

Higher Education Federal Statutory Compliance Calendar

Origination Date: March 1, 2010

Revision Date: N/A

For Updates & Information: Contact OGC

This calendar is not meant to be a totally comprehensive compliance calendar; it aims to highlight important reporting deadlines. With credit to Catholic University and Neumann University for much of the compliance information.

JANUARY

DATE	COMPLIANCE REQUIRED	OFFICE
Jan. 31 or July 31	Higher Education Act of 1965 as amended (see also July) 20 U.S.C. § 1011 Whenever any institution is owned or controlled by a foreign source or receives a gift from or enters into a contract with a foreign source, the value of which is \$250,000 or more, considered alone or in combination with all other gifts from or contracts with that foreign source within a calendar year, the institution shall file a disclosure report with the Secretary on January 31 or July 31, whichever is sooner. 20 U.S.C. § 1011(f)(a) (2008). If an Institution is within a State which has enacted requirements for public disclosure of gifts from or contracts with a foreign source that are substantially similar to the requirements of this section, a copy of the disclosure report filed with the State may be filed with the Secretary in lieu of a report required of this section. The State in which the institution is located shall provide to the Secretary such assurances as the Secretary may require to establish that the institution has met the requirements for public disclosure under State law if the State report is filed. 20 U.S.C. § 1011(d)(1)(2008). If an institution receives a gift from, or enters into a contract with, a foreign source, where any other department, agency, or bureau of the executive branch requires a report containing requirements substantially similar to those required under this section, a copy of the report may be filed with the Secretary in lieu of a report required	Finance; Advancement; OGC
Jan. 31	underthis section. 20 U.S.C. § 1011(d)(2)(2008). Tuition Payment Credit Reporting Requirements 26 U.S.C. § 6050S; 26 CFR 1.6050S-2T	Finance

	An Institution or insurer must furnish a statement to each individual for whom it is required to file a Form 1098-T, on or before January 31 of the year following the calendar year in which the payments were received, or amounts were billed, for qualified tuition and related expenses, or reimbursements, refunds, or reductions of such amounts were made.	
Jan. 31	Student Loan Interest Reporting (see also February and March) 26 U.S.C. § 6050S; 26 CFR 1.6050S-3 and 26 CFR 1.6050S-4T (See 67 Fed. Reg. 20901 final and temporary regulations)	Finance; Campus partners (Scott)
	Under I.R.C. § 6050S lenders, including most colleges and universities that participate in the Perkins Loan Program or operate institutional loan programs, must report student loan interest payments to the IRS. This is done by filing Form 1098-E, which must be filed with the IRS on or before February 28, or March 31 if filed electronically. The required statement to all persons who made student loan interest payments must be sent to the payor on or before January 31 of the year following the calendar year in which the interest payments were received. The statement may simply be a copy of the Form 1098-E.	
	Program Participation Agreements and IPEDS 20 U.S.C. § 1094(a)(17); 34 CFR § 100.6; 29 CFR §§ 1602.48-50	EM; Marketing; Fin Aid; Liz
	As part of the program participation agreements signed in connection with financial aid, an institution must complete surveys conducted as part of the Integrated Postsecondary Education Data System (IPEDS) or any other Federal Postsecondary institutional data collection effort, as designated by the Secretary, in a timely manner and to the satisfaction of the Secretary. Filing the required IPEDS forms also fulfills certain reporting requirements under Titles VI and VII of the ADA. See the IPEDS 2009-2010 . See also IPEDS 2009-2010 . See also IPEDS 2009-2010 . See also IPEDS 2009-2010 .	LILZ
Jan. 31	Internal Revenue Code: W-2 Forms 26 CFR § 31.6051-1	Finance; Payroll
	By January 31 of the year succeeding the calendar year in which wages were paid to an	

	employee, the employer must furnish the tax return copy and the employee's copy of Form W-2.	
???	Animal Welfare Act: Report by Licensees	Provost; Academic Dean
	7 U.S.C. §§ 2131 to 2156; 9 CFR § 2.7	
	Each year, within 30 days prior to the expiration date of his or her license , a licensee shall file with the AC Regional Director an application for license renewal and annual report. (This law governs the treatment of animals used for research: dogs, cats, monkeys, guinea pigs, hamsters, and other warm blooded animals).	
Jan. 15	Equity in Athletics Disclosure Act of 1994 (see also October)	Athletics; Finance
	20 U.S.C. § 1092g; 34 CFR 668.41 and 47	rmance
	Each coed institution of higher education that participates in Title IV programs, and has an intercollegiate athletic program, must no later than October 15 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, (so at the latest October 30 of each year) the school must submit the report to the Secretary of Education. See the User's Guide for Equity in Athletics Web Based Data Collection.	
	Report must be submitted by January 15 to the NCAA. The report accounts for all revenues provided/raised and expenditures incurred by the ICA for the fiscal year ending June 30. An annual financial audit of this report is conducted by an outside firm per NCAA bylaw 6.2.3.	

