

Legislative Report on ORS 352.069

December 2022

OCOP

Oregon Council of Presidents

Legislative Mandates on Public Universities and Administrative Costs



Oregon Council of Presidents

December 2022

Table of Contents

Report	1
Introduction	1
Legislative Mandates	1
<i>Federal Mandates</i>	1
<i>State Mandates</i>	2
Impact of Mandates on the Cost of Higher Education	2
<i>Quantifying Costs – Challenges</i>	3
<i>Quantifying Costs – Federal</i>	4
<i>Quantifying Costs – State</i>	4
Causes of Any Increase in Administrative Positions	6
<i>Serving Today's Students</i>	6
<i>Mandates Unrelated to Education and Safety</i>	8
Methods to Monitor and Control Cost Drivers	9
<i>Examples</i>	10
Conclusion	10
Appendix	11
Statutory State Mandates	12
Federal Mandates	28
Administrative Mandates	94
Institution-Specific Mandates	96
Other Mandates	99

Introduction

ORS 352.069, enacted by House Bill 3288 (2017), directs Oregon's public universities to submit a report to the Higher Education Coordinating Commission (HECC) by January 1, 2023, identifying:

- (1) Legislative mandates imposed on public universities;
- (2) The impact of legislative mandates on the costs of higher education at the public university;
- (3) The causes of any increase in administrative positions occurring at the public university;
- (4) The actions that have been taken at the public university to monitor and control cost drivers, such as administrative services; and
- (5) Any other relevant matter the public university considers important to include in the report.

The HECC is directed to compile a report from the information received and submit it as part of the Commission's budget presentation to the Joint Committee on Ways and Means during odd-numbered years.

The following report fulfills each reporting requirement described above and includes an addendum listing over 475 applicable mandates. Oregon's public universities appreciate the opportunity to provide more information on the breadth and scope of legislative mandates. In addition, they would welcome the opportunity to work with the Legislature and the Higher Education Coordinating Commission (HECC) to examine any individual requirements more closely. Like many other Oregon public bodies, mandated cost drivers, including retirement and health care benefits, continue to outpace increases in state revenue. As most public university costs are paid through tuition and other revenue, mandated costs have steadily shifted to those who can least afford it – students and their families.

Legislative Mandates

The attached spreadsheet details over 475 mandates applicable to Oregon's public universities, originating from federal statutes and regulations, and Oregon statutes and administrative rules.

Federal Mandates

A Task Force on Federal Regulation of Higher Education (hereafter referred to as the federal Task Force), appointed in 2013 by a bipartisan group of U.S. Senators, released a report in 2015 that found the number of federal requirements placed on colleges and

universities grew by 56 percent between 1997 and 2012.¹ Since 2012, the breadth and scope of federal mandates have continued to increase.

The federal mandates addendum is drawn from the Higher Education Compliance Alliance (Alliance), which maintains a [matrix](#) of federal mandates. The National Association of College and University Attorneys created the Alliance to provide the higher education community with a centralized repository of information and resources for compliance with federal laws and regulations. This matrix identifies nearly 300 federal mandates that apply to Oregon's public universities, ranging from discrimination provisions to financial aid constraints to research and copyright requirements.

State Mandates

Approximately 112 state mandates apply to all Oregon public universities, and another 32 apply to individual public universities. Approximately 28 of the mandates in Oregon statute include reporting requirements that apply specifically to universities or other entities like the HECC that require contributions of information or time from the universities. An additional 33 mandates appear in administrative rule or requests from other state agencies. These state-level mandates range from required participation in the state's retirement program, to reports on university use of outside legal counsel, to the mandatory provision of menstrual products at no cost in bathrooms of every university building that serves students.

Impact of Mandates on the Costs of Higher Education

Oregon's public universities must comply with an extensive collection of state and federal mandates that vary in their impact on university resources. Legislative mandates on universities often require additional staffing and tracking to ensure compliance and are not always accompanied by sufficient funding to account for increased expenses and utilization of staff time.

While laws and regulations have important and valuable goals, they still exist in a limited resource environment. Time and effort spent devoted to compliance for compliance's sake is time and effort not spent on operational efficiency, not advancing the institution's mission, not innovating, and not serving students. There is no practicable method of precisely quantifying the cost of all mandates, although select studies cited below allow estimations of the extent of the financial burden that can direct resources away from the mission and increase costs to students.

¹ *Recalibrating Regulation of Colleges and Universities, Report of the Task Force on Federal Regulation of Higher Education* - <https://www.acenet.edu/news-room/Documents/Higher-Education-Regulations-Task-Force-Report.pdf>, p. 7.

It can also be the case that impacts are not fully identified when a new state or federal mandate is enacted, requiring universities to pay additional hidden costs. As the federal Task Force observed, "costs imposed by federal regulations are almost always passed on to the consumer in the form of higher prices. And when costs are not passed on, there is likely to be a loss of services as resources are redirected toward compliance mandates."²

Other mandatory costs continue to grow without a proportional increase in university funding. Biennial health and retirement costs of universities, for example, have grown by over \$450 million since the 2007-09 biennium, while state funding of the Public University Support Fund (PUSF) has only risen by \$332 million over the same period.

Excessive regulation can also inhibit the ability of institutions to innovate in ways that benefit students. The federal Task Force identified several examples, such as the U.S. Department of Education's definition of a credit hour. By relying on the concept of "seat time," the Department's definition discouraged institutions from developing new and innovative methods for delivering and measuring education, such as competency-based models.³

Quantifying Costs – Challenges

When attempting to determine mandates' impact on higher education costs, it is important to understand some difficulties in calculating compliance costs. Often, the required duties and functions to properly comply with a new regulation are absorbed by staff already required to perform other duties. As such, while a new requirement may not incur a specific cost, workload increases can affect the attentive and timely completion of existing duties. They may also contribute to the need for an office or unit to hire additional staff to carry out its regular duties in support of the institutional mission.

Estimates of the cost of complying with a new regulation may also fail to account for the complicated interplay between new and existing requirements. As the federal Task Force noted, "Regulations do not exist independently of each other, and the interplay of multiple requirements can add exponentially to the cost of compliance."⁴

Compliance activities are interwoven throughout higher education operations. Some units, such as offices of compliance or environmental health and safety, may be entirely devoted to these activities. Others (e.g., internal audit and general counsel) may be predominantly focused on compliance. Many administrative operations also have significant responsibility for ensuring compliance, including payroll, accounting, human resources, institutional technology, safety and security, and building trades offices. Human resources compliance, for example, intersects with all university

² *Id.* p. 12.

³ *Id.* p. 15.

⁴ *Id.* p. 11.

functions, with a federal law such as the Family Educational Rights and Privacy Act (FERPA)⁵ applying to every employee.

Quantifying Costs – Federal

Due to some of the challenges noted above, attempts to systematically quantify costs for federal mandates have been few and far between. Hartwick College, for example, undertook an effort to quantify costs in 2011-12. A campus audit revealed that, for their modestly-sized institution, compliance-related activities cost the college \$297,008 annually and required more than 7,200 labor hours for data collecting and filing of required reports and forms. The college estimated that the actual cost of compliance could be as much as 7 percent of its non-compensation operating budget.⁶

Vanderbilt University launched a more extensive analysis in 2014 and included 13 institutions – Vanderbilt University (Nashville, Tennessee); Belmont University (Nashville, Tennessee); De Anza College (Cupertino, California); Hartwick College (Oneonta, New York); North Carolina Central University (Durham, North Carolina); Rasmussen College (Bloomington, Minnesota); Rice University (Houston, Texas); University of California, Berkeley (Berkeley, California); University of California, San Diego (La Jolla, California); University of Maryland University College (Adelphi, Maryland); University of North Carolina at Chapel Hill (Chapel Hill, North Carolina); University of North Carolina at Charlotte (Charlotte, North Carolina); and University of Tennessee, Knoxville (Knoxville, Tennessee).

Study findings⁷ indicate that the cost of federal compliance at these universities varied from 3% to 11% of total (non-hospital) operating expenditures at each institution, primarily driven by the extent of research and the size of required expenditures.

Applying those percentages to the projected 2023-25 operating Educational & General budgets across Oregon's seven public universities shows the following potential magnitude of costs to comply only with federal requirements over the next biennium:

3% - 11% of total (non-hospital) operating expense	\$ 121.0 million - \$443.5 million
--	------------------------------------

Quantifying Costs – State

As student needs continue to grow—particularly as we come out of the pandemic—expectations from students and lawmakers for universities to provide greater programming and wraparound support continue to rise. At the same time, the state

⁵ The Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99) is a Federal law that protects the privacy of student education records. The law applies to all schools that receive funds under an applicable program of the U.S. Department of Education.

⁶ https://www.naicu.edu/docLib/20130315_Compliance-HartwickColl-12-12.pdf

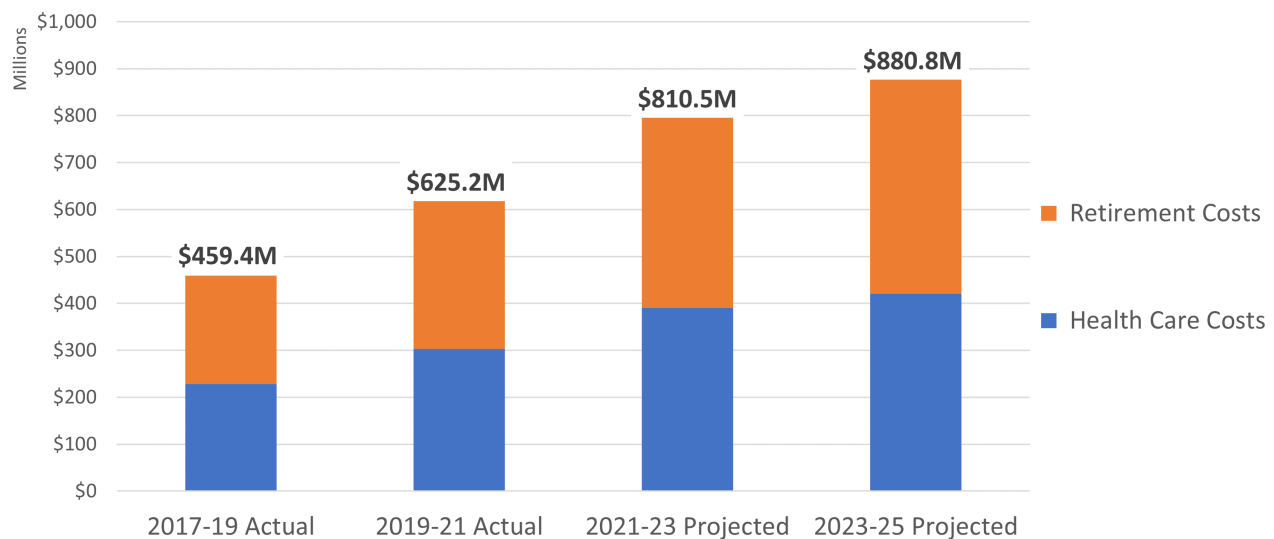
⁷ <https://cdn.vanderbilt.edu/vu-news/files/20190417223557/Regulatory-Compliance-Report-Final.pdf>

continues to fund public university operations and financial aid at rates well below the national average and even further below other West Coast states.⁸

The Legislature passed 15 bills in 2021 and 2022 that created or changed mandates affecting public universities, five of which included new reporting requirements. As state mandates increase in number and scope, their demand on university resources—whether through the consumption of staff hours or direct expenditures—also increases. Though state investments in the PUSF have increased over the last few biennia, Oregon still requires its students to pay a much larger share (69%) of university costs through tuition and fees than the national average (51.6%).⁹ Unless Oregon makes a conscious effort to increase state funding for universities, students will continue to bear more of the burden of paying for any related increases in costs.

Oregon requires its public universities to participate in state pension and healthcare programs without an option to seek less expensive approaches with comparable benefit levels. The following graph demonstrates the growth in the cost of those benefits and the impact on students.

Public University Health & Retirement Costs per Biennium



As mentioned earlier in the report, universities' biennial health and retirement costs have grown by over \$450 million since the 2007-09 biennium, while state funding of the PUSF has only risen by \$332 million over the same period. While there is no question that university employees deserve a living wage and adequate retirement, the state and its institutions continue to struggle to address mandated cost drivers related to employment. Retirement and health care participation mandates alone will add more

⁸ State Higher Education Executive Officers Association. (2022). State Higher Education Finance: FY 2021. https://shef.sheeo.org/wp-content/uploads/2022/06/SHEEO_SHEF_FY21_Report.pdf, p. 48, 51-52.

than \$70 million to university budgets in the 2023-25 biennium. Without increased support from the state, the majority share of paying for these cost increases will come from tuition dollars.

Causes of Any Increase in Administrative Positions

The number and type of administrative positions that universities need is significantly impacted by the level of support required to fulfill universities' core mission of supporting today's students toward a degree and comply with mandates that are not directly related to the education or safety of students.

