be made available by the state authorities to the local law enforcement agency that has jurisdiction where the IHE is located.	Institution must issue a statement advising the campus community on where information concerning registered sex offenders can be obtained. Notification may be accomplished by adding the statement to the Annual Security Report required by the Campus Security Act. Suggested deadline of October 1st of each year to coincide with the Annual Security Report.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Sexual Misconduct	Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) and Violence Against Women Act, 20 U.S.C. § 1092(f)	34 C.F.R. § 668.41(e) 34 C.F.R. § 668.46	Clery Compliance Coordinator	Stockton University Police Department	Any institution that participates in federal financial aid programs must collect information with respect to campus crime statistics and campus security policies of the institution. The institution must annually distribute to current students, employees, and (upon request) prospective students or employees, an annual security report (ASR) containing various statements of institutional policies, descriptions of programs, and campus crime statistics.	By October 1 of each year, an institution must distribute its ASR to all enrolled students and current employees. The campus safety web-based statistical survey is also submitted to the U.S. Department of Education by the date and in a form specified by the Secretary.
Sexual Misconduct	Title IX of the Education Amendment of 1972, 20 U.S.C. §§ 1681-1688 University Policies I-120 and VI-28 and Procedures 1200, 6360, and 6940	DOJ: 28 C.F.R. §§42.201-42.215 ED: 34 C.F.R. § 106 EEOC: 29 C.F.R. § 1604 HHS: 45 C.F.R. § 86	Director of Title IX and EEO	Office of Equal Opportunity and Institutional Compliance	Prohibits discrimination on the basis of sex in education programs or activities receiving federal financial assistance including employment. Title IX protects students from sexual harassment in educational programs or activities operated by recipients of federal funding. The protection against sexual harassment derives from the general prohibitions against sex discrimination contained in the Title IX common rule. Any grievance records relating to a Title IX violation or complaint must be retained for the period of time cited in state law for personal injury actions.	
Sexual Misconduct	Title VII of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000e-2000e-17 University Policies I-120 and VI-28 and Procedures 1200, 6360, and 6940	29 C.F.R. §§ 42.101-42.112 29 C.F.R. §§ 1600-1605 34 C.F.R. § 100 41 C.F.R. § 60-1 45 C.F.R. § 80	Director of Title IX and EEO	Office of Equal Opportunity and Institutional Compliance	Title VII prohibits discrimination in hiring, firing, training, promotion, discipline, or other workplace decisions on the basis of an employee or applicant's race, color, sex, national origin, or religion. Sexual harassment is also prohibited under this law.	

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Tax	Byrd Amendment, 31 U.S.C. § 1352	32 C.F.R. § 28.100 34 C.F.R. § 82.100	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Requires disclosure of lobbying activities when receiving federal contracts, grants, loans or cooperative agreements.	Requires certification and disclosure with each submission for consideration of a federal contract, grant or cooperative agreement exceeding \$100,000 or an award of a federal loan or commitment providing for the U.S. to insure or guarantee a loan exceeding \$150,000. Federal contractors, grantees and those receiving federal loans and cooperative agreements must also report lobbying expenditures from non-federal sources which they used to obtain such federal program monies or contracts.
Tax	Cafeteria Plans 26 U.S.C. § 125		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	<p>A cafeteria plan is a written plan that allows employees to exclude from gross income certain types of employer provided benefits, such as accident and health insurance, group term and life insurance, and benefits under a dependent care assistance program.</p> <p>Qualified scholarships or tuition reduction, educational assistance or deferred compensation may not be excluded from income.</p> <p>For purposes of determining the taxable year of inclusion, any benefit described in paragraph (1) or (2) from the statute shall be treated as received or accrued in the taxable year of the participant or key employee in which the plan year ends.</p>	
Tax	Charitable Gift Annuity Antitrust Relief Act 15 U.S.C. § 37	IRC § 501(c)(3)	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Exempts IRC § 501(c)(3) organizations from liability under federal antitrust laws for using or agreeing to use uniform rates in issuing gift annuities.	
