

## University Compliance Calendar

### January

#### Higher Education Act of 1965 as amended (See also, July)

20 U.S.C. § 1011f

By January 31 or July 31 of each year, whichever is sooner, depending on the time of the gift, a postsecondary institution must file a disclosure report about ownership or control by, or contracts with or gifts from foreign sources. The institution shall file a disclosure report with the Department of Education for gifts and contracts of \$250,000 or more received within a calendar year.

[Advancement; Business Office]

#### Tuition Payment Credit Reporting Requirement

26 U.S.C. §6050S; 26 CFR 1.6050S-2T

An institution or insurer must furnish a statement to each individual for whom it is required to file a Form 1098-T, on or before January 31 of the year following the calendar year in which payments were received, or amounts were billed, for qualified tuition and related expenses, or reimbursements, refunds, or reductions of such amounts were made.

[Business Office]

#### Student Loan Interest Reporting

26 U.S.C.6050S; 26 CFR 1.6050S-3 and 26 CFR 1.6050S-4T (see 67 Fed. Reg. 20901 final and temporary regulation)

Under I.R.C § 6050S lenders, including most colleges and universities that participate in the Perkins Loan Program or operate institutional loan programs, must report student loan interest payments to the IRS. This is done by filing Form 1098-E, which must be filed with the IRS on or before February 28, or March 31 if filed electronically. The required statement to all persons who made student loan interest payments must be sent to the payor on or before January 31 of the year following the calendar year in which the interest payments were received. The statement may simply be a copy of Form 1098-E.

Cal. Educ. Code §69433.5 Information regarding college cost estimates (CCE) for each qualifying program with unique costs based on a full academic year must be submitted to the California State Aid Commission via the WebGrants Cost Estimate Screen to permit the Commission to accurately determine a student's eligibility for a Cal Grant award.

[Business Office]

### **The Controlled Substances Act of 1970**

21 U.S.C. § 27; 21 CFR § 1304.33

Reporting obligations for those registered to manufacture and distribute controlled substances. By January 15 of every year, file reports with data on the stocks of each controlled substance on hand by close of business on December 31 of prior year. Manufacturing transaction reports are also to be filed by January 15 for prior calendar year. Acquisition/Distribution reports shall be filed every quarter not later than the 15<sup>th</sup> day of the month succeeding the quarter for which it is submitted.

[Dept. of Biology and Chemistry]

### **Program Participation Agreements and IPEDS**

20 U.S.C. § 1094(A)(17); 34 C.F.R. § 100.6; 29 C.F.R §§ 1602.48-50

As part of the program participation agreements signed in connection with financial aid, an institution must complete surveys conducted as a part of the Integrated Postsecondary Education Data System (IPEDS) or any other Federal postsecondary institution data collection effort, as designated by the Secretary, in a timely manner and to the satisfaction of the Secretary. Filing the IPEDS forms also fulfills certain reporting requirements under Titles VI and VII and the ADA.

[Institutional Research]

### **Student Loan Interest Payment Statements**

26 U.S.C. §6050S; 26 CFR §6050S-3; 26 CFR§ 6050S-4T

By January 31, a Form 1098-E must be furnished to each student participating in a Perkins Loan Program or APU institutional loan program who made student loan interest payments of \$600 or more during the preceding calendar year.

[Business Office]

### Wage and Tax Statements

26 CFR §§ 31.6051-1, 31.6041-2

By January 31, a Form W-2 must be furnished to each person who received wages from APU during the preceding calendar year.

[Business Office]

### Animal Research Program Report to OLAW

U.S. Public Health Service Policy on Humane Care and Use of Laboratory Animals.

By January 31, a report regarding APU's animal care and use program and facilities during the preceding calendar year must be submitted to the U.S. Public Health Service's Office of Laboratory Welfare (OLAW), signed by APU's Vice Provost for Graduate Programs and Research.

[Vice Provost for Graduate Programs and Research; IACCUC]

### Animal Welfare Act; Report by Licensees

9 CFR § 2.7

Each year, within 30 days prior to the expiration date of his or her license, a licensee shall file with the AC Regional Director an application for license renewal and annual report.

[Vice Provost for Graduate Programs and Research; IACCUC]

### Miscellaneous Income Tax Statements

26 CFR § 1.6041

By January 31, a Form 1099-MISC must be furnished to each person who received in the preceding calendar year miscellaneous income from APU of \$600 or more in non-employee service payments during the preceding calendar year with the exception of royalty payments of \$10 or more, or from whom APU has withheld any federal income tax under the backup withholding rules regardless of the amount of the payment.

