



**HARTWICK
COLLEGE**

est. 1797

**Compliance at Hartwick College:
A Special Report to the President of the College**

By
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BACKGROUND

The higher education sector operates in a vast and complex regulatory environment that is constantly changing. The number of laws, the increased focus on regulatory compliance at colleges and universities and the consequences for non-compliance make it increasingly important and necessary for the College to fully understand the scope of compliance activities across the institution and to develop a formal compliance program.

In the fall of 2011, I was asked by President Margaret L. Drugovich to conduct an audit of compliance activities at Hartwick College. This report summarizes the purpose for the audit, the process of conducting the audit, the analysis of the audit results and recommendations for managing compliance at Hartwick College.

PURPOSE

The purpose of the audit was to:

1. Identify the federal, state and local government agencies as well as other associations that regulate the College;
2. Identify employees who have some level of responsibility for conducting and/or overseeing compliance related activities;
3. Identify regulations that require the College to file reports, report data, provide notices to constituents or perform some other specific action;
4. Identify the frequency of the compliance activities;
5. Determine the estimated amount of employee time spent on compliance activities; and
6. Determine the direct and indirect costs associated with the compliance activities.

PROCESS

A compliance audit was conducted by collecting information from 37 employees identified by the Vice Presidents as having some level of responsibility for monitoring, overseeing, and implementing compliance related activities. Employees were asked to identify the compliance items they were responsible for, the frequency of the activity, any fees or costs associated with the activity and how much time they spent on each activity. All of the compliance items identified in the audit process were reviewed and verified using federal and state resources. The information was then entered into a spreadsheet and sorted by individual responsible. These individuals were asked to review and verify the information for a second time.

SUMMARY OF FINDINGS

Regulatory Bodies

Hartwick College and its properties is regulated by 28 different federal agencies and departments, 15 different state agencies and departments, four local governments, seven accrediting agencies, three different athletic associations and four other private organizations. The complete list of all agencies and associations can be found in **Appendix A**. In addition to these 61 entities, the College is required to comply with the requirements of a number of hospitals and medically related organizations that the College is affiliated with for the nursing program. The list of affiliated hospitals and organizations can be found in **Appendix B**.

There are hundreds of statutes and regulations that require compliance by one or more departments at the College. Some regulations require ongoing compliance in daily activities and operations. The focus of the audit was to identify the compliance items that require the College to file reports, report data, provide notice to constituents or perform some other specific action.

This audit identified a total of 247 separate compliance items from 36 different entities that must be completed over the course of a year. Of the 247 items, Hartwick staff complete 217 and Hartwick conveys responsibility to Aramark Dining and Facilities for the remaining 30 items.

The top three federal agencies with the largest number of compliance items are the Department of Education, the Internal Revenue Service, and the Department of labor. The top three state agencies with the largest number of compliance items are the Department of Education, the Department of Health and the Department of Taxation and Finance. Other associations with the largest number of compliance items are the National Collegiate Athletic Association and the Higher Education Data Sharing Consortium.

Accreditation and Review

In addition to agencies that regulate the College, seven different associations review and accredit the College and departments within the College and three other associations conduct comprehensive reviews of programs. **Appendix C** outlines the review cycles of each agency.

Each accrediting body has a set of standards and compliance requirements that the College must meet in order to maintain accreditation. During a full accreditation review, the College or department is required to complete a comprehensive self-study and undergo a site visit for each accreditation cycle. Accreditation cycles vary but are typically five or 10 years, with some agencies requiring an annual report. Additional follow up reports may be required between accreditation cycles as a result of the site visit.

Accreditation reviews and reports require a tremendous amount of preparation and work. For example, the College will begin preparing for a review by the Middle States Commission two years prior to the date of a review. Thousands of labor hours are spent preparing for a review by the Middle States Commission and academic departments may spend up to 400 labor hours preparing for one accreditation review. On an annually basis, it is estimated that 122 labor

hours are spent completing accreditation reports required by the Middle States Commission, the American Chemical Society, and the Teacher Education Accreditation Council. The time and effort spent on accreditation is necessary for the College's image and reputation.

Compliance Process and Oversight

Hartwick currently has a multi-layered, decentralized process for compliance. This decentralized process is due to the sheer number of agencies, the volume of regulations, and the number of different departments and staff members on campus that are involved with compliance related activities. There are 104 Hartwick employees and six Aramark employees who have some level of responsibility and involvement in compliance related activities. Of the 104 Hartwick employees, 24 have oversight responsibilities, and of the six Aramark employees, two have oversight responsibilities. Those positions with oversight responsibility are the key positions that ensure the College is in compliance with the regulations and they oversee other staff involved in compliance activities to ensure activities are completed on time. **Appendix D** contains a compliance organizational chart for each division of the College.