Serving Today's Students

Twenty years ago, universities were expected to teach courses, conduct research, host athletic events, and provide basic needs services like food and housing. Universities recognize today that the success of culturally, racially, geographically, and economically diverse student populations requires greater programming. As a result, student support services are one of the fastest-growing institutional investment areas. These administrative efforts include expanded academic advising programs to improve retention and graduation outcomes. Beyond advising, universities provide a wide range of wraparound services to enhance student success and experience, including comprehensive public safety and resilience systems, mental and general health services, career placement offices, cultural resource centers, veterans' services, academic enrichment and support centers, and bridge programs to improve pathways to a degree.

The COVID-19 pandemic also led to an increase in the amount of support needed for students to navigate new health and safety protocols, adjust to a distance learning format, access services for new or increasing needs such as mental health treatment and basic needs assistance, and ultimately minimize learning loss to complete their degree or certificate on time.

As the high demand for services continues, the need to provide administrative support for an increasingly diverse student body will continue. According to the Office of Economic Analysis, Oregon's population continues to grow and become more diverse.⁹ The state now has a population of 4.2 million residents, primarily driven by immigration and a more than 10 percent increase since 2010. This growth has altered the racial and ethnic profile of Oregon. In 2020, over 25 percent of Oregonians belonged to a minority race or ethnic group.

⁹ State of Oregon Department of Administrative Services, Office of Economic Analysis. *Oregon's Demographic Trends*. December 2017. DOI: http://www.oregon.gov/das/OEA/Documents/OR_pop_trend2017.pdf.

These demographic trends are reflected in the enrollment at Oregon's public universities. Enrollment of students of color has steadily increased since 2000, a trend that is expected to continue. As a result, Oregon's student bodies are more diverse than the state as a whole. Universities are also admitting greater numbers of first-generation and Federal Pell Grant-eligible students. With over half of Oregon's K-12 students qualifying for free or reduced lunch,¹⁰ incoming college-bound students face challenges that universities must be prepared to address.

First-generation, Pell-eligible, and traditionally underserved students need different types and levels of student services to ensure completion. First-generation students are likelier to have lower college retention and completion rates than their counterparts.¹¹ They are also more likely to come from underrepresented backgrounds, have lower socioeconomic status, have English as a second language, and have lower test scores.¹² A National Study of Student Learning report found that, compared to their peers, first-generation students:¹³

- Completed fewer first-year credit hours,
- Took fewer humanities and fine arts courses,
- Worked more hours per week,
- Were less likely to participate in an honors program,
- Were less likely to perceive that faculty members were concerned about their learning, and
- Made smaller first-year gains on a standardized measure of reading comprehension.

¹⁰ U.S. Department of Education, National Center for Education Statistics, Common Core of Data (CCD), "Public Elementary/Secondary School Universe Survey," 2000-01, 2010-11, 2014-15, and 2015-16. https://nces.ed.gov/programs/digest/d17/tables/dt17_204.10.asp.

¹¹ Ishitani, T. T. "Studying attrition and college degree completion behavior among first-generation college students in the United States." *The Journal of Higher Education*, 77(5). September/October 2006. The Ohio State University. DOI: <https://doi.org/10.1353/jhe.2006.0042>.

¹² Cordoza, K. "First-generation college students are not succeeding in college, and money isn't the problem." *The Washington Post*. 2016.

¹³ Ishitani, T. T., "Studying attrition and college degree completion behavior among first-generation college students in the United States."

If Oregon is to make progress on closing structural and persistent achievement gaps, increased investment in administrative support will be needed. Multicultural centers, diversity councils, and professional symposiums and trainings are part of the fabric of our campus communities. Moreover, institutional aid coupled with wraparound services such as **PathwayOregon** at the University of Oregon and **Four Years Free** at Portland State University ensure that low-income and first-generation resident students have access to scholarships that help them stay in school and incentivize success.

Mandates Unrelated to Education and Safety

As noted by the federal Task Force, many federal regulations have little or nothing to do with educating students or protecting them on campus. They found that federal policymakers increasingly rely upon universities to enforce policy goals entirely outside of higher education's purview, particularly through the distribution of federal student aid. The Task Force questioned whether it is appropriate to use colleges and universities to achieve otherwise desirable goals and whether the purported benefits outweighed the costs imposed on institutions and students. As noted earlier, although the demands of any one requirement may be modest, they collectively divert attention and resources. The Task Force provided the following, representative list:

- **Selective Service.** In order to be eligible for federal financial aid, male applicants must have registered with the Selective Service before the age of 26. If there is a discrepancy in terms of whether an applicant has met the registration

Portland State's **Four Years Free** and **Transfers Finish Free** programs are just a couple of ways universities help students graduate on time with as little debt as possible. It's like getting a full scholarship but without a separate application. All applicants are automatically considered for **Four Years Free** and **Transfers Finish Free**, no separate application is required.

Four Years Free and **Transfers Finish Free** are institutional aid programs that cover base tuition and mandatory fees for eligible Oregon high school graduates and transfer students who enroll full-time. Both programs cover remaining standard tuition and mandatory fees after financial aid is applied.



PathwayOregon at the University of Oregon is more than a scholarship program. It is a promise—a commitment of financial and academic support, and a chance for a brighter future. It ensures that academically qualified, Pell-eligible Oregonians will have their tuition and fees paid through a combination of federal, state, and university funds for the entire time they are in school.

Since 2008, the UO has given more than 6,000 Oregonians the **PathwayOregon** promise. More than **60 percent** are **first-generation college students**.

PathwayOregon students have demonstrated retention rates that meet or exceed the average of students who are not lower income. Some years, this rate reaches **90 percent**.

requirements, the burden falls on institutions to reconcile the difference.

- Link between drug convictions and Title IV eligibility. Under the Higher Education Act (HEA), a student convicted of some drug offenses while receiving federal student aid can lose eligibility to receive aid.
- Voter registration. Institutions are required to distribute a voter registration form, in a federally specified timeframe and format, to each student enrolled and physically in attendance at the institution.
- Foreign gift reporting. Under a provision added to the HEA, institutions are required to report gifts or contracts from a foreign source (government, company, or individual) that total more than \$250,000 or that are conditional gifts of any amount.
- Peer-to-peer file sharing. Colleges and universities are required to have institutional policies concerning illegal file sharing, educate students on the laws and the penalties of such actions, and have explicit plans to combat unauthorized distribution of copyrighted material. These requirements are redundant with other intellectual property regulations.
- Vaccination policies. Institutions must disclose their vaccination policies in order to be eligible for Title IV funding.

The federal Task Force recommended that policymakers refrain from regulating in areas not closely tied to institutional missions and give colleges and universities more latitude to determine the most effective way to deliver information to students and families.¹⁴

Actions to Monitor and Control Cost Drivers

Solving Oregon's college affordability crisis requires significantly increased state investment, but it also requires financial accountability and stewardship on behalf of public universities.

The shift to institutional governance benefits students and the state by allowing public universities to be more financially agile and responsive to state priorities. University boards of trustees have the flexibility and accountability necessary to identify cost savings and efficiencies to reduce administrative overhead and ensure every available resource is spent to further strategic goals around affordability, attainment, and excellence for students. For example, the agility provided to institutions via their boards of trustees allowed institutions to react nimbly to the COVID-19 pandemic. Decentralized decision-making gave public universities the critical ability to tailor their pandemic responses to the communities they serve.

¹⁴ *Recalibrating*, p. 29-31.

While the universities have sought to shield programs that directly affect students from cuts, it is uncertain whether this strategy can be maintained in the future due to potentially underfunded state budgets.

Over the last two decades, universities have cut faculty, staff, programs, and services worth millions of dollars while shifting priorities to serve students better. For example, at the onset of the pandemic, the public universities shifted to remote learning options between the close of the winter term and the onset of the spring term, and budgets across the seven universities were reduced by over \$90 million in FY21. In accordance with a budget note the Legislature approved with House Bill 5024 (2019), the universities reported total cost savings and fund balance usage of \$56.2 million in FY20 and \$131.1 million in FY21.

Examples

Universities continued to implement strategies to reduce costs by carving off non-critical, non-mission essential activities wherever possible. Some institutions implemented further budget reductions across their E&G fund, with some delaying and/or canceling investments in capital improvement and renewal. Some examples of actions universities have taken are:

- Across-the-board General Fund budget reductions,
- Capital renewal reorientation,
- Across-the-board services and supplies reductions,
- Salary reductions for high-level managers, and
- Furloughs, leave without pay, and use of the Workshare program.

Conclusion

Through direct expenditures and the consumption of limited staff hours, compliance with an increasing number of state and federal mandates contributes to the rising cost of higher education. Mandated cost drivers, including health and retirement benefits, also continue to outpace recent increases in state funding for universities. Without a conscious effort to increase the state share of higher education costs, those mandated costs have been shifted to those who can least afford it –students and their families. Oregon's public universities appreciate the opportunity to provide more information on the breadth and scope of legislative mandates.

Appendix

Source	Session/Bill	General Description	Requirement
2022/SB 1505	2022/SB 1505	College Athlete Name, Image, Likeness Royalties	Requires producers of intercollegiate sports team jerseys, video games, or trading cards to pay royalties to Oregon student athletes for the use of their name, image, or likeness.
2022/SB 1522	2022/SB 1522	Contact-Sharing Requirement for Graduate Student Employees	Public universities must require graduate students to provide contact information and sign a consent form allowing the university to disclose contact information before becoming employed at the university.
ORS 166.377	2021/SB 554	Concealed Handgun Policies	The governing board of a public university or the OHSU Board of Directors that adopts a policy providing the affirmative defense of persons licensed to carry a concealed handgun does not apply to the possession of firearms on their grounds must post clearly visible signs at all normal points of entry to school grounds and post a notice on the board's website identifying school grounds subject to the policy.
ORS 192		Public Records and Public Meetings	
ORS 243.778	1975 2011/SB 242	Student representation when bargaining unit includes public university faculty	Student government reps shall be allowed to attend and observe meetings, have access to documents, comment in good faith, and confer with bargaining representatives
ORS 243.800	1995	Optional retirement plan for certain academic and administrative public university employees	Universities shall establish and administer an optional retirement plan
ORS 244.050	1974	Statements of Economic Interest	Required for presidents, vice presidents and Trustees
ORS 276.080	1975, 1977	1% for Art	

Source	Session/Bill	General Description	Requirement
ORS 276A.253	2009 2011/HB 2788, SB 250 2013/HB 3400, HB 2370 2015/HB 3099 2017/HB 2946	Oregon Transparency Website	Provide links to websites with information on revenues, expenditures and budgets
ORS 279C	2003	Prevailing Wage	
ORS 279C	2021/SB 493	Prevailing Wage	Sets prevailing wage rate at wage rate set forth in collective bargaining agreement for a trade or occupation in a locality or, if more than one collective bargaining agreement covers trade or occupation in a locality, sets wage rate at highest rate of wage among collective bargaining agreements for trade or occupation in locality.
ORS 287A		Local Government Borrowing	Universities are subject to these requirements as a "public body"
ORS 292.044	2009 2011/SB 242 2013/SB 270 2015/SB 80	Deduction by employees of public universities for payment to nonprofit organization	Prescribes procedures for determining whether an organization qualifies as a nonprofit
ORS 293.229	2015/SB 55	Liquidated and delinquent accounts	Annual report
ORS 326.545	2021/HB 3294	Menstrual Dignity	Requires public universities to provide both tampons and sanitary pads at no cost to students through dispensers located in at least two student bathrooms of every public school building.

Source	Session/Bill	General Description	Requirement
ORS 329.756	2022/SB 1572	Public Service Loan Forgiveness program responsibilities	Public universities must provide full-time teachers and school nurses with information regarding the Public Service Loan Forgiveness program. Requires public universities to calculate full-time equivalent work hours for the entire duration of a faculty member's employment using a provided formula.
ORS 336.057	1965, 1977, 1999 2011/SB 242 2015/SB 342	Courses in Constitution and history of U.S.	Required to be offered in all public universities
ORS 339.883	1991, 1993, 2009 2015/HB 2546 2017/SB 754	Possession of tobacco products at certain facilities	Universities are "facilities" that shall not permit a person under 21 to possess tobacco products at the facility, must have accompanying written policy
ORS 340.030	2005, 2007	Expanded Options	Universities shall send written notice to student, school district and ODE of acceptance of student and provide academic advising
ORS 340.040	2005	Credits for post-secondary courses	Universities shall award credit for successfully completed credit and may not charge a student for the award of credit
ORS 340.310	2011/SB 254 2012/SB 1538 2013/SB 270 2014/SB 1574	Accelerated College Credit Programs	Annual report to HECC on academic performance of students enrolled in a dual credit program
ORS 341.011	2021/SB 416	Criminal justice courses toward general education requirements	Requires public universities to accept criminal justice courses as general education courses if awarded from a community college and credited toward completion of an Associate of Arts Transfer degree or an Associate of Science Transfer degree.