Tax	Deferred Compensation, 26 U.S.C. § 457		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Any amount of compensation deferred under an eligible deferred compensation plan, and any income attributable to the amounts so deferred, shall be includible in gross income only for the taxable year in which such compensation or other income.	Reporting due by the Administrator by the last day of 7th month after end of plan year. An automatic extension of up to 2 months may be obtained by filing Form 5558 with the IRS before the return/report's regular due date.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Tax	Employee Annuities, 26 U.S.C. § 403		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	If an annuity contract is purchased by an employer for an employee under a plan which meets the requirements of section 404(a)(2) (whether or not the employer deducts the amounts paid for the contract under such section), the amount actually distributed to any distributee under the contract shall be taxable to the distributee (in the year in which so distributed) under section 72 (relating to annuities).	Reporting due by the Administrator by the last day of 7th month after end of plan year. An automatic extension of up to 2 months may be obtained by filing Form 5558 with the IRS before the return/report's regular due date.
Tax	Federal Unemployment Tax Act, 26 U.S.C. §§ 3301-3311	26 C.F.R. § 31.6011(b)-2	VP for Admin & Finance - University Controller	Office fo Fiscal Affairs	Provides for payments of unemployment compensation to workers who have lost their jobs.If your FUTA tax is more than \$500 for the calendar year, you must deposit at least one quarterly payment. If not, alternate rules apply.	
Tax	Fringe Benefits, 26 U.S.C. § 132		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Any property or service (or cash under certain circumstances) provided to an employee in addition to or in lieu of regular wages will be a taxable fringe benefit to the employee, unless specifically excluded by statute.Any fringe benefit is taxable and must be included in the recipient's pay unless the law specifically excludes it.Must report the actual value on Forms 941 (or Form 944) and W-2.The employer can use a separate Form W-2 for fringe benefits and any other benefit information.	The actual value of fringe benefits provided during a calendar year (or other period as explained under special accounting rule) must be determined by January 31 of the following year.
Tax	Independent Contractors, 26 U.S.C. §§ 3401-3406		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	If an employee is mistakenly classified as an independent contractor and the employer has no reasonable basis for doing so, the employer may be held liable for employment taxes for that worker.In order to qualify as independent contractors, the individual would need to meet the Internal Revenue Service (IRS) requirements. The IRS regulatory definition of "employee" is set forth in 26 C.F.R. § 31.3401 (c) -1(b).	Form 1099-MISC must be filed with the IRS if the employer makes payments to independent contractors in the amount of \$600 or more during the year. A copy of same must be provided to the independent contractor by January 31 of the following year.

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Tax	Public Disclosure of Material, 26 U.S.C. § 6104(d)	26 C.F.R. § 301.6104(a)-1	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	The documents that must be made available to the public are: copies of the application for tax exemption (for those organizations which filed before July 15, 1987, this requirement only applies if the organization has a copy of the application on July 15, 1987); and copies of the organization's three most recent annual information returns. Each annual information return must be made available for a period of three years beginning on the date the return is required to be filed, or on the date it is actually filed, whichever is later. Generally, the annual return information includes Forms 990, 990-EZ, 990-BL, and Form 1065, as well as all schedules and attachments filed with the IRS. The tax-exempt organization does not have to identify the names and addresses of the contributors to the organization. For those tax returns filed after August 17, 2006, Form 990-T must also be made available.	
Tax	Qualified Pensions, 26 U.S.C. § 401		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	A trust created or organized in the United States and forming part of a stock bonus, pension, or profit-sharing plan of an employer for the exclusive benefit of his employees or their beneficiaries shall constitute a qualified trust.	Reporting due by the last day of 7th month after end of plan year. An automatic extension of up to 2 months may be obtained by filing Form 5558 with the IRS before the report's regular due date.