Monitoring Compliance

The Senior Assistant to the President has responsibility for monitoring and communicating information on federal and state legislation, regulatory, executive, and accrediting body initiatives that may impact the College. Relevant information related to new or evolving legislation is reviewed and distributed to the President, Vice Presidents and other individuals across campus as appropriate. A variety of sources are monitored on a daily basis and include the US Department of Education, the Federal Register, the Middle States Commission on Higher Education, the American Council on Education, the National Association of Independent Colleges and Universities, the Commission on Independent Colleges and Universities, the Association of Governing Boards, the NYS Office of Higher Education, and the Higher Education Compliance Alliance.

In addition to the Senior Assistant to the President, each position with oversight responsibilities has multiple avenues by which they receive information about new and evolving requirements. These avenues include:

- Subscribing to the regulatory agencies list serves
- Direct notices from member agencies and associations
- Monitoring websites that relate to their department and/or job function
- Attending conferences and workshops or participating in Webinars and trainings
- Notices from firms (BarryDune, KPMG auditors, Nixon Peabody and Bond, Schoeneck & King)

Economic Impact

Compliance has an economic impact on the College. There are direct costs associated with compliance such as fees, licenses, permits, and other expenses. Some of these expenses are fixed annually and others vary depending on the circumstances. The chart in **Appendix E** lists the annual items that incur an expense. The estimated annual cost can be up to \$30,900 annually.

On average, a minimum of 7,284 labor hours is spent on compliance activities over a 12-month period. Based on the positions completing the tasks, estimated annual labor (salary) costs total \$192,874 (\$254,593 when including statutory and institutional benefits). The largest portion of labor hours is spent on compliance with NCAA regulations, financial aid and Department of Education data reporting requirements. **Appendix F** lists each position, the total number of labor hours for each position, and the total salary costs for each division of the College.

In addition to direct costs and labor costs, there are costs associated with accreditation. The chart in **Appendix G** lists the estimated costs for accreditation reviews and reports. The annual expense for accreditation dues and reports is \$11,515.

Failure to comply with regulations can put the College at risk economically. Some examples of fines are:

- \$30,000 for failure to provide information on the cost of higher education to the Commissioner of Education Statistics
- \$35,000 civil penalty for violation of Title IV
- \$30,000 for failing to provide information to the State and public regarding the College's teacher preparation programs
- \$100,000 civil penalty for violating the Employee Retirement Income Security Act

Based on the information collected it is estimated that \$235,289 (\$192,874 in salary costs, \$30,900 in direct costs, \$11,515 in accreditation costs) is spent annually on compliance related activities. If we include statutory and institutional benefits for the labor costs, the total would be \$297,008. Although significant, the expense is necessary to remain in compliance. Hartwick's decentralized approach is efficient. The individuals with expertise in a particular area are completing the compliance requirements, there is no duplication in completing activities and the requirements that involve one or more individuals or departments are being completed collaboratively. There are no significant changes that can be made to reduce costs, and in fact, the cost of completing compliance activities is likely to increase as more regulations are enacted and the costs of doing business increases.

Compliance Calendars

One of the goals of the compliance audit was to create a comprehensive compliance calendar for all regulations that required a specific action. Collecting and compiling all of the information was an important step in understanding the College's annual compliance responsibilities. This information was used to create compliance calendars. These calendars will be an important tool in ensuring that compliance requirements are completed on time. The following compliance calendars can be found in **Appendix H**.

1. Comprehensive (sorted by agency)
2. Comprehensive (sorted by month)
3. Conveyed Responsibility (sorted by month)
4. Federal Regulations (sorted by agency)
5. New York State Regulations (sorted by agency)
6. Other Agencies/Associations Regulations (sorted by agency)

In addition to the above, a compliance calendar was created for each division of the College. These compliance calendars can be found in **Appendix I**. Additional calendars will be created for each department and each individual listed on the calendars.

Record Retention

Hartwick does not have a central place for housing compliance related reports. Compliance and accreditation reports are generally kept in the preparer's office and may include hard copies, electronic copies or both. This process for storing documents is typical for a decentralized process. However, further study and review of record retention is warranted in order to fully understand how and where documents are kept.

The Burden of Compliance

Regulation is necessary to ensure that all colleges and universities operate in an environment that protects the institution, the employees and the consumers. Compliance becomes overly burdensome when regulations from different entities overlap creating duplication or when compliance activities take an exorbitant amount of time to complete. Regulations identified by staff as overly burdensome are in the areas of financial aid, human resources, and athletics.

- Activities identified by the Financial Aid Office as being overly burdensome include the verification of FAFSA information, the handling and refunding of PLUS loans, the implementation and management of the net price calculator, and administering the GI Bill.
- Activities identified by the Athletic Department as overly burdensome include three NCAA requirements. The certification of health insurance coverage, immunizations and health physical forms, completing the equity in athletics report and the revenue and expense report.
- Activities identified by the Human Resources Department as overly burdensome include The Wage Theft and Prevention Act, the Immigration and Nationality Act, and completing Form 5500 for retirement, health and welfare benefit plans.