Non-employee service payments include rents, services, prizes and awards, other income payments, medical and health care payments, or gross proceeds to an attorney.

[Business Office]

### **Distributions from Annuities Tax Statements**

26 CFR § 1.408-7

By January 31, a Form 1099-R must be furnished to each person receiving a distribution from annuities during the preceding calendar year.

[Business Office]

### **Nonresident Withholding Tax Statements**

Cal. Revenue and Tax Code § 18663

By January 31, a California Form 592-B must be furnished to each nonresident of California from whom APU has withheld California backup withholding during the preceding calendar year.

[Business Office]

## **FEBRUARY**

### **Occupational Safety and Health Act of 1970 (OSHA)**

29 U.S.C. § 654: 29 CFR 1094.32

Employers with 11 or more employees must post, from February 1 to April 30, a summary of the total number of job-related injuries and illnesses that occurred in the prior calendar year. Required to post the annual totals of the information contained on the right-hand portion of

the OSHA Form 300 “Log and Summary of Occupational Injuries and Illnesses. The form is to be displayed wherever notices to employees are usually posted.

[Risk Management]

#### **Effective Period of Withholding Exemption Certificate**

26 U.S.C. § 3402; 26 CFR §§ 1.6081-9, 301.6104(a0-1 et seq.

With an automatic extension, the Form 990 is due on February 15.

[Business Office]

#### **Tuition Payment Credit Reporting Requirements**

26 U.S.C. § 6050S; CFR 1.6050S-2T

Form 1098-T must be filed with the IRS by February 28 (or March 31, if filed electronically) of the year following the calendar year during which payments were received.

[Business Office]

#### **Student Loan Interest Reporting**

26 U.S.C. § 6050S; w6 CFR 1.6050S-3 and 26 CFR 1.6050S-4T (see Fed. Reg. 20901 final and temporary regulations)

Under I.R.C § 6050 lenders, including most colleges and universities that participate in the Perkins Loan Program or operate institutional loan programs, must report student loan interest payments to the IRS. This is done by filing Form 1098-E, which must be filed with the IRS on or before February 28 (or March 31 if filed electronically). The required statement to all persons who made student loan interest payments must be sent to the payor on or before January 31 or the year following the calendar year in which the interest payments were received. The statement may be a copy of Form 1098-E.

[Business Office]

#### **Return of Information as to Payments to Employees**

26 CFR § 1.6041-2

Employers must file Form W-2 for wages paid to each employee from whom income, social security or Medicare taxes were withheld or income tax would have been withheld if the employee had claimed no more than one withholding allowance or had not claimed exemption from withholding on Form W-4. Anyone required to file Form W-2 must file Form W-3 to transmit Copy A of Form W-2. The employer must file these forms with the IRS by February 28, or March 31 (if filed electronically). Copies B, C and 2 must be furnished to the employee by February 1.

[Business Office]

#### **Effective Period of Withholding Exemption Certificate**

26 CFR § 31.3402(f)(4)-2

A Form W-4 in which the employee claims exemption from federal taxes expires on February 15 of the following year. The employer must begin withholding for any employee who previously claimed an exemption, but has not given the employer a new Form W-4 for the current year. If the employee does not give the employer a new Form W-4 (see December), withhold tax as if the employee is single, with zero withholding allowances.

[Business Office]

#### **PHS Annual Report on Possible Research Misconduct**

42 CFR 50 & 93

Once established, institutions maintain their assurance by filing the Annual Report on Possible Research Misconduct (between January 1 and March 1 each year), submitting their policy for responding to allegations of research misconduct for review when requested by ORI, revising their policy when requested by ORI to bring the policy into compliance with the PHS regulation, and complying with the PHS regulation.

[Vice Provost for Graduate Programs and Research]

#### **MARCH**

#### **Emergency Planning and Community Right-to-Know Act (EPCRA)**

42 U.S.C. §§ 11021 and 11022; 40 CFR § 370.21 and 370.25

By March 1 of each year, the owner or operator of any facility which is required to prepare or have available a material safety data sheet for a hazardous chemical under OSHA shall prepare and submit an emergency and hazardous chemical inventory format to the appropriate local emergency planning committee; the state emergency response commission; and the fire department with jurisdiction over the facility.