FEBRUARY

DATE	COMPLIANCE REQUIRED	OFFICE
Feb.1	Occupational Safety and Health Act of 1970 (OSHA)	Human Resources
through		
Apr. 30	29 U.S.C. § 654; 29 CFR 1904.32	
	Employers with 11 or more employees must post, from February 1 to April 30 , a summary of the total number of job-related injuries and illnesses that occurred in the prior calendar year. Required to post the annual totals of the information contained in the right-hand portion of OSHA Form 300, "Log and Summary of Occupational Injuries and Illnesses." The form is to be displayed wherever notices to employees are usually posted. Download the form from OSHA Website.	
Feb. 28	Tuition Payment Credit Reporting Requirements	Finance;
	26 U.S.C. § 6050S; 26 CFR 1.6050S-2T	EM?
	Form 1098-T must be filed with the IRS by February 28 (or March 31, if filed	
	electronically) of the year following the calendar year during which payments were	
	received. The proposed regulations requiring filing Forms 1098-T on magnetic media	
	impose no additional reporting or recordkeeping and only prescribe the method of	
	filing information returns that are already required to be filed.	
On or	Student Loan Interest Reporting (see also February and March)	Finance;
before	26 U.S.C. S. 60 F.O.S. 26 CFD 1 (0 F.O.S. 2 1 26 CFD 1 (0 F.O.S. 4 T.	Campus Partners
Feb. 28	26 U.S.C. § 6050S; 26 CFR 1.6050S-3 and 26 CFR 1.6050S-4T (See 67 Fed. Reg. 20901 final and temporary regulations)	(Scott)
	(See 67 Fed. Reg. 20901 final and temporary regulations)	
	Under I.R.C. § 6050S lenders, including most colleges and universities that participate	
	in the Perkins Loan Program or operate institutional loan programs, must report	
	student loan interest payments to the IRS. This is done by filing Form 1098-E, which	
	must be filed with the IRS on or before February 28, or March 31 if filed	
	electronically. The required statement to all persons who made student loan interest	
	payments must be sent to the payor on or before January 31 of the year following the	
	calendar year in which the interest payments were received. The statement may simply	

	be a copy of the Form 1098-E.	
Feb. 1 &	Return of Information as to Payments to Employees	HR;
Feb. 28		Payroll;
	26 CFR § 1.6041-2	Finance
	Employers must file Form W-2 for wages paid to each employee from whom income, social security, or Medicare taxes were withheld or income tax would have been	
	withheld if the employee had claimed no more than one withholding allowance or had not claimed exemption from withholding on Form W-4. Anyone required to file Form	
	W-2 must file Form W-3 to transmit Copy A of Forms W-2. The employer must file	
	these forms with the IRS by February 28 , or March 31 if filed electronically. Copies B, C	
	and 2 must be furnished to the employee by February 1 .	
Feb. 15	Effective Period of Withholding Exemption Certificate	HR;
		Finance
	26 CFR § 31,3402(f)(4)-2	
	A Form W-4 filed by an employee expires on February 15 of the year following the	
	year in which the Form W-4 was given to the employer. The employer must now begin	
	withholding for any employee who previously claimed an exemption, but has not given	
	the employer a new Form W-4 (see December), withhold tax as if the employee is	
	single, with zero withholding allowances.	
Feb. 1	PHS Annual Report on Possible Research Misconduct	Provost;
through		Academic Dean;
28	Once established, institutions maintain their assurance by filing the Annual Report on	Dept. Head
	Possible Research Misconduct (between January 1 and March 1 each year),	???
	submitting their policy for responding to allegations of research misconduct for review	
	when requested by ORI, revising their policy when requested by ORI to bring the policy	
	into compliance with the PHS regulation, and complying with the PHS regulation. See	
	The Office of Research Integrity Webpage on this compliance requirement.	

MARCH

DATE	COMPLIANCE REQUIRED	OFFICE
Mar. 1	Emergency Planning and Community Right-to-Know Act (EPCRA)	Facilities;
	42 U.S.C. §§ 11021 and 11022; 40 CFR § 370.21 and 370.25	Campus Safety
	By March 1 of each year, the owner or operator of any facility which is required to prepare or have available a material safety data sheet for a hazardous chemical under OSHA shall prepare and submit an emergency and hazardous chemical inventory form at the appropriate local emergency planning committee; the state emergency response commission; and the fire department with jurisdiction over the facility.	
Mar. 31	Tuition Payment Credit Reporting Requirements	Finance; EM?
	26 U.S.C. § 6050S; 26 CFR 1.6050S-2T	EM.
	Form 1098-T must be filed with the IRS by February 28 (or March 31 , if filed electronically) of the year following the calendar year during which payments were received. The proposed regulations requiring filing Forms 1098-T on magnetic media impose no additional reporting or recordkeeping and only prescribe the method of filing information returns that are already required to be filed.	
Mar. 31	Student Loan Interest Reporting (see also February and March) 26 U.S.C. § 6050S; 26 CFR 1.6050S-3 and 26 CFR 1.6050S-4T (See 67 Fed. Reg. 20901 final and temporary regulations)	Finance; Campus Partners (Scott)
	Under I.R.C. § 6050S lenders, including most colleges and universities that participate in the Perkins Loan Program or operate institutional loan programs, must report student loan interest payments to the IRS. This is done by filing Form 1098-E, which must be filed with the IRS on or before February 28, or March 31 if filed electronically. The required statement to all persons who made student loan interest payments must be sent to the payor on or before January 31 of the year following the calendar year in which the interest payments were received. The statement may simply be a copy of the Form 1098-E.	