Source	Session/Bill	General Description	Requirement
ORS 341.522	2015/SB 81 2016/HB 4076 2017/HB 2314, SB 1032	Oregon Promise Program	HECC is required to report in even-numbered years on financial and enrollment impacts on college and universities
ORS 342.147	1973	Educator Prep Programs	TSPC establishes standards for approval of educator preparation providers and program by rule
ORS 342.360	1965	TSPC Membership	One public university faculty member serves
ORS 342.443	1991	Educators Equity Act	Cooperation in collecting longitudinal data and preparing report on educator equity
ORS 342.447	1991	Educator Equity Plans	Institutions must submit plans for recruitment, admission, retention and graduate of diverse educators
ORS 343.465	1991	Services to preschool children with disabilities	Coordinate services
ORS 348.100, Senate Bill 253 (2017)	2017/SB 253	Student loan disclosure	Requires institutions of higher education to provide students information detailing the amount of education loans received, the amount of tuition and fees the student has paid to institution, the estimated total payoff amount for education loans the student has received, the estimated amount the student will have to pay each month to service their loans, and the percentage of the borrowing limit the student has reached for each type of federal loan. Requires that this information is provided on annual basis, in a unified and comprehensive manner, and in plain language that is easy to understand.
ORS 348.260	2015/HB 2407	Oregon Opportunity Grant	Make qualified students aware of academic guidance and counseling services to the extent possible and provide information to HECC to report on academic performance of students receiving grants.

Source	Session/Bill	General Description	Requirement
ORS 348.584	2014/HB 4019	Information on affordability and value of institutions of higher education	Provide students at the time of application a link to information on affordability and value by mail or email and prominently feature a link to this information on their website.
ORS 348.752	2017/HB 2729	Coordination of OER Program	Requires HECC to regularly convene faculty, staff, and librarians from public universities and community colleges to coordinate an Open Educational Resource (OER) program.
ORS 348.756	2017/HB 2729	Report on OER Program	Report on status of OER adoption, amount of money saved and existing barriers
ORS 348.757	2015/HB 2871	Designation of OER courses	Prominently designate OER courses at the time of registration and course materials list
ORS 348.900	2005	Needs assessment for health care occupations	Use statewide assessment to evaluate whether new health care education programs fulfill statewide needs
ORS 350.075(f)		Student Success and Completion Funding Model	Reporting
ORS 350.075(g)		Program approval	
ORS 350.075(h)		Mission approval	
ORS 350.075(h)		Resident, undergraduate tuition increases	Must be approved by the HECC
ORS 350.075(h)		Institutional evaluations	Submit information to HECC every other year
ORS 350.090	2011/SB 242 2012/HB 1538 2013/HB 3120, SB 270 2015/SB 219 2016/SB 1596 2017/SB 54	Biennial funding request rules	
ORS 350.095	2011/SB 242 2013/SB 270 2018/SB 80, HB 3199 2017/SB 54	Budgetary items in funding request	HECC may request appropriations info including but not limited to E&F operations, statewide public services, state funded debt service, capital improvements, DM, special initiatives

Source	Session/Bill	General Description	Requirement
ORS 350.105	1991, 1993, 1995, 2009 2013/SB 270	Report on capital construction projects	Report concerning status of all previously approved capital construction projects that have or have not been completed within the preceding 2 years
ORS 350.110	2012/HB 4059 2013/HB 3120 2015/HB 2408 2015/SB 80	Credit for prior learning	Annual report on progress
ORS 350.130	2017/HB 2147	Enrollment of Oregon High School Graduates	Requires each post-secondary institution of education to provide HECC with number of Oregon high school graduates from each school district enrolled at institution and graduation rate at institution for Oregon high school graduates from each school district. Requires HECC to report to ODE, and ODE to report the data back to each school district. Reporting requirement first apply to the 2018-19 academic year.
ORS 350.205	2021/HB 2542	Mandatory Fees	Requires public universities to prominently display a list and explanations of mandatory fees on their online website and online student portal. Universities must report annually to the HECC on their displaying, collection, and use of mandatory fees.
ORS 350.208	2021/HB 2919	Required Course Materials and Fees	Requires each public university to prominently display or establish link to website that displays estimated costs of all required course materials and directly related course fees for at least 75% of total for-credit courses offered. Universities must provide information to the HECC to develop a report by December 31, 2023 on how each public university is ensuring compliance.
ORS 350.245	2016/SB 1586	Ballot drop sites and voter registration	Universities must display a link to SOS website and, upon request, give student government opportunity to provide nonpartisan voter registration services and provide official class schedule and list of professional contact info for faculty, obtain from local county elections office info on how to receive ballots for students living on campus
ORS 350.255	2015/SB 759	Written sexual assault protocol	Adopt a written protocol to ensure that victims of sexual assault receive necessary services

Source	Session/Bill	General Description	Requirement
ORS 350.265	2011/HB 3336 2013/HB 2148 2015/SB 80	Armed Forces recruitment on campus	Shall allow members and agents of Armed Forces to recruit on campus
ORS 350.270	2015/HB 2645	Priority enrollment for active for former members of Armed Forces	Universities shall establish priority enrollment system for active or former of Armed Forces or qualified dependent of former member
ORS 350.278	2003 2011/SB 242 2017/SB 54	Disclosure of SSN	Universities may not disclose students' SSN
ORS 350.285	2008, 2009 2011/SB 242 2013/HB 2158	Tuition waivers	Requirement to waive tuition for qualified students who are family members of deceased or disabled veterans or children of Purple Heart recipients
ORS 350.290	2009 2011/SB 242 2013/HB 2158 2014/HB 4021 2015/HB 2670 2016/HB 4019	Tuition waivers	Requirement to charge resident tuition and fees for nonresidents students who served or are dependents of someone who served in Armed Forces or international position
ORS 350.290	2022/SB 1522	Resident tuition and fees for nonresident students who served in Armed Forces	Requires public universities to extend tuition and fees reduction to distance education courses for eligible nonresident students who served in the Armed Forces.
ORS 350.295	2013/HB 2158 2015/HB 2670 2015/HB 2408 2015/SB 80	Tuition waivers	Annual report on reduced tuition rate and tuition waiver recipients for family members of deceased or disabled veterans, children of Purple Heart recipients, and nonresident students who served or are dependents of someone who served in Armed Forces or international position

Source	Session/Bill	General Description	Requirement
ORS 350.300	2011/HB 3471 2013/HB 2148 2013/HB 2095 2013/HB 3120	Tuition waivers	Waiver of tuition and fees for foster child, 30 volunteer hours for former foster youth to continue to receive tuition remissions to cover cost of education which increases challenge to these students to complete school, work jobs for pay, and fit in required volunteer hours
ORS 350.300	2011/HB 3471, 2013/HB 2148, 2013/HB 2095, 2013/HB 3120, 2022/HB 4013	Tuition Waivers to Foster Children, Homeless Youth	Requires public universities to waive tuition and fees less federal aid scholarships or grants, OOG grants, or institutional aid for students under 25 years old who are a current or former foster child or a current or former homeless youth. Requires students to submit the FAFSA to be eligible for that year.
ORS 350.305	2011/HB 3471 2013/HB 2148 2013/HB 2095 2013/HB 3120	Former foster children	Work with and make findings on number of enrolled current and former foster children
ORS 350.355	2009 2011/SB 242	Health care benefits for part-time faculty	Provide coverage to part-time faculty the same as full-time faculty
ORS 350.360	2009 2013/HB 2152 2015/HB 2408 2015/SB 80 2018/SB 1520	Review of employees	Provide data to HECC for reporting

Source	Session/Bill	General Description	Requirement
ORS 350.375	2017/HB 2864	Cultural Competency	Requires public university to establish process for recommending and providing oversight for implementation of cultural competency standards for institution and institution's employees. Specifies the process must give equal weight to administrator, faculty, staff and student perspectives; require institution to provide training and development; propose institution-wide goals that seek to improve cultural inclusion climate; requires reporting on progress toward achieving goals; recommend mechanisms for assessing how well institution meets cultural competency standards; and ensure institution clearly communicates to new employees its commitment to inclusion of cultural competency standards in professional development. Deadline for implementation is December 31, 2019.
ORS 350.379	2021/SB5505, 2022/SB 5701	Apprenticeship Employment in Public Contracting	A public university carrying out contracts of \$200,000 or greater must require contractors to employ apprentices to perform 15% of work hours, establish and execute a plan for outreach, recruitment and retention of women and minority individuals to perform work under the contract, and provide health insurance and retirement benefits to workers. Requires each public university with qualifying projects to report annually to the Joint Committee on Ways and Means on how they are fulfilling these requirements.
ORS 350.395	2011/HB 3521 2012/SB 1538 2013/HB 2148 2013/HB 2970 2015/HB 2525	Transfer	Annual reports to the HECC on no. of students who transfer, no. of students who transfer who have an associate degree or have completed a transfer program, average no. of credits students have, average no. of credits students who transfer must earn prior to receiving a baccalaureate degree compared to average no. of credits needed by students who didn't transfer
ORS 350.400	2021/SB 233	Establishment of Foundational Curricula	Requires public universities to evaluate existing one-year curricula for students who plan to transfer to a different public post-secondary institution, and establish a foundational curriculum for the first year of coursework.

Source	Session/Bill	General Description	Requirement
ORS 350.400, 350.404, 350.412	2017/HB 2998	Transfer	Requires HECC to convene higher education representatives to facilitate establishment of foundational curricula, determine major courses of study for which unified statewide transfer agreements will be established and to develop those agreements. Requires each community college and public university to submit a joint report annually to the Commission for each unified statewide transfer agreement on number of academic credits successfully transferred. Requires universities and community colleges to submit a joint report by June 1, 2018 on best practices for advising students.
ORS 350.404	2021/SB 233	Unified Statewide Transfer Agreements	Requires two academic officers, two faculty members, one employee specializing in assisting students with transfers, and one currently enrolled student from public universities to serve on a Transfer Council. Public universities must collaborate with Transfer Council to develop a unified statewide transfer agreement for one major course of study per year, and three major courses of study per year beginning January 1, 2026.
ORS 350.417	2017/SB 207	Awarding of Credit for AP Exams	Requires public universities to give credit, beginning with the 2019-2020 school year, for students who participated in an advanced placement program and received a grade of three or higher, unless the institution notifies the HECC that the institution considers a grade of higher than three to be necessary to receive credit.
ORS 350.423	2021/SB 233	Common Course Numbering	Requires public post-secondary institutions of education to adopt a common course numbering system established by the Higher Education Coordinating Commission and accept transfer credits for each course subject to the common course numbering system.
ORS 350.429	2021/SB 233	Transfer Council Report	Requires public universities to submit annual report to the HECC with information on the effect of common course numbering, foundational curricula, and unified statewide transfer agreements on a demographically and institutionally disaggregated basis.