While burdensome, all of these activities must be completed. As the debate about the quality and cost of higher education continues, additional regulation is expected. Legislation has been proposed for expansion of the Clery Act, new reporting requirements for teacher preparation programs, the use of a model financial aid shopping sheet and college scorecard, and new regulations for additional data collection on graduate outcomes.

CONCLUSION

The compliance audit was an important first step in understanding scope of compliance across the College, how the College manages compliance, and the economic impact of compliance on the College. The data gathered during the audit can be used to make informed decisions about compliance activities at the College, and the compliance calendars created as a result of this audit can be disseminated immediately and used regularly as a tool to ensure that the College meets its annual compliance requirements. Research was conducted on best practices related to creating effective compliance programs at small colleges and universities. Based on this research and the results of the audit, recommendations for how the College can further develop its compliance program are included in the following section of this report.

RECOMMENDATIONS

Over the past four years the College has improved its compliance with the Higher Education Opportunity Act and has been more proactive in monitoring state and federal regulatory changes. However, given the increasing regulation and scrutiny facing colleges and universities today, Hartwick should consider making some adjustments to how it manages compliance at the College. The following recommendations are made for the President's consideration.

Oversight

There is a multitude of compliance activity happening across the College every day and the compliance audit was important in understanding the scope of the compliance activities completed on an annual basis. The decentralized approach to compliance that is currently in place at Hartwick is the right approach given the volume of regulations and the number of different departments and staff members on campus that are involved with compliance related activities. However, the College lacks a coordinated compliance effort and needs someone who can lead the compliance efforts at the College. Best practice recommends that a high-level individual within the College be given this responsibility. This individual is often referred to as the Compliance Officer. This individual should be someone who reports directly to the President and is given the authority to oversee compliance at the College.

Recommendation: Appoint a Compliance Officer

Compliance Program

Compliance encompasses more than just identifying all the reports and forms we file each year and having someone oversee that the work gets completed on time. A good compliance effort should also encompass education and training, monitoring, identifying and reporting compliance concerns, and enforcing policies and procedures the College adopts to ensure that we reduce our risk and remain in compliance. The Federal Sentencing Guidelines which are applicable to nonprofit organizations outlines the qualities of an effective compliance program.

A formal and effective compliance program is one that would:

- emphasize an organizational culture that encourages and enforces ethical conduct and compliance with the law;
- provide training, education and effective communication about compliance to all levels of employees;
- develop appropriate policies and procedures related to compliance;
- identify and document compliance requirements across the College;
- Review and update compliance calendar annually;
- monitor and review compliance activities across the College;
- establish a process by which compliance concerns can be reported;
- identify compliance issues, concerns and risk factors and report them to the senior administration; and
- periodically evaluate the effectiveness of the compliance program.

Establishing a formal compliance program that is supported by the Board and the Administration, and led by the Compliance Officer, would reduce the risk of non-compliance and enhance compliance efforts at the College.

Recommendation: Establish a Formal Compliance Program

Compliance Committee

While a full-time Compliance Officer could focus on developing formal compliance program, it would be more effective with Hartwick's decentralized structure for the Compliance Officer to work with a core committee of key staff who are the most knowledgeable about compliance. Those individuals include the Registrar, Controller, Director of Financial Aid, Director of Institutional Research, Director of Athletics, and Director of Human Resources.

Other compliance-focused committees such as the Title IX Committee could be merged with the Compliance Committee.

Recommendation: Establish a Compliance Committee

Record Retention

Retaining records is an important aspect of compliance and there are federal and state guidelines that clearly outline what records must be kept and for how long. It is important for the College to understand how we are meeting our requirements related to record retention and should develop a comprehensive list of how and where all pertinent records are stored on campus. The College should also ensure that key employees understand what the record retention requirements are.

Recommendation: Conduct an audit of record retention across campus

Recommendation: Create a record retention schedule for each department on campus

Recommendation: Educate key employees about federal and state record retention guidelines

Compliance at Hartwick College

APPENDIX A

Regulatory Agencies and Departments

COMPLIANCE AT HARTWICK COLLEGE

APPENDIX A Regulatory Agencies and Departments

Each agency and/or department listed in the following charts has one or more statutes that require compliance by one or more departments at the College and the vast majority of them require the College to file reports, submit data, and provide notices to constituents.

Federal Agency/Department/Program	Compliance Required	Reporting Required
Centers for Medicare & Medicaid Services	✓	✓
Census Bureau	✓	✓
Department of Agriculture	✓	✓
Department of Commerce, Patent and Trademark Office	✓	
Department of Education	✓	✓
Department of Energy, Office of Health, Security and Safety	✓	✓
Department of Health and Human Services, Food and Drug Administration	✓	
Department of Health and Human Services, National Institutes of Health	✓	
Department of Health and Human Services, Office of Civil Rights	✓	
Department of Health and Human Services, Office of Research Integrity	✓	✓
Department of Homeland Security, Citizenship and Immigration Services	✓	✓
Department of Homeland Security, Immigration and Customs Enforcement	✓	✓
Department of Justice	✓	
Department of Labor	✓	✓
Department of Labor, Occupational Safety and Health Administration	✓	✓
Department of State	✓	✓
Department of Transportation	✓	✓
Department of Treasury	✓	
Department of Veterans Affairs	✓	✓
Environmental Protection Agency	✓	✓
Equal Employment Opportunity Commission	✓	✓
Federal Communication Commission	✓	
Internal Revenue Service	✓	✓
National Center for Education Statistics	✓	✓
National Science Foundation	✓	✓
Social Security Administration	✓	✓
The White House Office of Management and Budget	✓	✓
United States Sentencing Commission	✓	