Topic	Statute and Citation	Federal & State Compliance Requirements	Operational Responsibility - Position*	Functional Compliance Office**	Statutory Summary	Applicable Reporting Requirement & Deadlines
Tax	Qualified Tuition and Student Loan Interest Reporting 26 U.S.C. § 6050S	26 C.F.R. § 1.6050S-1 26 C.F.R. § 1.6050S-2 26 C.F.R. § 1.6050S-3 26 C.F.R. § 1.6050S-4	VP for Admin & Finance - University Controller - Bursar	Office of Fiscal Affairs	<p>Institutions must report (1) qualified tuition and related expenses and (2) student loan interest to the IRS.</p> <p>Institutions must also provide payors with a statement that includes the tax information furnished to the IRS.</p>	<p>Institutions must complete Form 1098-T (qualified tuition payments) and Form 1098-E (student loan interest payments), both of which must be filed with the IRS on or before February 28th, or March 31st if filed electronically.</p> <p>The required statement to all persons who made qualified tuition or student loan interest payments must be sent to the payor on or before January 31st of the year following the calendar year in which payments were received or amounts were billed for qualified tuition and related expenses, or in which the student loan interest payments were received. The statement may simply be a copy of Form 1098-T or Form 1098-E, respectively.</p> <p>Institutions must certify that they have met the regulatory requirements for soliciting student taxpayer identification numbers (TINs) at least once during the year.</p>
Tax	Reporting of Payments of Royalties, 20 U.S.C. § 6041 26 U.S.C. § 6050N	26 C.F.R. § 1.6045-5 26 C.F.R. § 1.6041-6	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	<p>Those who make payments to attorneys aggregating \$600 or more per calendar year in connection with legal services must file an information return for such payments. This requirement applies whether or not the services were performed for the payor, so for example, if the university was a defendant in a lawsuit, and was required to pay attorney's fees, this rule would apply. The filer must also provide to the attorney a written statement of the information required to be included on the return. Note that employers must report entire settlement amounts, including the amount paid to the attorneys, as income to the plaintiff, and also prepare a Form 1099 reporting the amount paid to the attorneys as income to the attorneys.</p>	<p>Annual reporting is required for payments: Of \$400 or more made for non-payroll purposes; Of \$10 or more made for royalties; and Made to attorneys not performing services under a contract with the University.</p> <p>Reporting is done on Form 1099-MISC. Deadline to payment recipients is January 31st. Deadline for reporting to the IRS is February 28th.</p> <p>University provides 1099-MISC for any attorneys fees. University does not currently make royalty payments.</p>

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Tax	Small Business Job Protection Act, Public Law No. 104-188, 110 Stat. 1755		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Minimum distributions from tax-qualified retirement plans will not be required for workers over age 70. Benefits for those workers still working after age 70 must be actuarially adjusted for those who are participating in defined benefit plans.	Under the new rule, which commenced in 1997, distributions will not need to be made until April 1 of the year following the later of the year the employee attains age 70, or the year the employee retires. Five-percent owners and IRA holders are still subject to the minimum distribution rule, that is, they will need to start receiving distributions by April 1 of the year following attaining age 70 even if they are still working.
Tax	Unrelated Business Income (UBIT), 26 U.S.C. 511(a)(2)	26 C.F.R. § 1.511-1 26 C.F.R. § 1.513-4	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Unrelated business income is income from a trade or business, regularly carried on, that is not substantially related to the charitable, educational, or other purpose that is the basis of the organization's exemption. An exempt organization that has \$1,000 or more of gross income from an unrelated business must file Form 990-T. An organization must pay estimated tax if it expects its tax for the year to be \$500 or more. All other organizations must file Form 990-T by the 15th day of the 5th month after the end of their tax year.	University files an annual 990-T, however usually does not have UBIT tax to pay.
Tax	Employee Annuities, 26 U.S.C. § 403(b)(12)(A)(ii)		VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Require 403(b) plan sponsors to provide an effective opportunity to eligible employees to make 403(b) deferrals to the plan.	Reporting due by the Administrator by the last day of 7th month after end of plan year. An automatic extension of up to 2 months may be obtained by filing Form 5558 with the IRS before the return/report's regular due date. As a tax exempt entity, deductibility is not applicable to University, so this item is not of any concern for compliance purposes.