Source	Session/Bill	General Description	Requirement
ORS 350.540	2005, 2007 2013/SB 270 2015/SB 80 2016/HB 4072	Venture Grant Programs	UGB to adopt policy prescribing requirements for venture grant programs
ORS 350.550	2005, 2007 2013/SB 270 2015/SB 80 2016/HB 4072	Venture Grant Programs	If a UVDF is established, notify DOR, issue tax credit certificates, remit 20% of income realized to the General Fund, report annually
ORS 350.755	1997 2011/SB 242	Regional Interstate Agreements	Provide copy of interstate agreement to the Governor and HECC
ORS 352.0125, HB 3289 (2017)	2017/HB 3289	Competency-based education	Requires the HECC to report to the Legislature annually on progress made in providing competency based education in the post-secondary institutions of education in the state.
ORS 352.018	1975, 1997, 1999 2011/SB 242 2013/HB 3120 2013/SB 270 2015/SB 80 2015/SB 215	Cooperation with Chief Education Officer	Cooperation with CEO in development of state comprehensive education plan and review of programs and budget, submission of data in a form prescribed by the officer
ORS 352.069	2017/HB 3288	Mandates	Requires each public university to submit to HECC a report listing legislative mandates, impact of mandates on costs, causes of increases in administrative positions, and actions taken to monitor and control cost drivers.
ORS 352.076	2013/SB 270 2014/HB 4147, SB 1525 2017/SB 54		Governing boards shall meet at least 4 times a year
ORS 352.089	2013/SB 270 2015/SB 217 2016/SB 1596 2017/SB 54	Mission statements, program approval funding requests, issuance of state bonds, data	Mission statements, program approval funding requests, issuance of state bonds, data

Source	Session/Bill	General Description	Requirement
ORS 352.102	2018/HB 4141	Setting the cost of attendance at public universities	Each university advisory body must provide meaningful opportunities for members of the recognized student government and other enrolled students to participate in its processes and deliberations, including establishing a process for determining tuition and mandatory enrollment fees.
ORS 352.102	2013/SB 270 2018/HB 4141	Tuition and mandatory enrollment fees	Establish advisory body and ensure governing board receives and considers all written and minority reports, provide info to HECC if an increase above 5% is requested
ORS 352.103	2018/HB 4141	Setting the cost of attendance at public universities	Each university must establish an advisory body of administrators, faculty, students serving in student government, and students representing historically underserved students to advise the university president on tuition recommendations to the Trustees.
ORS 352.105	2013/HB 3120	Mandatory incidental fees	Collect mandatory incidental fees for student government
ORS 352.105	2021/HB 3012	New Mandatory Fees	Limits the ability of public universities to refuse new mandatory incidental fees or process for collecting mandatory student-initiated fees. Requires a board to seek agreement with the recognized student government on any dispute involving mandatory incidental fees prior to a decision by the board, and promptly provide written notice of alterations or rejection if an agreement is not reached.
ORS 352.113	2013/SB 270 2014/SB 5703 2017/SB 54	Real and personal property	Hold title to all real property in the name of the State, exercise custody and control
ORS 352.124	2013/SB 270 2017/SB 54	Collective bargaining	Engage in collective bargaining with employee units and at the state level with existing statewide bargaining organizations
ORS 352.129	2013/SB 270 2015/HB 2566, HB 2832, SB 80 2017/SB 54	Shared Services	Prior to July 1, 2019, universities must provide the same scope and value of group insurance of deferred compensation plans, PERS, ORP, and tax-deferred investment plans as the State
ORS 352.132	2021/HB 2214	Outside Counsel Report	Requires annual report to the Attorney General on public university use of outside counsel for legal matters.

Source	Session/Bill	General Description	Requirement
ORS 352.135	2013/SB 270 2015/SB 215 2017/SB 54	Use of investment moneys	At the request of the Treasurer, enter into an agreement for the Treasurer to hold, keep, manage and invest any amounts under the control of the university
ORS 352.138	2013/SB 270	Applicability of laws to public universities	
ORS 352.218	1981, 2009 2011/SB 242	Rooney Rule	Affirmative action plan, interview of qualified minority applicants
ORS 352.232	1989, 1991, 1993, 2003, 2007 2011/SB 242 2013/SB 270 2015/SB 80	Employee Compensation	Adopt standards governing outside employment and procedures for reporting and hearing conflict of interest complaints
ORS 352.237	1995, 1997 2011/SB 242 2013/SB 270 2015/SB 80	Provision of group insurance for employees	Must provide group insurance to employees through PEBB or alternative benefit plan, must offer one or more deferred compensation plans
ORS 352.256, 352.262	1989, 2009 2011/SB 242, HB 3110 1989, 2009 2011/HB 3110 2013/SB 270 2015/SB 80	Alcohol and drug abuse policy	Adopt a comprehensive alcohol and drug abuse policy and implementation plan
ORS 352.268	1991, 2007 2011/SB 242	Physical access committee	Universities shall convene physical access committee to identify barriers to access by person with disabilities, designate capital improvement amounts that will be applied to reduction and elimination of barriers
ORS 352.274	2015/SB 473	Sexual orientation identification on university forms	Allow all students, faculty and staff to identify their sexual orientation on forms used to collect demographic data
ORS 352.281	2015/SB 473	Use of name other than legal first name	To the extent allowed by federal law, permit students to use a preferred name other than the student's legal name

Source	Session/Bill	General Description	Requirement
ORS 352.287	2013/HB 2787 2015/SB 80, SB 932 2017/SB 20	Tuition equity	Annual report on number of students and financial impact on universities
ORS 352.287	2013/HB 2787, 2015/SB 932, 2018/SB 1563, 2021/SB 553	Resident tuition for certain non-citizen and non-resident students	Requires public universities to charge resident tuition and fees for certain former Oregon residents, noncitizens intending to become a lawful resident, and students from nations that are party to the Compact of Free Association, or students who are refugees or special immigrant visa holders who reside in Oregon. Annual report on number of relevant students and financial impact on universities.
ORS 352.293	2005 2011/SB 242 2012/SB 1563 2013/HB 3120, SB 270 2015/SB 80	Right of student ordered to active duty	Students ordered to active duty have right to withdraw from course, receive credit for paid room, board, tuition and fees, readmittance
ORS 352.303	2009 2011/SB 242 2013/SB 270	Waiver of tuition for Oregon residents at least 65	Waive tuition for any course audited by an Oregon resident 65 years or older under certain circumstances
ORS 352.309	2005 2011/SB 242 2013/SB 270 2015/SB 80	Credit for education and training while in the Armed Forces	Award credit for education and training obtained while in the Armed Forces
ORS 352.415	2013/SB 270 2015/SB 80 2015/HB 3199 2017/SB 54	Repayment of outstanding state bonds	Ensure full compliance with operative documents for state bonds issued before, on or after Aug. 14, 2013, pay the amounts specified by Treasures from legally available revenue, provide periodic cash flow projections to Treasurer
ORS 433.281	2017/SB 274	Providing information on vaccine-preventable diseases	Requires each post-secondary educational institution that provides housing for students to provide to each student enrolling or registering at the institution for the first time information on vaccine-preventable diseases known to occur in individuals between 16 and 21 years of age.

Source	Session/Bill	General Description	Requirement
ORS 498.022	2017/HB 2576	Purchase, sale, exchange or possession of wildlife or wildlife parts	Record-keeping requirements for universities to possess
ORS 634.657	2013/HB 3364 2015/SB 80	Integrated Pest Management	Service on coordinating committee, performance on metrics showing progress on protecting the economy, ecosystems and water quality
ORS 634.660	1991, 2003 2011/SB 242 2013/HB 3364	Integrated Pest Management	Implementation of integrated pest management practices, provide training on integrated pest management to relevant employees, designate an integrated pest management coordinator
ORS 652.220	2017/HB 2005	Pay Equity	Makes it unlawful to discriminate in compensation on basis of protected class, including gender. Makes it an unlawful employment practice to screen job applicants based on salary history, to base salary decision on salary history, other than for internal hires, and to seek salary history information from applicant for employment other than after making offer of employment to employee that includes amount of compensation. Expands remedies for pay equity violations to include right to compensatory and punitive damages and jury trial starting on January 1, 2024.
ORS 653.025	2016/SB 1532	Minimum Wage	Minimum wage increases to \$13.50 over seven years. Estimated cost increases to \$1.7 million in six years once minimum wage is fully increased
ORS 653.070	1979, 1981, 1989, 1995	Student-learners special wage	Pay 75% of minimum wage
ORS 653.601	2015/SB 454	Sick leave	Mandatory sick leave for students, temps and less than .50 FTE unclassified.
ORS 657B.150	2019/SB 2005, 2021/HB 3398, 2022/SB 1515	Paid Family Leave	Requires Oregon employers and employees to pay into insurance program to provide employees with portion of wages while on family, medical, or safety-related leave.

Source	Session/Bill	General Description	Requirement
ORS 702.200	2021/SB 5	College Athlete Name, Image, Likeness Compensation	Shall allow student athletes to earn compensation for the use of their name, image, or likeness and to contract with and retain professional representation or an athlete agent. Restricts universities from providing prospective or current student athletes compensation for the use of their name, image, or likeness.

Source	General Description	Requirement
Age Discrimination Act of 1975	Academic Programs	<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 participating in a mediation or investigation of a violation, or for advocating for a right protected by the Act.</p>
Americans with Disabilities Act of 1990	Academic Programs	<p>Provides broad nondiscrimination protection in employment, public services, and public accommodations (including colleges and universities) for individuals with disabilities.</p> <p>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.</p> <p>Enforced by multiple federal agencies, including the U.S. Department of Justice, U.S. Department of Labor, U.S. Department of Education, and the U.S. Equal Employment Opportunity Commission.</p>
Higher Education Act: Institutional and Financial Assistance Information for Students	Academic Programs	<p>Among other things, requires the following annual disclosures to enrolled and prospective students:</p> <ul style="list-style-type: none"> f) diversity statistics; g) retention rates; h) employment placement data; and i) fire safety report. <p>c) transfer of credit policies;</p>
Higher Education Act: Textbook Information	Academic Programs	<p>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.</p>

Source	General Description	Requirement
Higher Education Opportunity Act Sections 152 and 153	Academic Programs	<p>Sections 152 and 153 require the following disclosures to enrolled students: c) transfer of credit policies; . . . f) diversity statistics; g) retention rates; h) employment placement data; i) fire safety report; . . . 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>
Section 504 of The Rehabilitation Act of 1973	Academic Programs	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.
Title IX of the Education Amendment of 1972	Academic Programs	<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>
Title VI of the Civil Rights Act of 1964	Academic Programs	Prohibits discrimination based on race, color, or national origin in educational and/or academic programs or activities receiving federal financial assistance.

Source	General Description	Requirement
Teacher Preparation Programs	Academic Programs, Financial Aid	<p>Provides that an institution with a teacher preparation program must report, among other things:</p> <ul style="list-style-type: none"> (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. <p>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.</p>
Bankruptcy Abuse Prevention & Consumer Protection Act of 2005	Accounting	<p>Prohibits the discharge of most student loans in bankruptcy, when the loans were obtained from the government or non-profit higher educational institutions.</p> <p>There is an exception for undue hardship and for loans that became due more than seven years before the filing of the petition.</p>
Clayton Antitrust Act of 1914	Accounting	<p>Enacted as a supplement to the Sherman Act.</p> <p>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.</p>

Source	General Description	Requirement
Fair Credit Reporting Act (FCRA)	Accounting	<p>Requires employers to advise applicants if employment was denied based on a credit report.</p> <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>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.</p> <p>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.</p>
Federal Insurance Contributions Act (FICA)	Accounting	<p>FICA defines which employers and employees are subject to taxation and levies the tax.</p> <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 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.</p>
Federal Unemployment Tax Act (FUTA)	Accounting	<p>Provides for payments of unemployment compensation to workers who have lost their jobs.</p> <p>If an employer's FUTA tax is more than \$500 for the calendar year, the employer must deposit at least one quarterly payment. If not, alternate rules apply. See IRS Publication: Topic Number 759 - Form 940 – Employer's Annual Federal Unemployment (FUTA) Tax Return – Filing and Deposit Requirements</p>
Higher Education Act – Disclosure of Foreign Gifts	Accounting	<p>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.</p>

Source	General Description	Requirement
Qualified Tuition and Student Loan Interest Reporting	Accounting	<p>Institutions must report to the IRS</p> <p>(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>
Regulation E: Electronic Fund Transfers	Accounting	<p>Establishes the basic rights, liabilities and responsibilities of consumers who use electronic fund transfer services and of financial institutions that offer these services.</p>
Sarbanes Oxley Act of 2002 (SOX)	Accounting	<p>Designed to protect investors by improving the accuracy and reliability of corporate disclosures made pursuant to the securities laws.</p> <p>Does not apply to public entities but may represent best practices.</p> <p>18 U.S. Code § 1519 makes destruction, alteration, or falsification of records in federal investigations, bankruptcy, or any matter within the jurisdiction of a federal department or agency a crime punishable by fines and up to 20 years imprisonment, and applies to all individuals, not just publicly traded corporations.</p> <p>Bars independent auditors from providing certain non-audit services to the client institution.</p>
Sherman Antitrust Act	Accounting	<p>Prohibits “every contract, combination..., or conspiracy, in restraining of trade or commerce among the several States, or with foreign nations.”</p> <p>This law has been applied to colleges and universities in a number of instances regarding purchases.</p> <p>The Department of Justice interpreted this law to mean that financial aid awards must be established independently and not in concert with other institutions.</p> <p>May also apply to establishing prices for items in a bookstore based on collaboration with a wholesaler or another retailer.</p> <p>Section 568 - known as the antitrust exemption - allows colleges and universities to collaborate on a common formula for determining a student’s financial need.</p>

Source	General Description	Requirement
Social Security Act	Accounting	<p>An employer must pay social security taxes on employees but an exemption exists for most students also working for the University, for clergy whose services are performed in the exercise of their ministry, and for professional employees as defined in 26 CFR § 31.3121(b)(10)-2.</p> <p>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.</p>
Tax Cuts and Jobs Act of 2017 (endowment excise tax)	Accounting	<p>Imposes a 1.4 percent excise tax on the net investment income of private institutions that:</p> <p>Have at least 500 students</p> <p>Have more than 50% of students located in the U.S.</p> <p>Have assets valued at the close of the preceding tax year of at least \$500,000 per full-time student.</p>
Truth in Lending Act	Accounting	<p>Requires disclosure statements for loans and credit plans, but exempts Perkins Loans and Federal Family Education Loans.</p> <p>Loans made, insured or guaranteed pursuant to programs authorized by Title IV are exempt.</p>
Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance, Super Circular, or Omni Circular)	Accounting	<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>
Unrelated Business Income Tax (UBIT)	Accounting	<p>Regulates unrelated business income, which 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.</p>

Source	General Description	Requirement
Higher Education Act: Institutional and Financial Assistance Information for Students	Accreditation	<p>Each school must make available to prospective and enrolled students:</p> <p>Names of associations, agencies, or governmental bodies that accredit, approve, or license the school and its programs; and</p> <p>Procedures for obtaining or reviewing documents describing accreditation, approval, or licensing.</p> <p>20 U.S.C. § 1092(a)(1)(J); 34 CFR 668.43</p>
Higher Education Act: Recognition of Accrediting Agency or Association	Accreditation	<p>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. 20 U.S.C. § 1099b(a)(4)(A).</p>
Age Discrimination Act of 1975	Admissions	<p>Prohibits discrimination based on age in the admission of educational and/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>
Higher Education Act: Institutional and Financial Assistance Information for Students	Admissions	<p>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.</p>
Higher Education Act: Readmission Requirements for Servicemembers	Admissions	<p>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.</p>
Section 504 of The Rehabilitation Act of 1973	Admissions	<p>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.</p>

Source	General Description	Requirement
Title IX of the Education Amendment of 1972	Admissions	<p>Prohibits discrimination on the basis of sex in the admission of education programs or activities receiving federal financial assistance including employment.</p> <p>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.</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>
Title VI of the Civil Rights Act of 1964	Admissions	Prohibits discrimination based on race, color, or national origin in the admission of educational and/or academic programs or activities receiving federal financial assistance.
Equity in Athletics Disclosure Act (EADA)	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.
Section 504 of The Rehabilitation Act of 1973	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.
Title IX	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.