COMPLIANCE AT HARTWICK COLLEGE

APPENDIX A Regulatory Agencies and Departments

New York State Agency/Division/Department/Program	Compliance Required	Reporting Required
Board of Regents	✓	
Department of Education	✓	✓
Department of Environmental Conservation	✓	✓
Department of Health	✓	✓
Department of Labor	✓	✓
Department of State, Division of Licensing Services	✓	✓
Department of State, Division of Code Enforcement	✓	
Department of State, Division of Corporation and State Records	✓	
Department of Taxation and Finance	✓	✓
Division of Human Rights	✓	
Division of Homeland Security and Emergency Services, Office of Fire Prevention and Control	✓	✓
Environmental Protection Agency	✓	
Higher Education Services Corporation	✓	✓
Liquor Authority, Division of Alcohol and Beverage Control	✓	✓
Office of Management and Budget	✓	✓
Local Governments	Compliance Required	Reporting Required
City of Oneonta	✓	✓
Town of Davenport	✓	✓
Otsego County	✓	✓
Delaware County	✓	✓
Athletic Associations	Compliance Required	Reporting Required
Empire 8 Conference	✓	✓
Mid-American Conference	✓	✓
National Collegiate Athletic Association (NCAA)	✓	✓
Other Association/Agency/Entity	Compliance Required	Reporting Required
Affiliated Hospitals and Agencies, (Nursing Program Clinical Practicum; up to 30 different agencies)	✓	✓
Higher Education Data Sharing Consortium (HEDS)	✓	✓
National Association for College Admission Counseling	✓	
National Student Clearinghouse	✓	✓
Accrediting Agency	Compliance Required	Reporting Required
American Chemical Society (ACS)	✓	✓
Collegiate Commission on Nursing Education (CCNE)	✓	✓
Middle States Commission on Higher Education (MSCHE)	✓	✓
National Association of Schools of Music (NASM)	✓	✓
National Association of Schools of Art & Design (NASAM)	✓	✓
NYS Department of Education, Office of the Professions	✓	✓
Teacher Education Accreditation Council (TEAC)	✓	✓

Compliance at Hartwick College

APPENDIX B

Affiliated Hospitals and Agencies

Compliance at Hartwick College

APPENDIX B

Affiliated Hospitals and Agencies for Clinical Rotations

Clinical Affiliate	Location
St. Francis Hospital	Hartford CT
A.O. Fox Hospital & Nursing Home	Oneonta, NY
Albany Medical Center	Albany, NY
At Home Care	Oneonta, NY
Bassett Healthcare	Cooperstown, NY
Baystate Medical Center	Springfield, MA
Boston Children's Hospital	Boston, MA
Brigham and Women's Hospital	Boston, MA
Bugbee Children's Center	Oneonta, NY
Catskill Area Hospice	Oneonta, NY
Children's National Medical Center	Washington, DC
Cobleskill Regional Hospital	Cobleskill, NY
Cohen Children's Medical Hospital	New Hyde Park, NY
Columbia Presbyterian	New York, NY
Connecticut Children's Medical Center	Hartford CT
Crouse Hospital	Syracuse, NY
Dartmouth-Hitchcock Medical Center	Lebanon, NH
Delaware County Public Health Depts.	Delhi, NY
Faxton St. Luke's	Utica, NY
Good Samaritan Hospital	West Islip, NY
Health Alliance of Hudson Valley	Kingston, NY
Lourdes Hospital	Binghamton NY
Massachusetts General Hospital	Boston MA
Mercy Hospital	Portland, ME
Milford Regional Medical Center	Milford, MA
Mt. Sinai Medical Hospital	New York, NY
NYU-Langone Medical Center	New York, NY
Otsego County Manor	Cooperstown, NY
Otsego County Public Health Depts.	Cooperstown, NY
Pathfinder Village	Edmeston, NY
Phoenixville Hospital	Phoenixville, PA
Presbyterian/St. Luke's Medical Center	Denver, CO
Saint Joseph's Regional Medical Center	Paterson, NJ
Sloan and Kettering Memorial Hospital	New York, NY
Springbrook	Oneonta, NY
St. Peters Health Care	Albany, NY
Sunnyview Rehab Hospital	Schenectady NY
SUNY Upstate Medical University	Syracuse NY
The Mount Sinai Hospital	New York, NY
University of Massachusetts	Worcester, MA
University of Rochester Medical Center	Rochester, NY
Washington County Hospital	Plymouth, NC
Westchester Medical Center	Valhalla, NY

Compliance at Hartwick College

APPENDIX C

Accrediting Agencies

Compliance at Hartwick College

APPENDIX C Accrediting Agencies

The following chart outlines the cycles of accreditation for each agency.