Mar. 31	Return of Information as to Payments to Employees 26 CFR § 1.6041-2	HR; Payroll; Finance
	Employers must file Form W-2 for wages paid to each employee from whom income, social security, or Medicare taxes were withheld or income tax would have been withheld if the employee had claimed no more than one withholding allowance or had not claimed exemption from withholding on Form W-4. Anyone required to file Form W-2 must file Form W-3 to transmit Copy A of Forms W-2. The employer must file these forms with the IRS by February 28, or March 31 if filed electronically. Copies B, C and 2 must be furnished to the employee by February 1.	
Mar. 15	Form 1042/1042-S Filing and Information Returns 26 U.S.C. § 871; 26 CFR 1.146-1	HR; CGS Finance
	Form 1042-S is used to report all non-employee payments to non-resident aliens and payments to nonresident employees who claim exemptions from federal income taxes due to a tax treaty. (The taxable portion of payments to nonresident employees are reported on IRS Form W-2 in January).	
	The institution must file Form 1042, and copies of all Forms 1042-S with the IRS by March 15 of the calendar year following the year in which the income was paid. In addition, Form 1042-S must be sent to each recipient of an amount subject to reporting by March 15 of the calendar year following the year in which the income was paid.	
	The Student Right to Know Law: Information on Completion or Graduation Rates 20 U.S.C. § 1092; 34 CFR §§ 668.41 and 668.45	EM; Marketing; Liz
	The disclosure date is July 1 following 150% of the normal time for completion/graduation from its programs. Completion of the Graduation Rate Survey (GRS)(part of IPEDS reporting done March – April meets the reporting requirements of the Student Right to Know Law). See the <u>IPEDS summary of HEO changes in Reporting for IPEDS 2009-2010</u> . See also <u>the NAICU Calendar of new Reporting Requirements</u> .	

Misc.	Program Participation Agreements and IPEDS	EM;
		Marketing;
	20 U.S.C. § 1094(a)(17); 34 CFR § 100.6; 29 CFR §§ 1602.48-50	Liz
	As part of the program participation agreements signed in connection with financial	
	aid, an institution must complete surveys conducted as part of the Integrated	
	Postsecondary Education Data System (IPEDS) or any other Federal Postsecondary	
	institutional data collection effort, as designated by the Secretary, in a timely manner	
	and to the satisfaction of the Secretary. Filing the required IPEDS forms also fulfills	
	certain reporting requirements under Titles VI and VII of the ADA.	
Misc.	Financial Status Reports	Finance;
	·	Budget & Grant
	A Financial Status Report (FSR) is a statement of expenditures sent to the sponsor of a	
	grant or contract. Typically they are due quarterly and can be due at the end of both	
	Budget Period and Project Period within 90 days after the expiration date, and may be	
	required at interim times.	
July 31	Employee Retirement and Social Security Act (ERISA)	HR;
		Finance
	29 U.S.C. § 1024; 29 CFR § 2520.104a-5; 29 CFR § 2520.104b-10	
	The administrator of an employee benefit plan must file a Form 5500 within 210 days	
	after the close of the plan year. Thus, if the plan year is the same as the calendar year,	
	and ends December 31, then the filing deadline is July 31 of the next year. An extension	
	of the filing deadline of up to two-and-a-half months can be obtained by using form	
	5558. If the plan year and tax year are the same, and you obtain an extension for filing	
	the institutions tax return, then the deadline for the 5500 is automatically extended as	
	well.	
	A summary annual report must be sent to each plan participant and beneficiary	
	receiving benefits within nine (9) months of the end of the plan year. If the institution	
	obtains an extension for filing the 5500, the extension for distributing is extended two	
	months after the filing of form 5500. See the <u>TIAA-CREF ERISA 5500 Calendar</u> for due	
	dates and extension dates based upon when your plan year ends.	

APRIL

DATE	COMPLIANCE REQUIRED	OFFICE
Apr. 1	Teacher Education Program Reporting Requirements	EM
	20 U.S.C. § 1027(f)	
	Universities must report annually to their state government and the public the pass	
	rate on teacher certification examinations taken by their graduates. The reporting	
	deadline is April 1 . <u>Link to reports on the ED website</u> .	
Apr. 15	IRS Form 5227 – Split Interest Trust Information Return (annual)	Finance;
		Advancement;
	All charitable remainder trusts described in I.R.C. § 664 must file Form 5227. All pooled	President's Office
	income funds described in section 642(c)(5) and all other trusts such as charitable lead	
	trusts that meet the definition of a split-interest trust type under section 4947(a)(2)	
	must file form 5227 unless an exception applies.	
Apr. 14,	Program Participation Agreements and IPEDS	EM;
2010	20 1/ 2 2 2 4 2 2 4 2 1 2 4 2 1 2 2 4 2 1 2 2 4 2 2 2 2	Marketing;
	20 U.S.C. § 1094(a)(17); 34 CFR § 100.6; 29 CFR §§ 1602.48-50	Fin Aid;
	As a sept of the consequence and in a sept of the consequence of the c	Liz
	As part of the program participation agreements signed in connection with financial aid, an institution must complete surveys conducted as part of the Integrated	
	Postsecondary Education Data System (IPEDS) or any other Federal Postsecondary	
	institutional data collection effort, as designated by the Secretary, in a timely manner	
	and to the satisfaction of the Secretary. Filing the required IPEDS forms also fulfills	
	certain reporting requirements under Titles VI and VII of the ADA. See the <u>IPEDS</u>	
	summary of HEO changes in Reporting for IPEDS 2009-2010. See also the NAICU	
	Calendar of new Reporting Requirements.	
	Winter collection opens December 2, 2009 and closes January 20, 2010. The	
	Winter concedion opens December 2, 2009 and closes April 14, 2010. The	
	Winter/Spring collection is a little different than in years past. In the past, NCES waited	
	until Spring for Grad Rates and Student Financial Aid. However, this year NCES has	
	opened all of them up in December and they will remain open until April 14, 2010 .	