Source	General Description	Requirement
Higher Education Act: Textbook Informatoin	Auxiliary Services	<p>Provision of ISBN college textbook information in course schedules. 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. 20 U.S.C. 1015b(d).</p> <p>Availability of information for college bookstores. 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. 20 U.S.C. § 1015b(e).</p> <p>HEA 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>
Americans with Disabilities Act	Campus 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 Sex Crimes Prevention Act (§ 1601 of the Victims of Trafficking and Violence Protection Act of 2000)	Campus 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. Institutions 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.
Drug Free Schools and Communities Act	Campus 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.

Source	General Description	Requirement
Emergency Planning and Community Right to Know Act (EPCRA)	Campus Safety	<p>Requires the establishment of state/tribe emergency response commissions (SERCs/TERCs), which are responsible for coordinating certain emergency response activities and for appointing local emergency planning committees (LEPCs).</p> <p>Requires facilities to notify the SERC and LEPC of the presence and/or release of any extremely hazardous substance.</p> <p>All information submitted pursuant to EPCRA regulations is publicly accessible, unless protected by a trade secret claim.</p>
Higher Education Act: Drug and Alcohol Abuse Prevention	Campus Safety	<p>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.</p>
Higher Education Act: Institutional and Financial Assistance Information for Students: Disclosure of Fire Safety Standards and Measures	Campus Safety	<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>
Higher Education Act: Institutional and Financial Assistance Information for Students: Missing Person Procedures	Campus Safety	<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>

Source	General Description	Requirement
Higher Education Act: Program Participation Agreements	Campus Safety	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. (Note that the Violence Against Women Act of 2013 requires that both the accuser and the accused shall be simultaneously informed in writing of the outcome of any institutional disciplinary proceeding that arises from an allegation of domestic violence, dating violence, sexual assault, or stalking. See 20 U.S.C. § 1092(f)(6)(B)(iv)(III).)
Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) and Violence Against Women Act (VAWA)	Campus 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>
Occupational Safety and Health Act of 1970	Campus Safety	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.
Title VI of the Civil Rights Act of 1964 42 U.S.C. §§ 2000d-2000d-7	Campus Safety	<p>Prohibits discrimination based on race, color, or national origin in educational and/or academic programs or activities receiving federal financial assistance.</p> <p>Institutions are required to incorporate Limited English Proficiency assistance into emergency planning, pursuant to Guidance to State and Local Governments and other Federally-Assisted Recipients Engaged in Emergency Preparedness, Response, Mitigation, and Recovery Activities in Compliance with Title VI of the Civil Rights Act of 1964</p>
Anti-Kickback Act of 1986	Contracts & Procurement	Prohibits any payment or gratuity made for the purpose of inducing award of a subcontract or prime contract with the federal government.

Source	General Description	Requirement
Anti-discrimination laws for federal contractors	Contracts & Procurement	For information about anti-discrimination laws applicable to federal contractors, including colleges and universities, see Human Resources: Discrimination section of the Compliance Matrix.
Byrd Amendment	Contracts & Procurement	Prohibits grantees from lobbying with federal funds. Requires disclosure of lobbying activities when receiving federal contracts, grants, loans or cooperative agreements.
Copeland Anti-Kickback Act	Contracts & Procurement	Prohibits inducement of kickbacks from public works employees. 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. This requirement does not apply to any contract of \$2,000 or less.
Davis-Bacon Act	Contracts & Procurement	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.
E-Verify Executive Order 13465-Amending Executive Order 12989	Contracts & Procurement	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.
Health Insurance Portability and Accountability Act of 1996 (HIPAA)	Contracts & Procurement	Business Associate contracts are required if a vendor will provide a service for or on behalf of the institution using the institution's personal health information.
Higher Education Act: Foreign Gift and Contract Reports	Contracts & Procurement	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.

Source	General Description	Requirement
Small Business Act and Small Business Investment Act of 1958	Contracts & Procurement	<p>Any contractor receiving a contract with a value greater than the simplified acquisition threshold must agree in the contract that small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns will have the maximum practicable opportunity to participate in contract performance consistent with its efficient performance.</p> <p>A similar rule applicable to grants exists in the Uniform Guidance.</p>
Trade Sanctions Reform and Export Enhancement	Contracts & Procurement	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.
Non-Retaliation for Disclosure of Compensation Information	Contracts & Procurement, Recruitment Hiring & Termination	<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>
Copyright Act	Copyright & Trademark	<p>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.</p> <p>Includes an exception for "fair use" in criticism, comment, teaching, scholarship and research.</p>

Source	General Description	Requirement
Copyright Term Extension Act	Copyright & Trademark	<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>
Digital Millennium Copyright Act (DMCA)	Copyright & Trademark	<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>
Institutional and financial assistance information for students	Copyright & Trademark	<p>Requires the following disclosures to enrolled students: (a) Policies/sanctions for copyright infringement; and (b) annual disclosure detailing federal copyright penalties.</p>

Source	General Description	Requirement
Higher Education Act: Program Participation Agreements	Copyright & Trademark	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.
Lanham Act	Copyright & Trademark	Prohibits trademark infringement, trademark dilution, and false advertising.
Small Webcasters Settlement Act of 2002	Copyright & Trademark	Applies to "Noncommercial Webcasters" and to "Small Commercial Webcasters." Enables Exchange, the recording industry's royalty collection clearinghouse, to enter into royalty rate agreements with small commercial and all noncommercial webcasters.
Technology Education and Copyright Harmonization Act (TEACH ACT) of 2002	Copyright & Trademark	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.
Americans with Disabilities Act of 1990	Disabilities	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.
Fair Housing Act, Section 6	Disabilities	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.
Patient Protection and Affordable Care Act (Section 1557)	Disabilities	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.

Source	General Description	Requirement
Section 504 of The Rehabilitation Act of 1973	Disabilities	<p>Prohibits discrimination on the basis of disability at any federally-funded institution. This covers admissions, recruitment, programs and services.</p> <p>Institutions must provide equal access to programs and facilities to “otherwise qualified” individuals with disabilities and make reasonable accommodations to allow equal access.</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> <p>Enforced by Office for Civil Rights of the U.S. Department of Education.</p>
The Family and Medical Leave Act of 1993	Disabilities	<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>Provides covered employees with certain rights to reinstatement of employment after taking FMLA leave.</p>
Age Discrimination in Employment Act of 1967	Discrimination	<p>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.</p>
Americans with Disabilities Act of 1990	Discrimination	<p>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.</p> <p>Enforced by multiple federal agencies, including the Department of Justice, Department of Labor, and the EEOC.</p>

Source	General Description	Requirement
Equal Employment Opportunity	Discrimination	<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>
Equal Employment of Veterans	Discrimination	<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>
Genetic Information Non-Discrimination Act of 2008	Discrimination	<p>Under Title II of GINA, it is illegal to discriminate against employees or applicants because of genetic information.</p>
Lilly Ledbetter Fair Pay Act of 2009	Discrimination	<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>
The Equal Pay Act of 1963	Discrimination	<p>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.</p>

Source	General Description	Requirement
The Family and Medical Leave Act of 1993	Discrimination	<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>
Title IX of the Education Amendment of 1972	Discrimination	<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>
Title VII of the Civil Rights Act of 1964	Discrimination	<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>
Uniformed Services Employment and Reemployment Rights Act (USERRA)	Discrimination	<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.</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>

Source	General Description	Requirement
Affirmative Action/Equal Employment Opportunity	Diversity/Affirmative Action	Affirmative action must be taken by covered employers to recruit and advance qualified minorities, women, persons with disabilities, and covered veterans.
Age Discrimination Act of 1975	Diversity/Affirmative Action	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.
Age Discrimination Employment Act of 1967	Diversity/Affirmative Action	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.
Americans with Disabilities Act of 1990	Diversity/Affirmative Action	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.
Equal Employment of Veterans	Diversity/Affirmative Action	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.
Equal Pay Act of 1963	Diversity/Affirmative Action	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.
Genetic Information Non-Discrimination Act of 2008	Diversity/Affirmative Action	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.

Source	General Description	Requirement
Immigration and Nationality Act	Diversity/Affirmative Action	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.
Lilly Ledbetter Fair Pay Act of 2009	Diversity/Affirmative Action	<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>
Section 504 of The Rehabilitation Act of 1973	Diversity/Affirmative Action	<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> <p>Enforced by the Office for Civil Rights of the Department of Education.</p>
Title IX of the Education Amendment of 1972	Diversity/Affirmative Action	<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>

Source	General Description	Requirement
Title VII of the Civil Rights Act of 1964	Diversity/Affirmative Action	<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 based on race, color, or national origin in educational and/or academic programs or activities receiving federal financial assistance.</p>
Uniformed Services Employment and Reemployment Rights Act (USERRA)	Diversity/Affirmative Action	<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.</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>
Cafeteria Plan Regulations	Employee 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>
Consolidated Omnibus Budget Reconciliation Act (COBRA)	Employee Benefits	<p>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.).</p>
Employee Retirement Income Security Act of 1974 (ERISA)	Employee Benefits	<p>Sets minimum standards for participation, vesting, benefit accrual and funding pension plans.</p> <p>Requires employers to regularly provide participants with information about the plan including information about plan features and funding.</p> <p>Requires accountability of plan fiduciaries and gives participants the right to sue for benefits and breaches of fiduciary duty.</p>

Source	General Description	Requirement
Medicare, Medicaid, and SCHIP Extension Act of 2007	Employee 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.
Patient Protection and Affordable Care Act	Employee 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>
The Veterans' Readjustment Benefits Act	Employee Benefits	Provides the rights, benefits, and obligations of persons absent from employment for military service.
Title IX of the Education Amendment of 1972	Employee 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>
Uniformed Services Employment and Reemployment Rights Act (USERRA)	Employee 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 they 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>

Source	General Description	Requirement
Atomic Energy Act of 1954	Environmental Health and Safety	The Atomic Energy Act requires that civilian uses of nuclear materials and facilities be licensed. Under section 274 of the Act (42 U.S.C 2021), the NRC may enter into an agreement with a state for discontinuance of the NRC's regulatory authority over some materials licensees within the state. The state must first show that its regulatory program is compatible with the NRC's and adequate to protect public health and safety. The NRC retains authority over, among other things, nuclear power plants within the state and exports from the state.
Chemical Facility Anti-Terrorism Standards	Environmental Health and Safety	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.
Clean Air Act	Environmental Health and Safety	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.
Clean Water Act	Environmental Health and Safety	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.
Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA)	Environmental Health and Safety	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; and Establishes a trust fund to provide for cleanup when no responsible party can be identified.