Name of Accrediting Agency	Department	Cycle	Next Review	Compliance Requirements	Reporting Required
Middle States Commission on Higher Education (MSCHE)	College	Annual Institutional Profile	April	✓	✓
Middle States Commission on Higher Education (MSCHE)	College	Every 10 years	2019	✓	✓
Middle States Commission on Higher Education (MSCHE)	College	Periodic review every 5 years	2014	✓	✓
American Chemical Society (ACS)	Chemistry	Annual report	August	✓	✓
American Chemical Society (ACS)	Chemistry	Every 5 years	2013	✓	✓
Collegiate Commission on Nursing Education (CCNE)	Nursing	Every 10 years	2022	✓	✓
NYS Department of Education, Office of the Professions	Nursing	Concurrently with CCNE	2022	✓	✓
National Association of Schools of Music (NASM)	Music	Every 10 years	2013	✓	✓
National Association of Schools of Art & Design (NASAD)	Art	Every 10 years	2016	✓	✓
Teacher Education Accreditation Council (TEAC)	Education	Annual report	June	✓	✓
Teacher Education Accreditation Council (TEAC)	Education	Periodic review every 10 years	2017	✓	✓

Other reviewing agencies

Name of Accrediting Agency	Department	Cycle	Next Review	Compliance Requirements	Reporting Required
National Collegiate Athletic Association (NCAA)	Athletics	Division I Review every 5 years	2017	✓	✓
National Collegiate Athletic Association (NCAA)	Athletics	Division III Review every 5 years	2017	✓	✓
NYS Department of Health	Academic Affairs	Inspection of Radiation-producing Equipment, every 3 years	2012	✓	✓

Compliance at Hartwick College

APPENDIX D

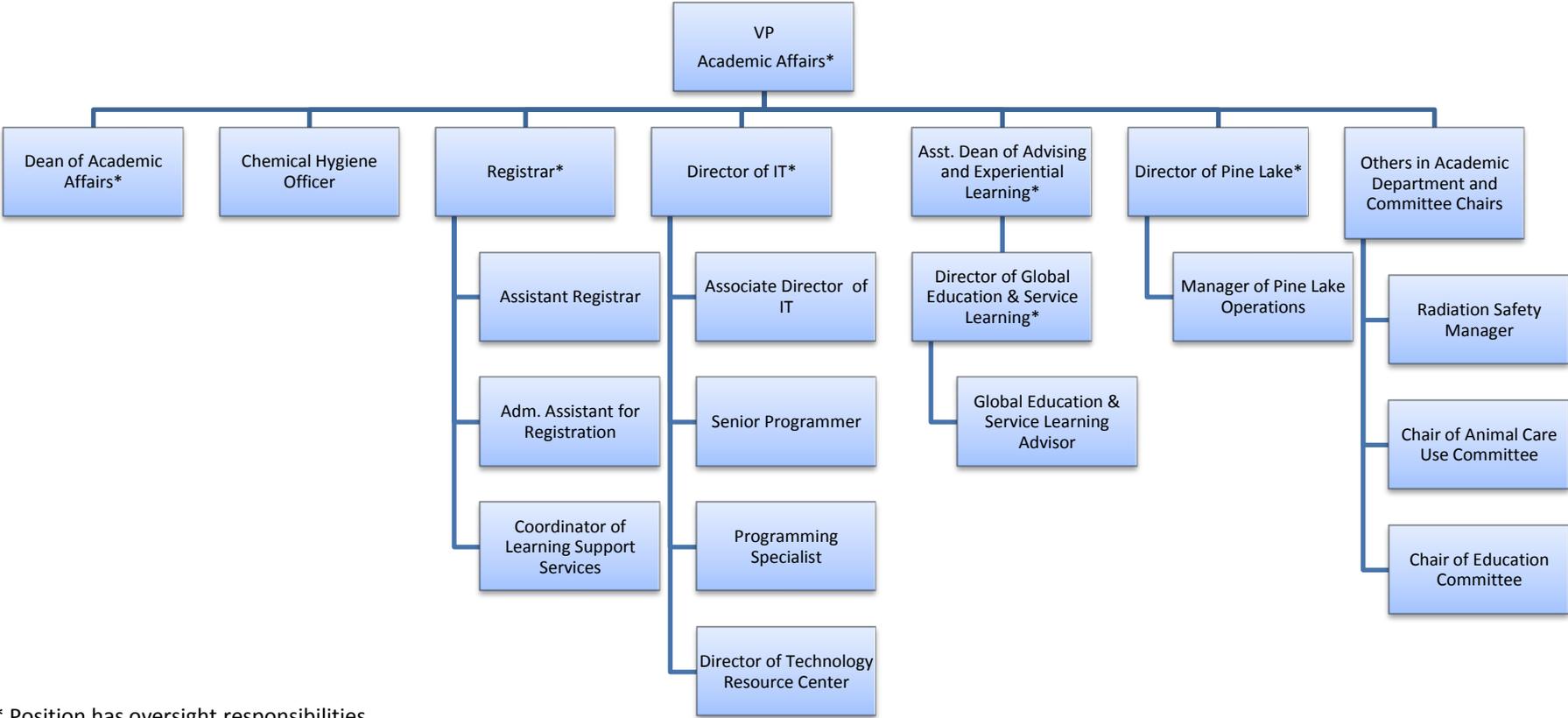
Positions Responsible for Compliance Activities