JUNE

DATE	COMPLIANCE REQUIRED	OFFICE
June 30	Hazardous Materials Transportation Act of 1994	Facilities;
	49 U.S.C. § 5108; 49 CFR § 107.608	Risk Management
	Each person who transports or causes to be transported hazardous material shall file annually a complete and accurate registration statement on DOT Form F 5800.2 not later than June 30 for each registration year. Each registration year begins on July 1 and ends on June 20.	
Misc.	Financial Status Reports	Finance; Budget & Grant
	A Financial Status Report (FSR) is a statement of expenditures sent to the sponsor of a grant or contract. Typically they are due quarterly and can be due at the end of both Budget Period and Project Period within 90 days after the expiration date, and may be required at interim times.	Zuagot a druite

JULY

DATE	COMPLIANCE REQUIRED	OFFICE
July 31	Employee Retirement and Social Security Act (ERISA)	HR; Finance
	29 U.S.C. § 1024; 29 CFR § 2520.104a-5; 29 CFR § 2520.104b-10	
	The administrator of an employee benefit plan must file a Form 5500 within 210 days after the close of the plan year. Thus, if the plan year is the same as the calendar year, and ends December 31, then the filing deadline is July 31 of the next year. An extension of the filing deadline of up to two-and-a-half months can be obtained by using form 5558. If the plan year and tax year are the same, and you obtain an extension for filing the institutions tax return, then the deadline for the 5500 is automatically extended as well.	
	A summary annual report must be sent to each plan participant and beneficiary receiving benefits within nine (9) months of the end of the plan year. If the institution obtains an extension for filing the 5500, the extension for distributing is extended two months after the filing of form 5500. See the <u>TIAA-CREF ERISA 5500 Calendar</u> for due dates and extension dates based upon when your plan year ends.	
	Higher Education Opportunity Act of 2008 and ISBN Textbook Provision	Finance; EM;
	Effective July 1 , 2010 (to the maximum extent feasible) each school shall disclose the International Standards Book Number (ISBN) and retail price for required and recommended textbooks and supplemental materials for each course listed on the schedule (posted on the web or print course schedule). 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* may be noted. Written course schedules should indicate where on the university web page this info will be posted. HEOA encourages schools to disseminate information regarding book rentals, used textbooks, buy-back 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.	Bookstore

July 1 & July 31	Toxic Substances Control Act	Facilities
July 31	15 U.S.C. § 2607; 40 CFR 761.180	
	A written annual document log of the disposition of PCBs (in electronic transformers) and PCB items must be prepared for each facility by July 1 , 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 15 of each year.	
_	Voter Registration Provision in Higher Education Amendments of 1998 Pub. Law. No. 105-244, 112 Stat. 1581 (1998) and 20 U.S.C. § 1094(a)(23)(A)	Student Affairs; Marketing; Sue Getlin
	The institution must request voter registration forms from the state 120 days prior to the deadline for registering to vote and make the forms "widely available" to each student enrolled in a degree or certificate program and physically in attendance at the institution. Many states have voter registration forms online, which makes compliance easier and the timeline less onerous, as links can be posted in September for November elections covered under the law.	
	Pennsylvania's voter registration form is online at: http://www.votespa.com/portal/server.pt/community/register-to-vote/13518/home/587710	
	Delaware's is at: https://registertovote.elections.delaware.gov/VoterRegistration/TermsAgreement	
	New Jersey's is by county, for the county registration form list see: http://www.state.nj.us/state/elections/voter-registration-application.html	
Jan. 31 or July 31	Higher Education Act of 1965 as amended (see also January) 20 U.S.C. § 1011	Finance; Advancement; OGC
	Whenever any institution is owned or controlled by a foreign source or receives a gift from or enters into a contract with a foreign source, the value of which is \$250,000 or more, considered alone or in combination with all other gifts from or contracts with that foreign source within a calendar year, the institution shall file a disclosure report with the Secretary on January 31 or July 31 , whichever is sooner. 20 U.S.C. § 1011(f)(a) (2008).	
	If an Institution is within a State which has enacted requirements for public disclosure of gifts	