Source	General Description	Requirement
Emergency Planning and Community Right Act (EPCRA)	Environmental Health and Safety	<p>Helps communities plan for emergencies involving hazardous substances.</p> <p>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.</p> <p>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.</p> <p>States and communities, working with facilities, can use the information to improve chemical safety and protect public health and the environment.</p> <p>Hazardous chemical training must be conducted annually.</p>
Energy Policy Act	Environmental Health and Safety	<p>Addresses energy production and contains Underground Storage Tank provisions.</p> <p>Underground Storage Tank Training must be conducted every seven years.</p>
Energy Reorganization Act of 1974, as amended	Environmental Health and Safety	Governs the handling, storage, and disposal of radioactive materials. See the General Statement of Policy and Procedures for NRC Enforcement Actions
Federal Insecticide, Fungicide and Rodenticide Act	Environmental Health and Safety	Provides for federal regulation of pesticide distribution, sale, and use.
Guarding and Use of Hand & Portable Powered Tools	Environmental Health and Safety	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.
Hazardous Materials Transportation Act	Environmental Health and Safety	<p>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.</p> <p>Training is required 90 days after employment or change in job function, followed by recurrent training once every three years.</p>
Hazardous and Solid Waste Amendments of 1984	Environmental Health and Safety	Regulation of underground storage tanks and land-based disposal of hazardous substances.
Housing & Urban Development Lead Based Paint Poisoning in Certain Residential Structures	Environmental Health and Safety	The University must provide lessees with a federally-approved pamphlet on lead poisoning prevention.

Source	General Description	Requirement
Mandatory Reporting of Greenhouse Gases	Environmental Health and Safety	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 (CO ₂), methane (CH ₄), nitrous oxide (N ₂ O), hydro fluorocarbons (HFC), per fluorocarbons (PFC), sulfur hexafluoride (SF ₆) and other fluorinated gases and hydro fluorinated ethers.
Motor Carrier Act of 1980	Environmental Health and Safety	Institutions are liable for any pollution-related incident that occurs during the transportation of hazardous material.
National Emission Standards for Hazardous Air Pollutants (NESHAP)	Environmental Health and Safety	The asbestos NESHAP regulations specify work practices for asbestos to be followed during demolitions and renovations of all structures, installations, and buildings (excluding residential buildings that have four or fewer dwelling units). The regulations require the owner of the building or the operator to notify the appropriate state agency before any demolition, or before any renovations of buildings that could contain a certain threshold amount of asbestos or asbestos-containing material. In addition, particular manufacturing and fabricating operations either cannot emit visible emissions into the outside air or must follow air-cleaning procedures, as well as follow certain requirements when removing asbestos-containing waste.
OSHA	Environmental Health and Safety	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.
OSHA Asbestos in Construction Standard	Environmental Health and Safety	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.
OSHA Asbestos in General Industry Standard	Environmental Health and Safety	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.

Source	General Description	Requirement
OSHA Enforcement Guidance for Personal Protective Equipment (PPE) in General Industry	Environmental Health and Safety	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.
OSHA Lead in Construction Standard	Environmental Health and Safety	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.
OSHA Lead in General Industry Standard	Environmental Health and Safety	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.
OSHA Welding, Cutting, and Brazing	Environmental Health and Safety	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).
OSHA – Bloodborne Pathogens Standard	Environmental Health and Safety	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.
OSHA's Emergency Action Plan Standard	Environmental Health and Safety	The University must have a written emergency action plan kept in the workplace and available for employee review upon request.

Source	General Description	Requirement
OSHA's Occupational Noise Exposure Standard	Environmental Health and Safety	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.
OSHA's Occupational Exposure to Hazardous Chemicals in Laboratories Standard	Environmental Health and Safety	<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>
Oil Pollution Act	Environmental Health and Safety	Regulation requires container inspection and integrity, testing, recordkeeping, annual training for employees who handle oil, and annual discharge prevention briefings.

Source	General Description	Requirement
<p>Residential Lead-Based Paint Hazard Reduction Act of 1992</p>	<p>Environmental Health and Safety</p>	<p>Regulations apply to owners of more than four residential housing units built before 1978. Before ratification of a contract for housing sale or lease, sellers and landlords must:</p> <p>Give an EPA-approved information pamphlet on identifying and controlling lead-based paint hazards ("Protect Your Family From Lead In Your Home" pamphlet).</p> <p>Disclose any known information concerning lead-based paint or lead-based paint hazards. The seller or landlord must also disclose information such as the location of the lead-based paint and/or lead-based paint hazards, and the condition of the painted surfaces.</p> <p>Provide any records and reports on lead-based paint and/or lead-based paint hazards which are available to the seller or landlord (for multi-unit buildings, this requirement includes records and reports concerning common areas and other units, when such information was obtained as a result of a building-wide evaluation).</p> <p>Include an attachment to the contractor lease (or insert language in the lease itself) which includes a Lead Warning Statement and confirms that the seller or landlord has complied with all notification requirements. This attachment is to be provided in the same language used in the rest of the contract. Sellers or landlords, and agents, as well as homebuyers or tenants, must sign and date the attachment.</p> <p>Sellers must provide homebuyers a 10-day period to conduct a paint inspection or risk assessment for lead-based paint or lead-based paint hazards. Parties may mutually agree, in writing, to lengthen or shorten the time period for inspection. Homebuyers may waive this inspection opportunity.</p> <p>Sellers and lessors must retain a copy of the disclosures for no less than three years from the date of sale or the date the leasing period begins.</p>

Source	General Description	Requirement
Resource Conservation and Recovery Act	Environmental Health and Safety	<p>Gives the EPA authority to control hazardous waste generation, transportation, treatment, storage and disposal.</p> <p>If the university is a hazardous waste generator it must:</p> <p>Certify there is a program in place to reduce quantity and toxicity of waste to the degree economically practicable;</p> <p>Establish record-keeping practices for waste generated; 3. Use appropriate containers and labeling practices for storage, transport or disposal, and use a manifest system.</p> <p>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.</p> <p>Underground Storage Tank training must be conducted every 7 years.</p>
Standards For the Management of Used Oil	Environmental Health and Safety	Covers the standards for used oil storage, recordkeeping, labeling, off-site shipments, recycling, etc.
The Public Health Security and Bioterrorism Preparedness and Response Act	Environmental Health and Safety	<p>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.</p> <p>Requires prompt notification of the release of a select agent outside of the biocontainment area, or of theft or loss of a select agent.</p> <p>The university must also deny access to the agents/toxins by restricted persons.</p>
Toxic Substances Control Act	Environmental Health and Safety	<p>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.</p> <p>The Act requires the identification, inventory, marking and quarterly inspection of PCB transformers.</p>
Acts Affecting a Personal Financial Interest	Ethics	Prohibits an executive branch employee from participating personally and substantially in a particular Government matter that will affect his own financial interests, as well as the financial interests of certain individuals with whom he has ties outside the Government.

Source	General Description	Requirement
Bribery of Public Officials and Witnesses	Ethics	Prohibits public officials from accepting bribes or gratuities to influence their Government actions.
Compensation to Members of Congress, Officers, Others in Matters Affecting the Government	Ethics	Prohibits compensation for representational activities involving certain matters in which the United States is a party or has a direct and substantial interest.
Ethics in Government Act (Amended by Ethics Reform Act and Honest Leadership and Open Government Act of 2007)	Ethics	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.
House and Senate Gift Ban and Ethics Rules	Ethics	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.
Outside Earned Income and Activities	Ethics	Sets forth the limitations on outside income and activities of certain noncareer employees, referred to as "covered noncareer employees."
Employees, and Elected Officials of the Executive and Legislative	Ethics	May limit the activities of individuals after they leave Federal Government service (or after they leave certain high-level positions).
Salary of Government Officials and Employees Payable Only by United States	Ethics	Prohibits employees from being paid by someone other than the United States for doing their official Government duties.
Arms Export Control Act of 1976	Export Controls	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 Administration Act of 1979	Export Controls	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.
Foreign Assets Control Regulations	Export Controls	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.

Source	General Description	Requirement
International Emergency Economic Powers Act	Export Controls	<p>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.</p> <p>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.</p>
International Traffic in Arms Regulations (ITAR)	Export Controls	<p>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.</p> <p>The Department of State administers this law.</p>
Trading with the Enemy Act of 1917	Export Controls	<p>Grants statutory authority to president to impose sanctions during times of war.</p>
Contracts with Third Party Servicers	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>
Higher Education Act: Aid Application Verification	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>

Source	General Description	Requirement
Higher Education Act: Audits	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.</p> <p>Fine of up to \$27,500 per violation and/or program suspension for failure to comply.</p>
Higher Education Act: Borrower Defense to Repayment	Financial Aid	<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> <p>If relief is granted to a student, the U.S. Department of Education may initiate a proceeding to recover the amount of relief granted to the borrower from the institution.</p>
Higher Education Act: Cash Management	Financial Aid	<p>Establishes rules and procedures institutions must follow in requesting, maintaining, disbursing, and otherwise managing most Title IV funds.</p>
Higher Education Act: Code of Conduct	Financial Aid	<p>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.</p>
Higher Education Act: Cohort Default Rate	Financial Aid	<p>Cohort default rates are used to determine institutional eligibility to participate in various Title IV programs.</p>
Higher Education Act: Eligibility and Certification	Financial Aid	<p>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.</p>

Source	General Description	Requirement
Higher Education Act: Entrance and Exit Counseling	Financial Aid	<p>Section 488 requires exit counseling to borrowers by institutions to include information on repayment plans, debt management, and forbearance programs, among other specific information.</p> <p>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.</p>
Higher Education Act: Federal Supplemental Educational Opportunity Grant Program	Financial Aid	<p>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.</p> <p>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.</p>

Source	General Description	Requirement
Higher Education Act: Federal Work Study	Financial Aid	<p>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.</p> <p>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.</p> <p>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 returned.</p> <p>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.</p>
Higher Education Act: Financial Responsibility Requirements	Financial Aid	<p>Provides that institutions participating in the U.S. Department of Education's Title IV programs must be financially responsible as determined by the Secretary</p> <p>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</p>
Higher Education Act: Information Distributed to Students	Financial Aid	<p>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.</p> <p>The foregoing must also be made available to prospective students upon request.</p> <p>Notice may be given online.</p>

Source	General Description	Requirement
Higher Education Act: Net Price Calculator	Financial Aid	<p>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.</p> <p>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.</p>
Higher Education Act: PLUS Loans	Financial Aid	<p>PLUS Loans are available to the parents of eligible students through the FDLP (Direct) or FFEL (private) program, but not both.</p> <p>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.</p> <p>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.</p>
Higher Education Act: Penalties for Drug Violations	Financial Aid	<p>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.</p> <p>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.</p>

Source	General Description	Requirement
<p>Higher Education Act: Perkins Loans</p>	<p>Financial Aid</p>	<p>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.</p> <p>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.</p> <p>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.</p> <p>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 year ending prior to October 1, 2016, and provided that the institution has awarded all Federal Direct Loans for which the student is eligible.</p>

Source	General Description	Requirement
Higher Education Act: Preferred Lenders	Financial Aid	<p>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.</p> <p>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.</p> <p>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.</p> <p>The preferred lender list and associated information must be updated annually.</p>

Source	General Description	Requirement
Higher Education Act: Program Participation Agreements	Financial Aid	<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).</p> <p>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.</p> <p>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 delays in disbursement due to program compliance requirements or institutional delays; and (4) providing a commission/bonus to any person or entity engaged in any student recruiting, admission activities, or award decision-making based on success in securing enrollments or financial aid.</p> <p>Use of a third party servicer does not relieve the university of the compliance requirements under this part.</p>

Source	General Description	Requirement
Higher Education Act: Record Retention	Financial Aid	<p>The university must maintain any application for Title IV, HEA program funds and program records that document: 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> <p>The university must maintain the following financial information: 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> <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.</p> <p>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>
Higher Education Act: Standard of Conduct	Financial Aid	<p>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.</p>
Qualified Tuition and Student Loan Interest Reporting	Financial Aid	<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>
Student Loan Default Prevention Initiative Act of 1990	Financial Aid	<p>Renders institutions with high default rates on student loans ineligible to participate in certain student loan programs.</p>

Source	General Description	Requirement
Student Right to Know Act	Financial Aid	<p>The University must have full time financial aid staff to assist students.</p> <p>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.</p> <p>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>
Teacher Preparation Programs	Financial Aid	<p>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.</p> <p>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.</p>

Source	General Description	Requirement
Title IX of the Education Amendment of 1972	Financial Aid	<p>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.</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>
Controlling the Assault of Non-Solicited Pornography And Marketing Act of 2003 (CAN-SPAM Act)	Fundraising & Development	<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>
Higher Education Act: Code of Conduct	Fundraising & Development	<p>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.</p>
Higher Education Act: Foreign Gift and Contract Reports	Fundraising & Development	<p>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.</p>
Internal Revenue Code: Substantiation and Disclosure Provisions	Fundraising & Development	<p>Substantiation and disclosure provisions apply to contributions made to tax-exempt organizations after December 31, 1993.</p> <p>For charitable contributions of \$250 or more, the donor must receive a contemporaneous written acknowledgment from the organization of the gift.</p> <p>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.</p>