[Risk Management; Facilities Management]

### **Tuition Payment Credit Reporting Requirements**

26 U.S.C. § 6050S; 26 CFR 1.6050S-2T

Form 1098-T must be filed with the IRS by February 28 (or March 31, if filed electronically) of the year following the calendar year during which payments were received.

[Business Office]

### **Distributions from Annuities Tax Returns**

26 CFR §§ 1.408-7, 1.6041-6

By March 1, a 1099-R for the preceding calendar year must be filed with the IRS.

[Business Office]

### **Student Loan Interest Reporting**

26 U.S.C § 6050S ; 26 CFR 1.6050S-3 and 26 CFR 1.6050S-4T (see 67 Fed. Reg 20901 final and temporary regulations)

Under I.R.C. §6050S lenders, including most colleges and universities that participate in the Perkins Loan Program or operate institutional loan programs, must report student loan interest payments to the IRS. This is done by filing Form 1098-E, which must be filed with the IRS on or before March 1, or March 31 if filed electronically. The required statement to all persons who made student loan interest payments must be sent to the payor on or before January 31 of the year following the calendar year in which the interest payments were received. The statement may simply be a copy of Form 1098-E.

[Business Office]

### **Wage and Tax Returns**

26 CFR § 1.6041-2

By March 1 (or March 31 if filed electronically) Forms W-2 for the preceding calendar year must be filed with the IRS. Form W-3 must also be filed in order to transmit Form W-2.

[Business Office]

### **Miscellaneous Income Tax Returns**

26 CFR § 1.6041

By March 1, Forms 1099-MISC for the preceding calendar year must be filed with the IRS.

[Business Office]

### **Form 1042/1042-S Filing and Information Returns**

26 U.S.C. §871; 26 CFR 1.146.1

Form 1042-S is used to report all non-employee payments to non-resident aliens and payments to non-resident employees who claim exemptions from federal incomes taxes due to a tax treaty. (The taxable portion of payments to non-resident employees are reported on IRS Form W-2 in January).

The institution must file form 1042, and copies of all Forms 1042-S with the IRS by March 15 of the calendar year following the year in which the income was paid. In addition, Form 1042-S must be sent to each recipient of an amount subject to reporting by March 15 of the calendar year following the year in which the income was paid.

[Business Office]

### **Non-resident Withholding Tax Returns**



Cal. Revenue and Tax Code § 18663

By March 1, a California Form 592-B for the preceding calendar year must be filed with the California Franchise Tax Board.

[Human Resource; Business Office]

**The Student Right to Know Law; Information on Completion or Graduation Rates**

20 U.S.C. § 1092; 34 CFR §§ 668.41 and 668.45

The disclosure date is July 1 following 150% of the normal time for completion/graduation from its programs. Completion of the Graduation Rate Survey (GRS) (part of the IPEDS reporting done in March-April meets the reporting requirements of the Student Right to Know Law. See the IPEDS summary of HEO changes in Reporting for IPEDS 2009-2010.

[Institutional Research]

**The Student Right to Know Law; Report on Completion or Graduation Rates For Student Athletes**

20 U.S.C. § 1092; 34 CFR §§ 668.41 and 668.48

By July 1 of each year, an institution that offers athletically related student aid must submit a report to the Secretary of Education that covers the 1-year period ending August 31 of the previous year. If the school is a member of the NCAA, the NCAA satisfies the individual institution's responsibility to provide prospective student-athletes and their parents, high school coach and guidance counselor their report on completion or graduation rates for student athletes by distributing the NCAA compilation of graduation rate statistics to all secondary schools in the United States.

[Athletics]

**Emergency and Hazardous Chemical Inventory**

42 U.S.C. §§ 11021,11022; 40 CFR §§ 370.20-370.45

By March 1, an inventory of hazardous chemicals exceeding the regulatory threshold present at the university during the preceding calendar year must be submitted to the appropriate local emergency planning committee, the state emergency response commission, and local fire department.

[Dept. of Biology and Chemistry]

### **Possible Biomedical/Behavioral Research Misconduct Report**

42 U.S.C. §§ 289b, 299c-3, 300v; 42 CFR § 93.302

**By March 1**, a report regarding the university's policy for responding to allegations of biomedical or behavioral research misconduct in the preceding calendar year must be submitted to the Department of Health and Human Services' Office of Research Integrity.