COMPLIANCE AT HARTWICK COLLEGE

APPENDIX D

Positions Responsible For Compliance Activities

Division of Academic Affairs



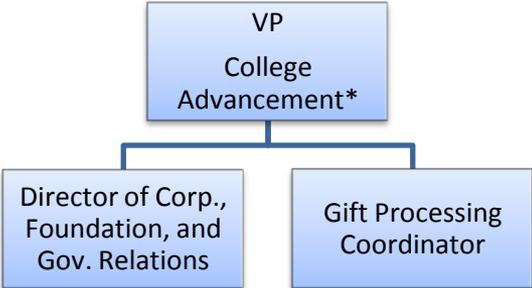
* Position has oversight responsibilities

COMPLIANCE AT HARTWICK COLLEGE

APPENDIX D

Positions Responsible For Compliance Activities

Division of College Advancement



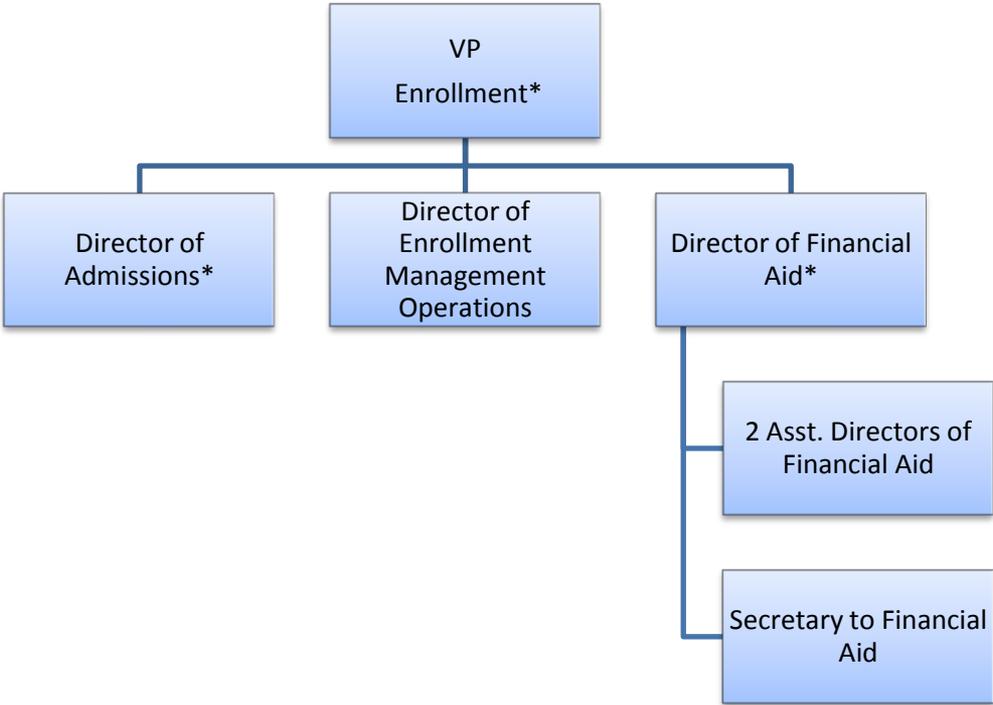
* Position has oversight responsibilities