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	from or contracts with a foreign source that are substantially similar to the requirements of this section, a copy of the disclosure report filed with the State may be filed with the Secretary in lieu of a report required of this section. The State in which the institution is located shall provide to the Secretary such assurances as the Secretary may require to establish that the institution has met the requirements for public disclosure under State law if the State report is filed. 20 U.S.C. § 1011(d)(1)(2008).	
	If an institution receives a gift from, or enters into a contract with, a foreign source, where any other department, agency, or bureau of the executive branch requires a report containing requirements substantially similar to those required under this section, a copy of the report may be filed with the Secretary in lieu of a report required underthis section. 20 U.S.C. § 1011(d)(2)(2008).	
July 31	Annual Report for all J-1 Sponsors for the Exchange Visitor Program 22 CFR 62.15 (what is included in report)	EM; CGS; Admissions
	All J-1 sponsors must submit an annual report generated from SEVIS along with a narrative of the year. Sponsors must submit an annual report to DoS. The report must be filed on an academic, calendar, or fiscal year, as stipulated on the program's designation or redesignation letter. The annual reporting cycle is also listed on the Program Information Screen. The due dates are: Academic Year Ends: June 30 Report due to DoS July 31 ; Calendar Year Ends: December 31 Report due to DoS: January 31; Fiscal Year Ends: September 30 Report due to DoS: October 31.	
	NCAA Certification Transfer Eligibility	Athletics
	Annual certification of transfer eligibility to compete and receive financial aid.	

AUGUST

DATE	COMPLIANCE REQUIRED	OFFICE
	Campus Security Act of 1990	Finance; Campus Safety
	20 U.S.C. §§ 1092(a)(1)(0) and 1092(f)(5); 34 CFR §§ 668.46 and 668.41	Campus safety
	The Campus Security Act requires colleges to report campus crime statistics and security measures to all students and employees by October 1 of each year. The annual security report must also be submitted to the Secretary of Education (via the internet) each year, by October 15 of each year.	
	The Family Educational Rights and Privacy Act of 1974 (FERPA)	EM; CGS
	20 U.S.C. § 1232(g); 34 CFR § 99.7 and distribution also referred to in 20 U.S.C. § 1092(a)	
	Each educational agency or institution shall annually notify students currently in attendance, of their rights under FERPA. Notification of these rights concurrent with fall registration is suggested, as the student needs to be told what information the student has identified as directory information and notified of his/her opportunity to place a hold on release of directory information.	
	Program Participation Agreements and IPEDS 20 U.S.C. § 1094(a)(17); 34 CFR § 100.6; 29 CFR §§ 1602.48-50	EM; Marketing; Fin Aid;
	As part of the program participation agreements signed in connection with financial aid, an institution must complete surveys conducted as part of the Integrated Postsecondary Education Data System (IPEDS) or any other Federal Postsecondary institutional data collection effort, as designated by the Secretary, in a timely manner and to the satisfaction of the Secretary. Filing the required IPEDS forms also fulfills certain reporting requirements under Titles VI and VII of the ADA. See the IPEDS summary of HEO changes in Reporting for IPEDS 2009-2010. See also the NAICU Calendar of new Reporting Requirements.	Liz
	 Multiple NCAA Reporting NCAA Administrative Review Subcommittee Waivers - Infrequently used waiver seeking relief 	Athletics; Student Affairs

- of NCAA rules and regulations.
- NCAA Annual Academic Certification to Compete, Practice and Receive Athletically Related Aid Conducted at student-athletes start-up meeting certifying eligibility to compete, practice and receive athletically related aid.
- NCAA Annual Certification of On-Campus Recruiting Rules Conducted in annual department start-up meeting certifying knowledge of rules and regulations that apply to on-campus recruiting.
- NCAA Buckley Waiver Form (Prior to first day of practice for each team) Annual sign-off by student-athletes that provides department access to student-athlete educational records.
- NCAA Continuing Eligibility Waivers Request submitted by University to NCAA seeking a waiver of relief from at least one element or aspect of continuing eligibility requirements.
- NCAA Drug Consent Form (Prior to first day of practice for each team Two forms signed at annual student-athletes start-up meeting: (1) consent to conduct NCAA test, and (2) to conduct testing through UNCG intervention policy where results might be shared with parents.
- NCAA Initial Eligibility Waiver Request submitted by University to NCAA seeking a waiver of relief from at least one element or aspect of initial eligibility requirements.
- NCAA Injury Surveillance System (ISS) FERPA consent signed by each student-athlete prior to participation annual and filed in each student-athletes' medical chart.
- NCAA International Student-Athlete Eligibility Form (Prior to first day of practice for each team) Annual certification of eligibility of international student-athletes to compete and receive financial aid.
- NCAA Squad List (Prior to first day of competition for each team) Annual listing of certified participants in each sport sponsored by University.
- NCAA Student-Athlete Employment Declaration Form (Prior to first day of practice for each team) Annual declaration of employment for student-athletes.
- NCAA Student-Athlete Vehicle Declaration Form (Prior to first day of practice for each team) Annual declaration of ownership of vehicle(s) used by student-athletes.
- Middle Atlantic Conference Requirements ???