[Vice Provost for Graduate Programs and Research; Institutional Review Board]

### **Withholding of Foreign Person's U.S. Source Income Tax Returns**

26 U.S.C. §§ 871, 1441; 26 CFR §§ 1.1441-1, 1.1461-1

By March 15, Form 1042 and copies of all Forms 1042-S must be filed with the IRS reporting income paid to and taxes withheld from nonresident aliens and foreign entities in the preceding calendar year (e.g., wages exempt under a tax treaty, wages earned as an independent contractor, royalties, and scholarship or fellowship grants).

In addition, by March 15, Form 1042-S must be sent to each recipient of an amount subject to reporting.

[Business Office]

### **Program Participation Agreements and IPEDS**

20 U.S.C. §1094(a)(17); 34 CFR §100.6; 29 CFR §§ 1602.48-50

As part of the program participation agreements signed in connection with financial aid, an institution must complete surveys conducted as a part of the Integrated Postsecondary Education Data System (IPEDS) or any other Federal postsecondary institution data collection effort, as designated by the Secretary, in a timely manner and to the satisfaction of the Secretary of Education. Filing the required IPEDS forms also fulfills certain reporting requirements under Titles VI and VII and the ADA.

[Institutional Research; HR; SFS]

### **WASC Annual Report**

**By March 31**, the university must submit a report to the Western Association of Schools and Colleges that includes required information about university programs (including all regional sites and online programs) enrollment, university finances, and status of all program accreditations.

[WASC Accreditation Liaison Officer]

## APRIL

### Teacher Education Program Reporting Requirements

20 U.S.C. § 1027(f)

Universities must report annually to their state government and the public the pass rate on state teacher certification examinations taken by their graduates. The reporting deadline is April 1. (The State of California will then provide the information to the U.S. Department of Education which will provide the information to the public).

[Dean, School of Education]

### Unclaimed Property Due Diligence

California Code of Civ. Procedure §1510, et seq.

By April 30, final notices must be furnished to holders of uncashed payroll checks that have been dormant for at least one year, uncashed checks for payables that have been dormant for at least 3 years (by fiscal year) and unclaimed credit balances on account that have been dormant for at least 3 years.

[Business Office]

## MAY

No deadlines for May

## JUNE

### **Hazardous Materials Transportation Act of 1994**

49 USCS §5108; 49 CFR §107.608

Each person who transports or causes to be transported hazardous material shall file annually a complete and accurate registration statement on DOT Form F 5800.2 not later than June 30 for each registration year. Each registration year begins on July 1 and ends on June 30.

[ Dept. of Bio & Chem]

### **Unclaimed Property Remittance and Reports**

Cal. Code Civ. Proc. §1510, et seq.

By June 1, an Unclaimed Property remittance and report must be submitted to the Controller's Office of the State of California of any property not claimed since November 1 of the preceding year.

[ Business Office]

### **Foreign Bank Accounts and Tax Filings (FBAR)**

31 USC § 5314(a)

US institutions and citizens that have an ownership interest in foreign bank accounts, or US citizens with signature authority over a foreign bank account must file Form TD F 90.22-1 (FBAR). US citizens with signature authority over a foreign bank account must report on an FBAR form even if the foreign financial account is reported on an FBAR filed by the owner of the account (or another person with a financial interest in the account). This form must be filed by June 30 of the year following any year during which the individual(s) possessed signature or other authority over, or had a monetary interest in foreign financial accounts whose value exceeded \$10,000 at any time during the calendar year. Filing is to the IRS. Proposed regulations state that the IRS must have received the form by June 30. It is not sufficient to postmark by June 30.

[Business Office]

### **NCAA Annual Report and Institutional Self-Study Guide**

By June 1, the university must submit to the NCAA national office, its annual report and self-study guide. The report and self-study guide must be submitted both electronically and in hard copy format.

[Athletics]

**JULY**

**Graduation Rates for Students**

20 U.S.C. §§ 1092(a)(1)(L), 1982 (a)(3); 34 CFR §§ 668.41 (d)(3), 668.45

By July 1, notice must be distributed to current students of the availability of information about the completion/graduation rates of certificate or degree seeking, first-time, full-time, undergraduate students entering APU in the one-year period ending August 31 of the preceding year.

In addition, such information is to be made readily available to both current and prospective students upon request through appropriate publications, mailings, or electronic media.

[Ofc of Institutional Research]

**Graduation Rates for Students Receiving Athletically Related Student Aid**

20 U.S.C §1092(a), (e); 34 CFR §668.41(a), (f); 34 CFR §§ 668.45, 668.48

By July 1, notice must be distributed to current students of the availability of information about the completion/graduation rates of students receiving athletically related student aid in the one-year period ending August 31 of the preceding year.