COMPLIANCE AT HARTWICK COLLEGE

APPENDIX D

Positions Responsible For Compliance Activities

Division of Enrollment Management



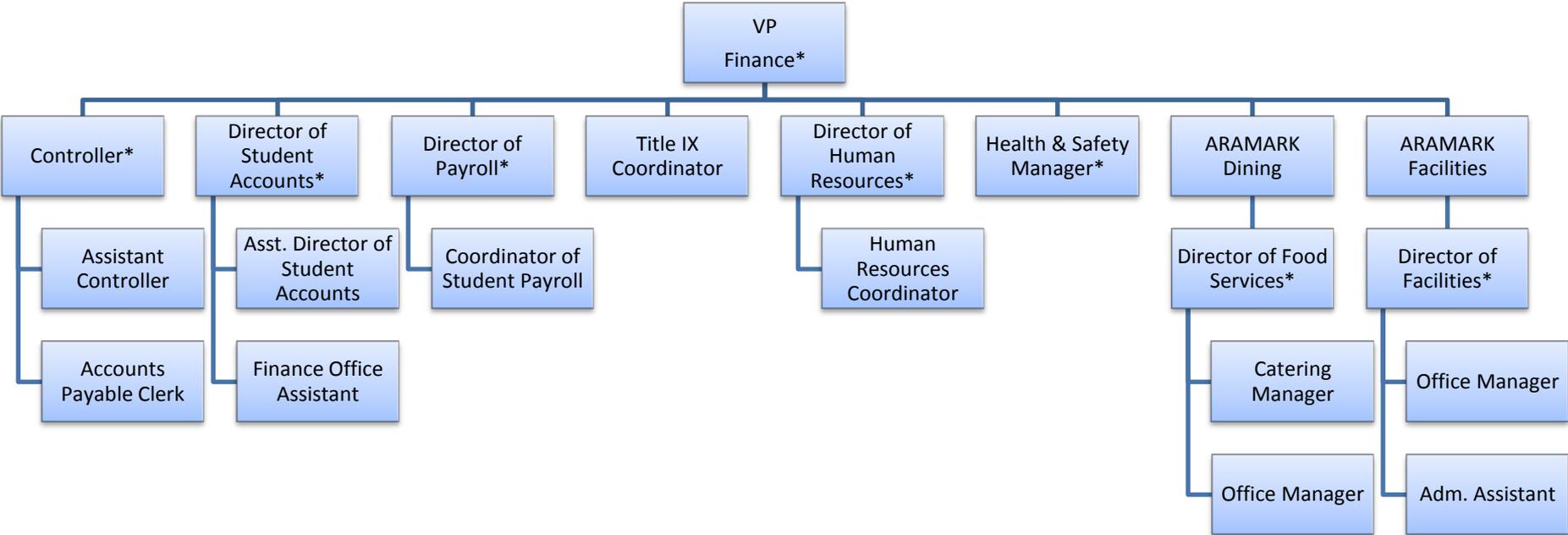
* Position has oversight responsibilities

COMPLIANCE AT HARTWICK COLLEGE

APPENDIX D

Positions Responsible For Compliance Activities

Division of Financial Affairs



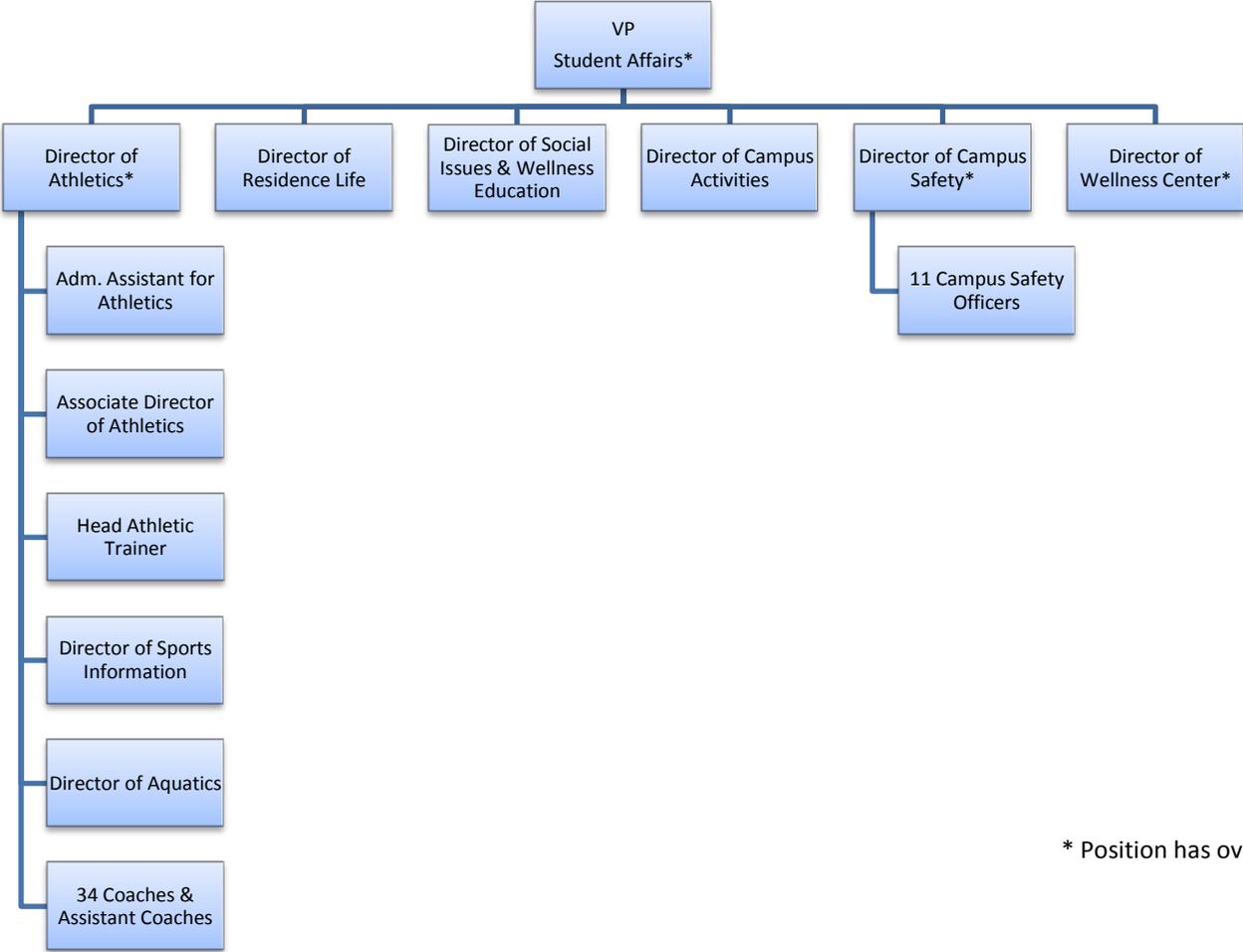
* Position has oversight responsibilities