SEPTEMBER

DATE	COMPLIANCE REQUIRED	OFFICE
	Voter Registration Provision in Higher Education Amendments of 1998	Student Affairs;
		Marketing;
	Pub. Law. No. 105-244, 112 Stat. 1581 (1998) and 20 U.S.C. § 1094(a)(23)(A)	Sue Getlin
	The institution must request voter registration forms from the state 120 days prior to the	
	deadline for registering to vote and make the forms "widely available" to each student enrolled	
	in a degree or certificate program and physically in attendance at the institution. Many states	
	have voter registration forms online, which makes compliance easier and the timeline less	
	onerous, as links can be posted in September for November elections covered under the law.	
	Pennsylvania's voter registration form is online at:	
	http://www.votespa.com/portal/server.pt/community/register to vote/13518/home/587710	
	Delaware's is at:	
	https://registertovote.elections.delaware.gov/VoterRegistration/TermsAgreement	
	New Jersey's is by county, for the county registration form list see:	
	http://www.state.nj.us/state/elections/voter-registration-application.html	
	Program Participation Agreements and IPEDS	EM;
		Marketing;
	20 U.S.C. § 1094(a)(17); 34 CFR § 100.6; 29 CFR §§ 1602.48-50	Fin Aid;
		Liz
	As part of the program participation agreements signed in connection with financial aid, an	
	institution must complete surveys conducted as part of the Integrated Postsecondary Education	
	Data System (IPEDS) or any other Federal Postsecondary institutional data collection effort, as	
	designated by the Secretary, in a timely manner and to the satisfaction of the Secretary. Filing	
	the required IPEDS forms also fulfills certain reporting requirements under Titles VI and VII of	
	the ADA. See the <u>IPEDS summary of HEO changes in Reporting for IPEDS 2009-2010</u> . See also	
	the NAICU Calendar of new Reporting Requirements.	
	Fall collection opens Sept. 2, 2009 and Closes October 10, 2009.	

	Executive Orders 11,246 and 11,375	Marketing;
		Finance
	41 CFR § 60-1.7	Facilities;
		Administrative Services
	Contractors and subcontractors with 50 or more employees who have a contract, subcontract,	
	or purchase order with the federal government amounting to \$50,000 or more must file the	
	IPEDS forms as required each year. This is what is used by IHR's in place of EEO-6 forms.	
Sept. 1	General Provisions Relating to Student Assistance Programs (Program Participation Agreements):	EM;
	Financial Aid and Institutional Information	Marketing;
	20 H C C CC 1002() 14004 24 CFD CC ((0.42) 1 ((0.42))	Sue Getlin
	20 U.S.C. §§ 1092(a) and 1094; 34 CFR §§ 668.42 and 668.43, et seq.	
	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 make available as well. No deadline specifically enumerated, September 1 is suggested. For	
	an example see Catholic University's required disclosures, which are online at	
	http://counsel.cua.edu/studlife/publications/consumerinfo.cfm	
Sept. 30	The Veteran's Readjustment Benefits Act	Finance;
		Facilities;
	41 CFR § 61-250.10	Administrative Services
	By Sept. 30 of each year, federal contractors and subcontractors must file a Federal	
	Contractor's Veterans' Employment Report (VETS-100). See the DOL webpage for more on this	
	requirement. The report is for information required with respect to the prior calendar year.	
Misc.	Financial Status Reports	Finance;
		Budget & Grant
	A Financial Status Report (FSR) is a statement of expenditures sent to the sponsor of a grant or	
	contract. Typically they are due quarterly and can be due at the end of both Budget Period and	
	Project Period within 90 days after the expiration date, and may be required at interim times.	
	Multiple NCAA Reporting	Athletics;
		President's Office
	• NCAA Academic Progress Rate (six weeks after the first day of classes) – annual compilation of	
	data reported to NCAA for each sport.	
	• NCAA Certification of Compliance for Institution (September 15) – Annual signoff by	
	chancellor that Institution is in compliance.	

	• NCAA Certification of Compliance for Staff Members of Athletics Departments (September 15) – Annual certification of compliance by department staff on NCAA rules and regulations.	
Annually	Copyright Infringement Policies and Sanctions 20 U.S.C. § 1092(a)(1); 34 CFR 668.43(a)(10)	IT; Marketing; Liz; Sue Gettlin
	 Institutions must annually make available to current and prospective students the institution's policies and sanctions related to copyright infringement, including: A statement that explicitly informs student that unauthorized distribution of copyrighted material, including unauthorized peer-to-peer file sharing, may subject the students to civil and criminal liabilities; A summary of the penalties for violation of federal copyright laws; and The institution's policies with respect to unauthorized peer-to-peer file sharing, including disciplinary actions taken against students who engage in [illegal downloading or] unauthorized distribution of copyrighted materials using the institution's information technology system. 	