Submission is to the DOE and to the Department of Education.

In addition, such information must be provided to each prospective student athlete and the student's parents, high school guidance counselor, and coach at the time the university offers athletically related student aid. If the NCAA provides the information for the university to high school coaches and counselors, the university is deemed to be in compliance with that requirement. (The IPEDS GRS collects a URL for the disclosure information if it is posted on the university's website).

[Ofc of Institutional Research; Athletics]

**Golden State Athletic Conference (GSAC) Financial Aid Report**

GSAC Policies and Procedures Section XI

By July 1, the university must submit a current GSAC Financial Aid Report Form to the Golden State Athletic Conference Commissioner. The report is to be signed by the university's Financial Aid Officer, President, Athletic Director and Head Coach.

[Athletics]

### **PCB's Log and Report**

15 U.S.C. § 2607; 40 CFR § 761.180

By July 1, the university must prepare a log of the disposition of polychlorinated biphenyl (PCBs) and PCB items present in each university facility during the preceding calendar year.

In addition, by July 15, a report summarizing the records and log must be submitted to the Regional Administrator of the U.S. Environmental Protection Agency.

[Risk Management; Facilities Management]

### **Higher Education Opportunity Act of 2008 and ISBN Textbook Provision**

Effective July [check this one further]

### **Voter Registration Provision in Higher Education Amendments of 1998**

Pub. L. No. 105-244, 112 Stat. 1581 (1998) and 20 U.S.C. §1094(a)(23)(A)

This law does not apply in states without a voter registration requirement, or if the voter can register at the time of voting. For all other states, including California, the university must request voter registration forms from the state 120 days prior to the deadline for registering to vote and make the forms "widely available" to each student enrolled in a degree or certificate program and physically in attendance at the institution. Many states have voter registration forms online.

[Student Life]

### **Higher Education Act of 1965 and Higher Education Amendments of 1998**

20 U.S.C. § 1011f (see also January)

By January 31 or July 31 of each each year, whichever is sooner depending on the time of the gift, a postsecondary institution must file a disclosure report about ownership or control by, or contracts with or gifts from foreign sources. The institution shall file a disclosure report with the Depart of Education for gifts and contracts of \$250,000 or more received within a calendar year.

[Advancement, Business Office]

### **Annual Report for J-1 Sponsors for the Exchange Visitor Program**

22 CFR 62.15

All J-1 sponsors must submit an annual report generated from SEVIS along with a narrative of the year. Sponsors must submit an annual report to DoS. The report must be filed on an academic calendar, or fiscal year, as stipulated on the program's designation or redesignation letter. The annual reporting cycle is also listed on the Program Information screen. The due dates are : Academic Year ends: June 30 report due to DOS July 31; Calendar Year Ends: December 31 report due to DOS January 31; Fiscal Year ends September 30 Report due to DoS October 31.

[International Center]

### **Employee Retirement Pension Plan Returns**

29U.S.C § 1024' 29 CFR § 2520.104a-5; 29 CFR § 2520.104b-10

The administrator of an employee benefit plan must file a Form 5500 210 days after the close of the plan year. Thus, if the plan year is the same as the calendar year, and ends December 31, then the filing deadline is July 31 of the next year. An extension of the filing year deadline of up to two-and-a-half months can be obtained by using Form 5558. A summary annual report must be sent to each plan participant and beneficiary receiving benefits within nine months of the end of the plan year. If the institution obtains an extension for filing the 5500, the extension for distribution is extended to two months after the filing of the Form 5500. See the TIAA-CREF ERISA 5500 Calendar for the due dates and extension dates based upon when the institution's plan ends. The form is filed with the Internal Revenue Service.

[Human Resources; Business Office]

## **AUGUST**

### **Student Records Privacy (FERPA)**

20 U.S.C. §§ 1092 (a), 1232g; 34 CFR § 668.41(c); 34 CFR Part 99

**By the time of fall registration**, notice must be distributed to current students and parents of a list of information the university is required to provide under the Federal Educational Rights and Privacy Act (FERPA), together with a statement of the procedures required to obtain such information. Distribution to students is by any means reasonably likely to inform them.

[Undergraduate Registrar; APS Registrar; Graduate Registrar]

### **Drug and Alcohol Abuse Prevention Program**

20 U.S.C. §1011i; 34 CFR §86.100

On an annual basis, policies and information on the university's drug and alcohol abuse prevention must be distributed to students and employees. Students who enroll or employees who are hired after the annual distribution must also receive the information.