Source	General Description	Requirement
Pension Protection Act	Fundraising & Development	<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>
Philanthropy Protection Act of 1995	Fundraising & Development	<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>
Federal Sentencing Guidelines	Governance	<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>
Internal Revenue Service: Governance Information Required on Form 990	Governance	<p>The IRS asks 501(c)(3) organizations about their management and governance practices on the Form 990.</p>
	Grants Management	<p>Intended to make available in a single document the general terms and conditions of HHS discretionary grant and cooperative agreement awards.</p> <p>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>
Byrd Amendment	Grants Management	<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>

Source	General Description	Requirement
Department of Education General Administrative Regulations and Other Applicable Grant Regulations	Grants Management	<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.</p> <p>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>
False Claims Act	Grants Management	<p>The FCA imposes liability on any person who knowingly submits a false claim (defined as a demand for money or property made directly to the Federal Government or to a contractor, grantee, or other recipient of federal funds) or causes another to submit a false claim or knowingly makes a false record or statement to get a false claim paid by the government.</p> <p>The FCA allows private persons to file suit for violations of the FCA on behalf of the government. A suit filed by an individual on behalf of the government is known as a "qui tam" action, and the person bringing the action is referred to as a "relator."</p>
Federal Awardee Performance and Integrity Information System (FAPIIS)	Grants Management	Federal Awardee Performance and Integrity Information System (FAPIIS) is a federally-mandated information system that contains specific information on the integrity and ethical performance of covered Federal contractors and grantees.
Federal Funding Accountability and Transparency Act of 2006 (FFATA)	Grants Management	<p>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).</p> <p>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.</p> <p>Reporting requirements apply to vendors as well as sub-grantees.</p>

Source	General Description	Requirement
Fraud Enforcement and Recovery Act of 2009 (FERA)	Grants Management	<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>
Controlled Substances Act	Health Care and Insurance	<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>
HIPAA	Health Care and Insurance	<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>
Higher Education Opportunity Act	Health Care and Insurance	Section 488: Requires institutions to disclose policies on all vaccinations.
Americans with Disabilities Act of 1990	Housing	<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>

Source	General Description	Requirement
Section 504 of The Rehabilitation Act of 1973	Housing	<p>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>
Title IX of the Education Amendment of 1972	Housing	<p>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.</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>
Health Insurance Portability and Accountability Act	Human Resources	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.
NSF grant term and condition, September 21, 2018	Human Resources	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.

Source	General Description	Requirement
Student Exchange and Visitor Information System (SEVIS)	Immigration	<p>The Student and Exchange Visitor Program (SEVP) acts as the bridge for various government organizations that have an interest in information on foreign students.</p> <p>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.</p> <p>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.</p>
Immigration and Nationality Act (INA)	Immigration, Recruitment Hiring & Termination	<p>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.</p>
Communications Assistance for Law Enforcement Act (CALEA)	Information Technology	<p>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.</p>
Controlling the Assault of Non-Solicited Pornography And Marketing Act of 2003 (CAN-SPAM Act)	Information Technology	<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>

Source	General Description	Requirement
Digital Millennium Copyright Act (DMCA)	Information Technology	<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>
Electronic Communications Privacy Act	Information Technology	<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>
FCC – Cable Certification	Information Technology	<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>
FCC – Fixed Microwave Services, Licensing	Information Technology	<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>
FCC – Wireless Communications, Licensing	Information Technology	<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: 1) common carrier; 2) non-common carrier; 3) private internal communications; 4) and broadcast services.</p> <p>A license application must be filed with the FCC.</p>

Source	General Description	Requirement
Hazardous Materials Transportation Act	Information Technology	The University must properly dispose of computers and electrical equipment containing hazardous materials or the University is subject to fines and penalties.
Higher Education Opportunity Act	Information Technology	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.
Homeland Security Act of 2002	Information Technology	The Act encourages private sector sharing of information with the Department of Homeland Security. 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.
Junk Fax Prevention Act of 2005	Information Technology	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: 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. Penalties include a right of private action for actual damages or \$500 per fax, whichever greater, and can be increased if willful or knowing.
No Electronic Theft Act	Information Technology	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. Offenders will be subject to up to five years in prison, and a \$250,000 fine.
Telemarketing	Information Technology	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.
American Jobs Creation Act of 2004	Intellectual Property and Technology Transfer	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.
Bayh-Dole Act of 1980	Intellectual Property and Technology Transfer	Establishes a uniform policy for the disposition and licensing of rights to patentable inventions discovered in the course of federally-funded research.

Source	General Description	Requirement
Cooperative Research and Technology Enhancement Act (CREATE Act)	Intellectual Property and Technology Transfer	<p>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.</p> <p>Promotes patentability of inventions created between universities and the private sector by treating inventions as having a sole owner.</p>
Trademark Revision Act	Intellectual Property and Technology Transfer	<p>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.</p>
U.S. Patent Act	Intellectual Property and Technology Transfer	<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>
Visual Artists Rights Act	Intellectual Property and Technology Transfer	<p>Protects moral rights for fine art works, but does not protect audiovisual works and probably does not apply to most multimedia creations.</p>
Foreign Agents Registration Act of 1938	International Activities and Programs	<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>

Source	General Description	Requirement
Foreign Corrupt Practices Act (FCPA)	International Activities and Programs	<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>
Honest Leadership and Open Government Act of 2007	Lobbying and Political Activities	Made a number of changes to the Lobbying Disclosure Act, including a ban on most gifts from an independent college or university that employs or engages a lobbyist.
House and Senate Gift Ban and Ethics Rules	Lobbying and Political Activities	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.
Lobbying Disclosure Act	Lobbying and Political Activities	<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>

Source	General Description	Requirement
Political Activities	Lobbying and Political Activities	<p>All section 501(c)(3) organizations are absolutely prohibited from directly or indirectly participating in, or intervening in, any political campaign on behalf of (or in opposition to) any candidate for elective public office.</p> <p>Contributions to political campaign funds or public statements of position (verbal or written) made on behalf of the organization in favor of or in opposition to any candidate for public office clearly violate the prohibition against political campaign activity.</p> <p>Violating this prohibition may result in denial or revocation of tax-exempt status and the imposition of certain excise taxes.</p>
Americans with Disabilities Act of 1990	Privacy & Information Security	<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>
Children's Online Privacy Protection Act of 1998 (COPPA)	Privacy & Information Security	<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>
Electronic Communications Privacy Act	Privacy & Information Security	<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>

Source	General Description	Requirement
Fair Credit Reporting Act (FCRA)	Privacy & Information Security	<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>
Fair and Accurate Credit Transaction Act (FACTA)	Privacy & Information Security	<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>
Family Educational Rights and Privacy Act (FERPA)	Privacy & Information Security	<p>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.</p>
Federal Information Security Management Act (FISMA)	Privacy & Information Security	<p>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.</p> <p>The Act requires that the University: 1) implement security programs and policies; 2) assess risk; and 3) periodically test controls.</p>
Freedom of Information Act	Privacy & Information Security	<p>Provides a process by which every person may request access to a public college or university's records or information.</p>
Gramm Leach Bliley Act (GLBA)	Privacy & Information Security	<p>Governs the collection, disclosure, and protection of consumers' personal information and personally identifiable information.</p> <p>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.</p>

Source	General Description	Requirement
HIPAA	Privacy & Information Security	<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 to examine and obtain a copy of their health records, and to request corrections.</p>
Health Information Technology for Economic and Clinical Health (HITECH) Act of 2009	Privacy & Information Security	<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>
Higher Education Act Gainful Employment	Program Integrity Rules	<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>

Source	General Description	Requirement
Higher Education Act: Credit Hour Definition	Program Integrity Rules	Provides a federal definition of credit hour.
Higher Education Act: Incentive Compensation Prohibition	Program Integrity Rules	<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.</p> <p>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>
Higher Education Act: Misrepresentation	Program Integrity Rules	<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>

Source	General Description	Requirement
Higher Education Act: State Authorization	Program Integrity Rules	<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>
Drug & Alcohol Testing of Transportation Employees	Recruitment Hiring & Termination	<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>

Source	General Description	Requirement
Drug Free Workplace Act	Recruitment Hiring & Termination	<p>A federal contractor receiving \$25,000 or more in funding must: 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.</p> <p>Failure to comply can lead to being barred from participation in future contract or grant activity for up to five (5) years.</p>
Employee Polygraph Protection Act	Recruitment Hiring & Termination	<p>Directly or indirectly require, request, suggest, or cause any employee or prospective employee to take or submit to any lie detector test;</p> <p>Use, accept, refer to, or inquire concerning the results of any lie detector test of any employee or prospective employee; or</p> <p>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> <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>

Source	General Description	Requirement
Fair Credit Reporting Act (FCRA)	Recruitment Hiring & Termination	<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>
Federal Volunteer Protection Act	Recruitment Hiring & Termination	Partially protects individual volunteers for non-profit organizations and governmental entities from liability for acts of negligence in the course of their volunteer work.
Immigration and Nationality Act	Recruitment Hiring & Termination	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.
Worker Adjustment and Retraining Notification Act (WARN)	Recruitment Hiring & Termination	<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 dislocated 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>
America COMPETES Act	Research	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.
Animal Welfare Act	Research	Governs the treatment of animals used for research: dogs, cats, monkeys, guinea pigs, hamsters, and other warm-blooded animals.
Clinical Trials § Financial Disclosures by Investigator	Research	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).

Source	General Description	Requirement
Export Administration Regulations	Research	<p>The Export Administration Regulations (EAR) govern export of goods and services on the Commerce Control List (CCL).</p> <p>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.</p>
Food and Drug Administration (FDA) Amendments Act of 2007	Research	<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>
National Science Foundation Research Misconduct Policies	Research	<p>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.</p>

Source	General Description	Requirement
Protection of Human Subjects Regulations (Common Rule)	Research	<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>
Public Health Service Policies on Research Misconduct	Research	<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>
Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought	Research	<p>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.</p>

Source	General Description	Requirement
Small Unmanned Aircraft Systems	Research	<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: (1) They are under the direct supervision of a certified remote pilot in command; and (2) the remote pilot in command is capable of taking over controls at any time during the flight.</p>
Deferred Compensation	Retirement	<p>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.</p>
Employee Annuities	Retirement	<p>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).</p>
Employee Retirement Income Security Act of 1974 (ERISA)	Retirement	<p>Sets minimum standards for participation, vesting, benefit accrual and funding pension plans.</p> <p>Requires employers to regularly provide participants with information about the plan including information about plan features and funding.</p> <p>Requires accountability of plan fiduciaries and gives participants the right to sue for benefits and breaches of fiduciary duty.</p>
Nonqualified Deferred Inclusion	Retirement	<p>If at any time during a taxable year a nonqualified deferred compensation plan I) fails to meet the requirements of paragraphs (2), (3), and (4), or (II) is not operated in accordance with such requirements, all compensation deferred under the plan for the 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>
Qualified Pensions	Retirement	<p>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.</p>

Source	General Description	Requirement
Social Security Act	Retirement	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.
Campus Sex Crimes Prevention Act (§ 1601 of the Victims of Trafficking and Violence Protection Act of 2000)	Sexual Misconduct	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.
Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) and Violence Against Women Act	Sexual Misconduct	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.
Title IX of the Education Amendment of 1972	Sexual Misconduct	<p>Prohibits discrimination on the basis of sex in education programs or activities receiving federal financial assistance including employment.</p> <p>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.</p> <p>ED regulations define sexual harassment, including sexual assault, as unlawful sex discrimination and set forth obligations colleges and universities must meet when responding to reports of sexual harassment.</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. Under ED regulations governing sexual harassment, grievance records relating to a Title IX violation or complaint must be retained for seven years.</p>

Source	General Description	Requirement
Title VII of the Civil Rights Act of 1964	Sexual Misconduct	<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>
Byrd Amendment	Tax	<p>Requires disclosure of lobbying activities when receiving federal contracts, grants, loans or cooperative agreements.</p>
Cafeteria Plans 26 U.S.C. § 125	Tax	<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>
Charitable Gift Annuity Antitrust Relief Act	Tax	<p>Exempts IRC § 501(c)(3) organizations from liability under federal antitrust laws for using or agreeing to use uniform rates in issuing gift annuities.</p>
Deferred Compensation	Tax	<p>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.</p>
Employee Annuities	Tax	<p>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).</p>
Federal Unemployment Tax Act	Tax	<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>