OCTOBER

DATE	COMPLIANCE REQUIRED	OFFICE
Oct. 1,	Missing Student Notification Policy and Procedures	Public Safety;
2010		OGC;
	20 U.S.C. § 1092(j)	Student Affairs
	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. Based upon the status of negotiated rulemaking, it appears likely that this policy will	
	have to be in place by the annual security report distributed by October 1, 2010 .	
Oct. 1,	Emergency Response Policies and Procedures	Public Safety;
2010		Facilities;
	Required by HEOA 2008	Administrative Services
	Institutions are required to disclose emergency response policies and evacuation procedures.	
	The first annual security report in which a statement of policy would need to be included would	
	be the report due for distribution by October 1, 2010.	
	be the report due for distribution by October 1, 2010 .	
Oct. 1,	Disclosure of Fire Safety Standards and Measures	Public Safety
2010		
	§ 485 of the HEOA 2008 Amendments; 20 U.S.C. § 1092(i) report to Secretary of Education	
	Certain statistics set forth in the statute must be reported to the Secretary of Education on an	
	annual basis. At this point in time, the format for reporting the statistics has not yet been	
	established. The first report will likely be due October 1, 2010.	
	Can be disclosed with Annual Security Report, however if done separately, it must include	
	information in each report on hose to directly access the other report.	
Oct. 1;	Annual Security Report - Campus Security Act of 1990	Public Safety
Oct. 15	20 M G G (20 4000 () (4) (0)	
	20 U.S.C. §§ 1092(a)(1)(0) and 1092(f)(5); 34 CFR §§ 668.46 and 668.41	

	The Campus Security Act requires colleges to report campus crime statistics and security measures to all students and employees by October 1 of each year. The annual security report must also be submitted to the Secretary of Education (via the internet) each year, by October 15	
	of each year.	
	§§488(e) and (f) of the HEOA 2008	
	The 2008 HEOA amended the reporting requirements to require the inclusion of:	
	 Information regarding the existence of any agreements (MOUs) with State and local law enforcement agencies for the investigation of alleged criminal offenses; and 	
	The reporting of four (4) additional crimes (larceny-theft, simple assault, intimidation and destruction, damage or vandalism of property) but only if such offenses are	
	committed as hate crimes (i.e., if the victim is intentionally selected because of race,	
Oct. 1	gender, religious, sexual orientation, ethnicity, or disability). The Drug-Free Schools and Communities Act Amendments of 1989	Public Safety;
Oct. 1	The Drug Tree schools and communicies net timenaments of 1909	Student Affairs;
	20 U.S.C. § 1011i; 34 CFR § 86.100	Human Resources;
	20 0.5.d. g 1011i, 51 di R g 00.100	OGC
	Annual distribution to students and employees of the institution's standards of conduct with	odd
	respect to illegal drugs and alcohol, a description of the applicable legal sanctions and health	
	risks; as well as availability of drug and alcohol counseling available to employees and students.	
	Must also include a statement on sanctions the institution will impose for violations of the	
	standards of conduct. 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 of which is required by October 1 , of each year.	
	Program Participation Agreements and IPEDS	EM;
	20 U.S.C. § 1094(a)(17); 34 CFR § 100.6; 29 CFR §§ 1602.48-50	Marketing; Fin Aid; Liz
	As part of the program participation agreements signed in connection with financial aid, an	ши
	institution must complete surveys conducted as part of the Integrated Postsecondary Education	
	Data System (IPEDS) or any other Federal Postsecondary institutional data collection effort, as	
	designated by the Secretary, in a timely manner and to the satisfaction of the Secretary. Filing	
	the required IPEDS forms also fulfills certain reporting requirements under Titles VI and VII of	
	the ADA. See the IPEDS summary of HEO changes in Reporting for IPEDS 2009-2010. See also	
	the NAICU Calendar of new Reporting Requirements.	

Oct. 1	FISAP Reporting (by October 1st) Fiscal Operations Report and Application to Participate (FISAP) concerns the three Campus-Based programs: Federal Perkins Loan, Federal Supplemental Educational Opportunity Grant (FSEOG), and Federal Work-Study (FWS). In effect, FISAP represents fiscal operations and requests for future funding for Title IV Federal Campus Based funds (SEOG, Perkins Loan, Workstudy) and Federal Pell Grant Reporting.	Finance; Enrollment Management; Liz; Financial Aid
	For all deadlines see https://cbfisap.ed.gov/ecb/CBSWebApp/ Animal Welfare Assurance from NIH IACUC/OLAW (Office of Laboratory Animal Welfare) Assurance report: http://grants.nih.gov/grants/olaw/sampledoc/assur.htm	Provost
Oct. 15 & Oct. 31	 Multiple NCAA Reporting Athletic Directors' Association Disclosure Report NCAA Officiating, Rules Changes and Video Certification for Men's and Women's Basketball (on or before October 15) – annual sign-off by basketball coaches that they have reviewed officiating and rules changes. Conference ICA Survey (October 31) – Used for comparative data institution to institution. (compatible to EADA report). 	Athletics
Oct. 15 & Oct. 30	Equity in Athletics Disclosure Act of 1994 (see also January) 20 U.S.C. § 1092g; 34 CFR 668.41 and 47 Each coed institution of higher education that participates in Title IV programs, and has an intercollegiate athletic program, must no later than October 15 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, (so at the latest October 30 of each year) the school must submit the report to the Secretary of Education. See the User's Guide for Equity in Athletics Web Based Data Collection. Report must be submitted by January 15 to the NCAA. The report accounts for all revenues provided/raised and expenditures incurred by the ICA for the fiscal year ending June 30. An annual financial audit of this report is conducted by an outside firm per NCAA bylaw 6.2.3.	Athletics; Finance