In addition, the university must make available, upon request, to the Department of Education and to the public, the above information distributed to students and employees as well as the results of a biennial review of the university's drug and alcohol abuse prevention program.

[ Student Life; VP for Graduate Programs & Research; Dean for APS; Human Resources]

### **Campus Security Act of 1990**

20 U.S.C. § 1092(a)(1)(O) and 34 CFR § 668.46 and 668.41

The Campus Security Act requires colleges to report campus crime statistics and security measures to all students and employees by October 1 of each year. The annual security report must be submitted to the Secretary of the Department of Education (via the Internet) by October 15 of each year.

[Campus Safety]

### **The Family Educational Rights and Privacy Act of 1974 (FERPA)**

20 U.S.C. §1232g(e); 34 CFR § 99.7



Each educational agency or institution shall annually notify students currently in attendance of their rights under FERPA. Notification of these rights concurrent with fall registration is suggested, as the student needs to be told what information the student has identified as directory information and notified of his/her opportunity to place a hold on release of directory information.

[Undergrad Registrar; Grad Registrar; APS Registrar]

## **SEPTEMBER**

### **Constitution Day and Citizenship Day**

36 U.S.C. §106, §111 of Division J of Pub. L. 108-447, the “Consolidated Appropriations Act, 2005”, Dec. 8, 2004; 111 Stat. 2809, 3344-45 (§111)

On September 17 (or during the preceding or following week if September 17 falls on a Saturday, Sunday or holiday), an educational program on the U.S. Constitution must be implemented commemorating the September 17, 1787 signing of the U.S. Constitution.

[Vice Provost for Undergraduate Programs]

### **Federal Contractor Veterans’ Employment Report**

38 U.S.C. §4211 et seq.; 41 CFR §61-250.1 et seq.; 48 CFR §52.222-235

If the university has entered into any federal contracts on or after 12/1/2003 worth more than \$100,000, then by **September 30**, a Federal Contractor Veterans’ Employment Report (VETS-100) covering information in the preceding calendar year must be filed with the Department of Education.

[Business Office]

### **Employee Retirement Pension Plan Reports**

29 U.S.C § 1024; 29 CFR §104b-10

**Within nine months after the close of the plan year (September 30)**, a summary annual report must be furnished to each plan participant and beneficiary receiving benefits.

[Human Resources]

### **Voter Registration Information Dissemination**

20 U.S.C. § 1094 (a)(23), (c)(3)

120 days prior to the voter registration deadline, the university must request voter registration forms and make the forms “widely” available to each student enrolled in a degree or certificate program who is physically in attendance at the university. As an alternative, the university may send an email containing a voter registration form acceptable for use in California, or an internet address where such a form may be downloaded, provided that the information must be in an electronic message devoted exclusively to voter registration. Online information may be provided to students in August or September for November elections.

[Student Life; VP for Graduate Programs,  
Undergrad Admissions]

Dean of APS;

### **OCTOBER**

#### **Fiscal Operation Report & Application to Participate**

20 U.S.C. §1087bb; 20 U.S.C. § 1094

To participate in the Federal Perkins Loan, FWS, or FSEOG programs, an application must be filed before the deadline date established annually by the Department of Education through publication of a notice in the Federal Register in order for the Department to determine the university’s allocation or reallocation of funds.

[Undergraduate SFS; Graduate SFS; APS SFS;

Business Office]

**Annual Security Report (Clery Act)**

20 U.S. C. § 1092(f),

By October 1, a security report containing information regarding campus crime statistics and security measures for the preceding calendar year, or notice of availability of the report, must be distributed to all university students and employees. Further, the university must provide notice to prospective students and prospective employees of the availability of the report.

The university must also submit the crimes statistics to the Department of Education and the DOE is required to make the statistics available to the public. If the university publishes the security and fire safety reports separately, each report must include information on how to access the other report.

[Campus Safety]

**Annual Security Report-Emergency Response and Evacuation Procedures (Clery Act)**

20 U.S.C. § 1092(f)(1)(j)

The security report must also contain the university's policies regarding emergency response and evacuation procedures, including procedures for immediate notification to the university campus community, upon the confirmation of a significant emergency or dangerous situation involving an immediate threat to the health or safety of students or employees on campus, unless issuing the notification would compromise efforts to assist a victim, or to contain, respond to, or otherwise mitigate the emergency.