Source	General Description	Requirement
Foreign Bank Accounts and Tax Filings	Tax	<p>US institutions and citizens that have an ownership interest in foreign bank accounts, or US citizens with signature authority over a foreign bank account have to file form TD F 90.22-1 (FBAR).</p> <p>The latter must report the account on an FBAR even if the foreign financial account is reported on an FBAR filed by the owner of the account (or other person that has a financial interest in the account).</p>
Fringe Benefits	Tax	<p>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.</p> <p>Any fringe benefit is taxable and must be included in the recipient's pay unless the law specifically excludes it.</p> <p>Must report the actual value on Forms 941 (or Form 944) and W-2.</p> <p>The employer can use a separate Form W-2 for fringe benefits and any other benefit information.</p>
Independent Contractors	Tax	<p>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.</p> <p>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).</p>
Industrial Alcohol User Permits and Special Tax	Tax	<p>Institutions that procure, use, sell, and/or recover denatured distilled spirits for industrial purposes are required to obtain a permit from the ATF and pay an occupational tax of \$250 per year.</p> <p>However, a scientific university, college of learning, or institution of scientific research which holds a permit to procure and use specially denatured spirits is exempt from payment of the tax if: (i) The institution procures less than 25 gallons of specially denatured spirits per calendar year; and (ii) such spirits are procured for use exclusively for experimental or research use and not for consumption or sale.</p>

Source	General Description	Requirement
Nonqualified Deferred Inclusion	Tax	<p>If at any time during a taxable year a nonqualified deferred compensation plan I) fails to meet the requirements of paragraphs (2), (3), and (4), or (II) is not operated in accordance with such requirements, all compensation deferred under the plan for the taxable year and all preceding taxable 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>
Public Disclosure of Material	Tax	<p>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.</p> <p>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.</p> <p>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.</p> <p>The tax-exempt organization does not have to identify the names and addresses of the contributors to the organization.</p> <p>For those tax returns filed after August 17, 2006, Form 990-T must also be made available.</p>
Qualified Pensions	Tax	<p>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.</p>
Qualified Tuition and Student Loan Interest Reporting	Tax	<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>

Source	General Description	Requirement
Reporting of Payments of Royalties	Tax	<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.</p> <p>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.</p> <p>The filer must also provide to the attorney a written statement of the information required to be included on the return.</p> <p>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>
Small Business Job Protection Act	Tax	<p>Minimum distributions from tax-qualified retirement plans will not be required for workers over age 70.</p> <p>Benefits for those workers still working after age 70 must be actuarially adjusted for those who are participating in defined benefit plans.</p>
Unrelated Business Income (UBIT)	Tax	<p>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.</p> <p>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.</p>
Civil Service Reform Act of 1978	Unions	<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.</p> <p>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>

Source	General Description	Requirement
National Labor Relations Act	Unions	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.
Consumer Credit Protection Act, Title III (CCPA) – Garnishments	Wages	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.
Fair Labor Standards Act (FLSA)	Wages	<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</p> <p>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>

Source	General Description	Requirement
Federal Insurance Contributions Act (FICA)	Wages	<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>
Federal Unemployment Tax Act	Wages	<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>
Qualified Tuition Reductions	Wages	<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>

Source	General Description	Requirement
OAR 583-030-0020	Degree Authorization	Notify HECC and promptly supply all information requested
OAR 583-030-0025	Conditions for Residential or Semi-Residential Degree Program Authorization	Requirement to be authorized and accredited to offer doctoral degrees
OAR 583-030-0035	Standards for Schools Offering Degree Programs in or From Oregon	Long list of standards that must be complied with
OAR 583-030-0041	Authorization Statement in School Catalog	Required statement
OAR 583-030-0042	Reporting Requirements	Required annually for schools offering degrees
OAR 583-030-0046	Fees and Expenses	Fees for degree authorization
OAR 575-031-0045	Disbursements of OOG	Institutions shall disburse grants to eligible students within a time established by the HECC and submit regular reports on disbursements
OAR 575-031-0046	Student Information	Institutions report to HECC data on OOG recipients
OAR 575-031-0050	Recordkeeping	Requirement for institutions to maintain documentation related to OOG program and make academic and financial records available to HECC
OAR 575-067-0020	Oregon National Guard State Tuition Assistance	Recordkeeping
OAR 715-011-0020	Discrimination, Student Complaints and Retaliation	Requirement to comply with Title IX, Educational Amendments of 1972
OAR 715-011-0025	Discrimination, Student Complaints and Retaliation	Prohibition in admission
OAR 715-011-0030	Discrimination, Student Complaints and Retaliation	Prohibition in housing
OAR 715-011-0035	Discrimination, Student Complaints and Retaliation	Prohibition in Health Insurance Benefits and Services
OAR 715-011-0040	Discrimination, Student Complaints and Retaliation	Prohibition in recruitment
OAR 715-011-0050	Discrimination, Student Complaints and Retaliation	Prohibition in providing education programs, services or activities
OAR 715-011-0065	Discrimination, Student Complaints and Retaliation	Adopt and publicize procedures for resolution of complaints of discrimination or retaliation
OAR 715-012-0005	Reimbursement of Part-Time Faculty Healthcare Premiums	Quarterly reimbursement request to the HECC for expense of providing health care benefits for eligible part-time faculty pursuant to ORS 350.355.
OAR 715-012-0105	Incidental Course Materials and Fees	Requirement for institutions to provide the HECC with sufficient information to calculate its meeting of ORS 350.208.

Source	General Description	Requirement
OAR 715-012-0205	Menstrual Products Availability	Implementation of ORS 326.545 and specification on institutional requirements to provide menstrual products at no cost to students.
OAR 715-013-0060	Clinical Legal Education Funds	Annual report on clients served and outcomes of legal issues.
OAR 715-015-0005	Collection and Reporting of Sexual Orientation Data	Annual report to the HECC.
OAR 715-015-0010	Collection and Reporting of Data on Student-Parents	Annual survey requirement and report to the HECC.
OAR 715-017-0005	High School Based College Credit Partnerships	Annual report to the HECC.
DAS/HECC	Six-Year Capital Construction Forecast	Forecast for next 2 biennia of capital requests including project name, estimated amount of funding requested, types of bonding and source of appropriation.
HECC	Annual State Higher Education Finance survey	Completion of schedules for institutional operating budgets (18-19), E&G other funds revenue budget (multiple years).
HECC	Peer Review of High School Based College Credit Partnerships	All universities that operate these programs must complete a self-study providing evidence that they are aligned with state standards, the cycle recurs once every 6 years.
HECC	Data on tuition and fees	
HECC	Enrollments	
HECC	Demographics	
HECC	Completions	
HECC	Funding and fiscal data	
	Compliance requirements for bonded indebtedness	Include loan/grant agreements, reimbursement schemes, and the introduction of additional pass-through costs to incur general obligation debt for real property that, although controlled and managed by the universities, is taken in the name of the State of Oregon. Despite requests, no legal citation was provided to demonstrate that the additional compliance was required.

Source	General Description	Requirement	Notes
ORS 327.390	Outdoor School		OSU only
ORS 329.837	Early Success Reading Initiative	Annual report	UO only
ORS 329A.490	Child care provider training	Institute on Violence and Destructive Behavior to establish statewide child care provider training program if ODE does not identify sufficient funding under ORS 329A.493	UO only
ORS 339.331	Center for School Safety	Provide an annual report on the status of school safety in Oregon	Pertains to UO Center only
ORS 352.605	University of Oregon School of Law	Fulfill designated purposes	UO only
ORS 352.612	Oregon State Museum of Anthropology	Maintain collection	UO only
ORS 352.618	Center for Brain, Biology and Machine	Fulfill designated purposes	UO only
ORS 352.624	Condon Collection Museum of Natural and Cultural History	Maintain collection	UO only
ORS 352.629	Use of apprentices, minorities and women in qualified contracts	UO must require contractors to employ apprentices and report to JWM on amount of work performed by apprentices, women and minority individuals under qualified contracts	UO only
ORS 352.678	Mark O. Hatfield School of Government	Fulfill designated purposes	PSU only
ORS 352.691	Center for Lakes and Reservoirs	Fulfill designated purposes	PSU only
ORS 352.697	Graduate School of Social Work	Fulfill designated purposes	PSU only
ORS 352.703	Institute of Portland Metropolitan Studies	Fulfill designated purposes	PSU only
ORS 352.745	Oregon Renewable Energy Center	Fulfill designated purposes	OIT only
ORS 352.752	Oregon Center for Health Professions	Fulfill designated purposes	OIT only
ORS 352.808	Institute for Natural Resources	Fulfill designated purposes	OSU only
ORS 352.816	Oregon Climate Service	Fulfill designated purposes	OSU only
ORS 352.823	Oregon Climate Change Research Institute	Fulfill designated purposes	OSU only
ORS 352.829	Oceangoing Research Vessel Program	Fulfill designated purposes	OSU only
ORS 352.835	JT Apperson Agricultural College Educational Fund	Execute trust	OSU only
ORS 567.220	Dry Lands Experiment Station	Annual reports on work undertaken and accomplished by the station	OSU only

Source	General Description	Requirement	Notes
ORS 567.330	Eastern Oregon Experiment Station	Biennial report on work undertaken and accomplished by the station	OSU only
ORS 567.430	Harney County Experiment Station	Biennial report on work undertaken and accomplished by the station	OSU only
ORS 567.475	Mid-Columbia Experiment Station	Biennial report on work undertaken and accomplished by the station	OSU only
ORS 567.515	Southern Oregon Experiment Station	Biennial report on work undertaken and accomplished by the station	OSU only
ORS 634.322	Ag. Dept. Enforcement Powers	Designate research specialist to work with State Forester on issuance of permits for isopropyl ester	OSU only
ORS 634.600	Minor Crops Advisory Committee	Permanent service of Interregional Project Number 4 coordinator on advisory committee, ex officio membership of Dean of College of Ag. Sciences	OSU only
ORS 634.653	Integrated Pest Management	Service of faculty member from Ag. Sciences to act as State Integrated Pest Management Coordinator	OSU only
ORS 634.660	Pollinating Insects	Develop educational materials for best practices, develop pollinator health outreach and education plan, develop pesticide use safety plan	OSU only, see also ORS 634.306
Senate Bill 256 (2017)	Willamette Falls Locks Commission	Provide staffing and other resources	PSU only
OAR 575-050-0010	Medical-Dental Student Loan Program	Initial processing of applications, assessment of eligibility for loan, periodical reports, conduct exit interview	OHSU and OSU only
OAR 575-050-0050	Medical-Dental Student Loan Program	Recordkeeping	OHSU and OSU only

Source	General Description	Requirement
ORS 30.267	Liability for certain medical treatment	
ORS 353.080		Annual report to Legislature, HECC and Governor on university's activities and operations for the preceding year
ORS 343.499	State Interagency Coordinating Council	Service on council by representative of Child Development and Rehabilitation Center at OHSU
ORS 348.303	Scholars for a Healthy Oregon Initiative	Administer initiative
ORS 353.330	COPs or agreements for borrowing money	Establish written agreement with DAS for payment of moneys sufficient to pay COPs or financing agreements Assist DAS in making necessary calculations and filing reports related to arbitrage and rebate
ORS 353.603	Nursing Education Program Grants	Distribution of grants or report on reasons for not distributing the grant
ORS 634.550	Pesticide Analytical Response Center	Service on Board

Activity	Program description	State, Federal or City
Senior Citizen Audit	The senior citizen registration classification is designed for Oregon residents age 65 or older who are not seeking academic credit or working toward a degree. Senior citizens may audit classes at no charge, on a space available basis if the department gives approval. Some departments only approve senior auditors for summer courses (e.g., Creative Writing). Incidental fee privileges are not provided and participants must pay any required special course materials fees. Senior citizens who want to audit a self-support course must pay self-support tuition and fees for the course. Forms are available from the Office of the Registrar.	State
Voyager Tuition Remission	Voyager is a financial benefit that is available to Oregon resident who served as members of the National Guard or Reserves in an active duty capacity in a combat zone since September 11, 2001. It covers a portion of tuition and fees not covered by the student's Chapter benefits (education benefits).	State
Limitations on tax-exempt bonding	Note: Including more taxable debt options would promote more private sponsorship of research facilities.	

Source	General Description	Requirement	Notes
HB 3316 (2011)	Adds photogrammetric mapping and transportation planning to list of services subject to procurement procedures for contracting with architects, engineers, photogrammetrists, transportation planners and land surveyors.	Section 7 (9). Describes biennial reporting.	Repealed by SB 80 (2015)
SB 10 (SB 2011)	Clarifies whether provisions that reference session of Legislative Assembly have annual or biennial implications.	Section 42. Each odd numbered year regular session. OSU and OHA shall report to leg and gov on progress and effectiveness of policies and plans in ORS 336.22, 336.227, and 352.008. Copy to senate president, speaker of house and Governor.	Repealed by SB 800 (2011)
SB 242 (2011)	Creates Higher Education Coordinating Commission	Section 20 required reporting related to funding requests	Requirement repealed by SB 1538 (2012)
SB 1581 (2012)	Identifies positions that will be under direction and control of Chief Education Officer for matters related to design and organization of state's education system.	Achievement Compacts	Requirement repealed by SB 215 (2015)