Tax	Quarterly federal tax returns-wgaed related	https://www.irs.gov/forms-pubs/about-form-941	VP of Admin & Finance - University Controller	Office of Fiscal Affairs	Form 941, 941-X and other federal wage related tax forms are required to be submitted either quarterly or annually as per IRS guidelines	Due quarterly by last day of the following month.

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Tax	New Jersey Sales Tax	https://www.state.nj.us/treasury/taxation/streamlined.shtml	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	<p>Organizations must file monthly Sales and Use tax returns with the State of NJ if they are the seller of any product. Certain products are exempt from sales tax, as per NJ guidelines.</p> <p>NJ Sales tax return. This return is completed quarterly for Stockton and is due on the 20th of the month following the quarter end. We do not make monthly remittance and pay the amount due for sales tax at the time we submit the return.</p> <p>Certain products are exempt from sales tax, as per NJ guidelines, see link for details.</p>	Quarterly by 20th of the following month.
Tax	Quarterly New Jersey Income Tax	https://nj.gov/labor/handbook/content/forward.html	VP for Admin & Finance University Controller	Office of Fiscal Affairs	Form NJ-927 and WR-30 must be filed quarterly with the State of NJ for all entities withholding state income taxes from its employees. See link for details.	NJ-927 tax form is due quarterly by end of the following month.
Tax	Quarterly New Jersey UI, TDI, FLI tax	https://nj.gov/labor/handbook/content/forward.html	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	This return is provided to us by the NJ Department of Labor to report amounts due for Unemployment Insurance & Workforce Development as well as Temporary Disability Insurance & Family Leave Insurance. We accrue the liability and send full payment for the quarter at the time of submitting the return. The return is completed quarterly and due on the 15th of the month following the end of the quarter. (I am unsure of the late penalties as this return is filed over email with an individual from the DOL and in my experience, we did not have a late penalty after payment was submitted past the 15th)	Due by the 15th of the month following the end of the quarter.
Tax	Annual City of Philadelphia income tax and Monthly Pennsylvania tax payments	https://www.revenue.pa.gov/FormsandPublications/FormsforBusinesses/EmployerWithholding/Pages/default.aspx	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	The PA-W3 is the quarterly Pennsylvania withholding tax return. The PA-501 is the form Stockton uses for tax deposits. As a semi-weekly filer: If total withholding is \$5,000 or greater per quarter (\$20,000 per year), the taxes are due on the Wednesday following the pay dates for employers whose paydays fall on a Wednesday, Thursday or Friday; and on the Friday following the pay dates for employers whose paydays fall on Saturday, Sunday, Monday or Tuesday.	PA-W3 is due by the last day of the month following the end of the quarter. PA-501 is semi-weekly for tax deposits.

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Tax	Foreign National tax compliance IRS regulations	https://www.irs.gov/forms-pubs/about-form-1042	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Organizations that use the services of foreign nationals including resident and nonresident aliens are required to follow strict IRS guidelines for the reporting of income and the payment/reporting of taxes related to the income. Certain exemptions do apply.	Payment frequency is based on the volume. 1042, 1042-T Tax returns are filed annually.
Tax	Nonemployee compensation	https://www.irs.gov/forms-pubs/about-form-1099-nec ; https://www.irs.gov/forms-pubs/about-form-1099-misc	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Organizations that use independent contractors for services and pay more than \$600 per year to them, are required to file certain 1099 forms per IRS regulations annually.	1099-NEC and 1099-MISC forms are mailed annually by January 31st. IRS copies are electronically filed by March 31st.
Tax	Sales tax exempt organization - NJ & FL	https://stockton.edu/fiscal-affairs/tax-compliance.html	VP for Admin & Finance - University Controller	Office of Fiscal Affairs	Stockton is an instrumentality and a component unit of the State/State agency, and is subject to sales tax exemption for all purchases in the State of NJ. Stockton also has a sales tax exemption for the State of Florida. See links for details.	No reporting required; sales tax exemption form does not expire.