[Campus Safety; Risk Manager; Incident Command Team]

**Annual Security Report--Missing Student Notification Policy and Procedures (Clery Act)**

20 U.S.C. § 1092 (j)

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 campus housing and who have been missing for 24

hours. The security report must also contain a statement of the university's policy regarding missing student notification procedures for students who reside on campus.

[Student Life; Campus Safety]

### **Campus Sex Crimes Prevention Act**

Pub. L. No. 106-386 and 42 U.S.C. § 14071j and 20 U.S.C. § 1092(f)(1)(I)

A statement advising the campus community where law enforcement agency information provided by the State concerning registered sex offenders may be obtained, such as the law enforcement office of the institution (Campus Safety), a local law enforcement agency with jurisdiction for the campus, or a computer network address.

The statement may be added to the Annual Security Report required by the Campus Security Act. The notice requirement is ongoing.

[Campus Safety; Student Life]

### **Disclosure of Fire Safety Standards and Measures**

Higher Education Opportunity Act of 2008 § 485

20 U.S.C § 1092(i)

**By October 1**, statistics on fire safety standards and measures must be reported to the Secretary of Education on an annual basis. The fire safety report must contain information on the university's safety practices and standards for the preceding year, or notice of availability of the report must be distributed to all university students and employees. The university must also provide notice to prospective students and prospective employees of the availability of the report. The statistics must be submitted to the Department of Education and the DOE must make the statistics available to the public.

[Risk Management; Facilities Management; Campus Safety]

### **Equity in Athletics Report**

20 U.S.C. § 1092(g)

34 CFR § 668.41(a)-(b), (g)

**By October 15**, the university must make information about its intercollegiate athletic program available to current and prospective students and to the public. Current and prospective students must be provided a notice of their right to request such information (included in an annual notice to current students). A hard copy of the report must be provided to prospective students. Within 15 days of making the report available to students, prospective students and the public (i.e., no later than October 30), the report must be submitted to the Department of Education, which will then make the information available to the public and notify all secondary schools of the availability of the information and how it may be accessed.

[Athletics]

#### **Unclaimed Property Notice Reports**

Cal. Code Civ. Proc. § 15`0.et seq

By October 31, the Unclaimed Property notice report must be submitted to the Controller's Office of the State of California listing all uncashed checks and unclaimed credit balances for dormancy periods of one (payroll) and three years.

[Business Office]

#### **NOVEMBER**

#### **City of Azusa Development Agreement Compliance Report**

Development Agreement with City of Azusa entered on September 19, 2005

By November 1, a report showing the university's good faith substantial compliance with the terms of the September 2005 Development Agreement with the City of Azusa must be prepared and made available to Azusa.

[Ofc. of the General Counsel]

### Tax-Exempt Organization Information Returns

26 U.S.C. § 6033; 26 CFR §§1.6033-2, 1.6081-9

By 15<sup>th</sup> day of the fifth month following the close of the fiscal year (**November 15**), a Form 990 must be filed with the IRS. Upon filing a Form 8868, an automatic three months extension will be granted moving the filing deadline to February 15.

[Business Office]

### DECEMBER

#### Program Participation Agreements and IPEDS

20 U.S.C. §1094(a)(17); 34 CFR §100.6

As part of the program participation agreements signed in connection with financial aid, and institution must complete surveys conducted as a part of the Integrated Postsecondary Education Data System (IPEDS) or any other Federal postsecondary data collection effort, as designated by the Secretary of Education, in a timely manner and to the satisfaction of the Secretary. Filing the required IPEDS forms also fulfills certain reporting requirements under Title VI, VII and ADA.

[Institutional Research]

#### Animal Research Program Report to APHIS

7 U.S.C. §§2131-2156; 9 CFR §2.36

**By December 1**, a report regarding the university's animal care and use program and facilities during the preceding fiscal year must be submitted to the U.S. Department of Agriculture's Animal and Plant Health Inspection Service's AC Regional Director for California, signed by the university's Vice Provost for Undergraduate Programs and Research.

[Vice Provost for Undergraduate Programs and Research; Sponsored Research]

Grants; IACUC]

### Tax Withholding Exemption Certificates

28 U.S.C. §3402

**By December 1**, a request should be made of each employee who has identified himself or herself as exempt from federal taxes for the current year to file a new W-4 for the upcoming calendar year. The W-4 indicating that the employee was exempt for the current year will expire on February 15 of the upcoming year. If a new W-4 has not been received by February 15, the employee must be treated as a single person claiming no withholdings until a new W-4 is submitted.