October	Net Price Calculator	Marketing,
2011	· ·	Liz,
	20 U.S.C. § 1015a(a) (HEOA Amendments)	EM;
		Sue Gettlin
	Institutions must make available on their websites a net price calculator within 2 years after the	
	Department of Education makes available a template http://npc.inovas.net/institution/ . The	
	institution may use the Department template or develop a customized version that must	
	include, at a minimum, the same as elements as the Department's version.	
	Information for Crime Victims about Disciplinary Proceedings	Student Affairs
	· ·	
	20 U.S.C. § 1094(a); added HEA § 487(a)(26) – Effective August 14, 2009	
	Institutions must, upon written request, disclosure to the alleged victim of any crime of	
	violence, or a nonforcible sex offense, the results of any disciplinary proceeding conducted by	
	the institution against a student who is the alleged perpetrator of such crime or offense. If the	
	alleged victim is deceased as a result of the crime or offense, the information shall be provided,	
	upon request, to the next of kin of the alleged victim.	
	,	
	Applicable to any proceeding initiated on or after August 14, 2009.	

NOVEMBER

DATE	COMPLIANCE REQUIRED	OFFICE
	Internal Revenue Code: Filing Form 990	Finance;
	26 U.S.C. § 6033; 26 CFR § 1.6033-2	Board of Trustees
	Exempt organizations who do not fall under a statutory exception must file an annual return with the IRS. The return must be filed on or before the 15 th day of the fifth calendar month following the close of the institution's fiscal year. The fiscal year at Arcadia ends on June 30, the return is due November 15 of each year.	
	NCAA: Athletic Director's Association Disclosure Report	Athletics

DECEMBER

DATE	COMPLIANCE REQUIRED	OFFICE
Dec. 2,	Program Participation Agreements and IPEDS	EM;
2009		Marketing;
	20 U.S.C. § 1094(a)(17); 34 CFR § 100.6; 29 CFR §§ 1602.48-50	Fin Aid;
		Liz
	As part of the program participation agreements signed in connection with financial aid, an institution must complete surveys conducted as part of the Integrated Postsecondary Education	
	Data System (IPEDS) or any other Federal Postsecondary institutional data collection effort, as	
	designated by the Secretary, in a timely manner and to the satisfaction of the Secretary. Filing	
	the required IPEDS forms also fulfills certain reporting requirements under Titles VI and VII of	
	the ADA. See the <u>IPEDS summary of HEO changes in Reporting for IPEDS 2009-2010</u> . See also	
	the NAICU Calendar of new Reporting Requirements.	
	Winter collection opens December 2, 2009 and closes January 20, 2010. The Winter/Spring	
	collection opens December 2, 2009 and closes April 14, 2010. The Winter/Spring collection is	
	a little different than in years past. In the past, NCES waited until Spring for Grad Rates and Student Financial Aid. However, this year NCES has opened all of them up in December and they	
	will remain open until April 14, 2010.	
Dec. 1	Animal Welfare Act	President;
		Provost
	9 CFR § 2.36	
	If live animals are used by the institution in research, tests, experiments or for teaching, then	
	the part of the institution responsible for the research must submit an annual report to the AC	
	Regional Director for the state where the institution is located on or before December 1 of each	
	calendar year. The report shall be signed by the CEO or Institutional Official and shall cover the previous financial year.	
Dec. 1	U.S. Tax Code: Withholding Exemption Certificates	Finance;
200.1	Sie. Tan Cour. Winnerwing Enemption Contiguous	HR
	26 CFR § 31.3492(f)(2)-1(c)(3)	
	The employer is required to request a withholding certificate from each employee, but if the	

		,
	employee fails to furnish such certificate, the employer shall consider that employee a single person claiming no withholding. On or before December 1 of each year, every employer should request of each employee a newly completed withholding exemption certificate for the ensuing calendar year.	
Dec. 31	Internal Revenue Code: Tuition Payment Credit Reporting Requirements	Finance
	26 CFR §§ 1.6050S-3 and 301.6109	
	An institution must request the taxpayer identification number (TIN) of each individual (student) with respect to whom payments of qualified tuition were received, or reimbursement or refunds were made, if it does not already have a record of the individual's correct TIN. If the institution does not have a record of the individual's correct TIN, then it must solicit the TIN on or before December 31 . A request for a TIN made on <u>Form W-9S</u> , "Request for Student's or Borrower's Social Security Number and Certification," satisfies the requirements. An institution that follows the regulations for soliciting a TIN will be considered to have acted in a responsible manner and will not be subject to penalties under I.R.C. § 6721.	
Dec. 31	Occupational Safety and Health Act of 1970 (OSHA) (see also February)	HR
	29 U.S.C. § 654; 29 CFR 1904.32	
	By December 31 of each calendar year, the employer must review the OSHA 300 Log to verify entries, create an annual summary of injuries and illnesses, and certify the summary, which must be posted no later than February 1 of the following year and kept in place until April 30. Download the form from OSHA Website .	
Misc.	Financial Status Reports	Finance;
	A Financial Status Report (FSR) is a statement of expenditures sent to the sponsor of a grant or contract. Typically they are due quarterly and can be due at the end of both Budget Period and Project Period within 90 days after the expiration date, and may be required at interim times.	Budget & Grant
	NCAA Legislative Review Institution Vote – Conference tall sheet on institutional votes	Athletics