[Business Office]

### Tax Identification Number Statements

26 U.S.C. §6050S

**By December 31**, the taxpayer identification number (TIN) must be requested of each U.S. citizen and certain non-resident aliens with respect to whom payments of qualified tuition were received by the university, or reimbursements or refunds were made to the university, if the university does not already have a record of the individual's correct TIN.

[Business Office]

### Occupational Safety and Health Act of 1970 (OSHA)

29 U.S.C. §654 and 29 CFR 1904.32

**By December 31**, the university must review the OSHA 300 Log to verify entries, create an annual summary of injuries and illnesses, and certify the summary, which must be posted no later than **February 1** of the following year and kept in place until **April 30**.

[Risk Management]

PERIODICALLY

### Student Status Confirmation Reports

34 CFR § 610(c)(1), (c)(2)

Student Status Confirmation Report forms must be completed and returned within thirty (30) days of receipt from the Department of Education or guaranty agency. If using the National Student Clearinghouse, acting as the university's agent, the Clearinghouse reports enrollment information automatically to participating loan holders after receipt of the institution's enrollment data report. The Clearinghouse requests that enrollment numbers be reported on a monthly basis.

[Undergrad. Registrar; Graduate Registrar; APS Registrar]

### Quarterly Resident and Nonresident Withholding Statements

Cal. Rev. & Tax Code § 18663

A California Form 592 must be submitted to the Franchise Tax Board of California listing recipients of California source income and the tax withheld on a quarterly basis by the following dates: January 15, April 15, June 15, and September 15.

[Business Office]

### Integrated Postsecondary Education Data System (IPEDS) Surveys

Surveys must be completed as a part of the IPEDS data collection system or any other Federal postsecondary data collection effort, as designated by the Department of Education, in a timely manner and to the satisfaction of the DoE. The surveys are to be completed for Fall, Winter and Spring semesters, within dates to be specified by the DoE.

[Institutional Research]

### ANNUALLY

### Exchange Visitor Program J-1 Sponsor Report

8 U.S.C. § 1101 (a)(15)(H)



**By the deadline designated by the Department of State**, a report generated from the Department of Homeland Security's Student and Exchange Visitor Information System (SEVIS) for each J-1 visa exchange visitor sponsored by the university, along with a narrative of the activities in which the exchange visitors were engaged in the preceding year, must be filed with the Department of State.

[International Center]

#### Low-income Housing Report to City of Azusa

[TEFRA Agreement with City of Azusa executed May 18, 2007]

**Every year through the year 2015**, a report showing the university's compliance with the low/moderate income housing requirements of the TEFRA agreement as of the preceding December 31 must be prepared and made available to the City of Azusa.

[Asset Management]

#### EVERY TWO YEARS

#### Drug and Alcohol Abuse Prevention Biennial Review (in even numbered years)

20 U.S.C. §1011

**Every two years**, a report regarding a biennial review of the effectiveness of the university's drug and alcohol prevention program and consistency of sanction enforcement must be prepared and made available to the Department of Education and the public upon request.

[Alcohol and Other Drug Task Force]

#### Recertification for Attendance of Nonimmigrant Students

8 CFR §214.3

**Every two years**, a Form I-17 petition for recertification for attendance of nonimmigrant students at university locations must be prepared and submitted with the Student and Exchange Visitor Program (SEVP) of the Department of Homeland Security, Using the Student and Exchange Visitor Information System (SEVIS).

[International Center]

**EVERY FIVE (OR MORE) YEARS**

**Animal Welfare Assurance to OLAW**

(Every 5 years)

U.S. Public Health Service Policy on Humane Care and Use of Laboratory Animals

**Every five years**, an approved Animal Welfare Assurance must be filed with the U.S. Public Health Service's Office of Laboratory Animal Welfare (OLAW) SHOWING THE UNIVERSITY'S CONTINUED COMPLIANCE WITH THE PUBLIC HEALTH POLICY.

[VICE PROVOST FOR GRADUATE PROGRAMS AND RESEARCH]

**WASC ACCREDITATION INSTITUTIONAL PROPOSAL**

Every 5 – 8 Years

Every 5-8 years after the last WASC Educational Effectiveness Review, the University must submit a new institutional Proposal to the Western Association of Schools and Colleges.

[WASC Accreditation Liaison]