COMPLIANCE AT HARTWICK COLLEGE

APPENDIX D

Positions Responsible For Compliance Activities

Division of Student Affairs



* Position has oversight responsibilities

Compliance at Hartwick College

APPENDIX E

Direct Costs and Fees

COMPLIANCE AT HARTWICK COLLEGE

APPENDIX E

Estimated Direct Costs and Fees Associated with Compliance

Agency/Department	Regulation/Compliance Item	Fees
NYS Department of Health	Non-municipal Water Operation; chlorine testing	\$750
NYS Department of Health	Non-municipal Water Operation; ecoli testing	\$280
NYS Department of Health	Non-municipal Water Operation; nitrates and nitrites testing	\$100
NYS Department of Health	Waterfront Beach Operation Annual Permit	\$10
NYS Department of Health	Limited Service Laboratory Registration	\$100
NYS Department of Labor	Unemployment Insurance Law- response to claims	Varies based on claims
NYS Division of Criminal Justice Services	Security Guard Licenses	\$500
NYS Office of Fire Prevention and Control	Fire Safety Inspection, Pine Lake	\$750
Town of Davenport	Building Permits	varies
US Department of Education	Graduate Outcomes Report- types of graduate/professional education in which graduates enroll; placement in employment	\$600
US Department of Education	Disbursement of financial aid funds	\$2,000
US Department of Education	Verify and notify Pell Grant Eligibility	\$2,000
US Department of Homeland Security, Citizenship and Immigration Services	Immigration & Nationality Act Labor Condition Application; Verification of Education; VISA Petition	Several thousand
US Department of Education	Direct Loan Title IV - notification of delivery of loans	\$1,100
US Department of Labor	Filing of W2 forms	\$450
US Department of Labor	Immigration & Nationality Act Labor Condition Application	Several thousand
US Department of Labor (Wage/Hour Division)	Consumer Credit protection Act-Processing of background checks (avg. 10-15 per year)	\$600-900

COMPLIANCE AT HARTWICK COLLEGE

APPENDIX E

Estimated Direct Costs and Fees Associated with Compliance

Agency/Department	Regulation/Compliance Item	Fees
NYS Department of Health	Non-municipal Water Operation; chlorine testing	\$750
NYS Department of Health	Non-municipal Water Operation; ecoli testing	\$280
NYS Department of Health	Non-municipal Water Operation; nitrates and nitrites testing	\$100
NYS Department of Health	Waterfront Beach Operation Annual Permit	\$10
NYS Department of Health	Limited Service Laboratory Registration	\$100
NYS Department of Labor	Unemployment Insurance Law- response to claims	Varies based on claims
NYS Division of Criminal Justice Services	Security Guard Licenses	\$500
NYS Office of Fire Prevention and Control	Fire Safety Inspection, Pine Lake	\$750
Town of Davenport	Building Permits	varies
US Department of Education	Graduate Outcomes Report- types of graduate/professional education in which graduates enroll; placement in employment	\$600
US Department of Education	Disbursement of financial aid funds	\$2,000
US Department of Education	Verify and notify Pell Grant Eligibility	\$2,000
US Department of Homeland Security, Citizenship and Immigration Services	Immigration & Nationality Act Labor Condition Application; Verification of Education; VISA Petition	Several thousand
US Department of Education	Direct Loan Title IV - notification of delivery of loans	\$1,100
US Department of Labor	Filing of W2 forms	\$450
US Department of Labor	Immigration & Nationality Act Labor Condition Application	Several thousand
US Department of Labor (Wage/Hour Division)	Consumer Credit protection Act-Processing of background checks (avg. 10-15 per year)	\$600-900

Compliance at Hartwick College

APPENDIX F

Labor Hours and Costs

COMPLIANCE AT HARTWICK COLLEGE

APPENDIX F

Estimated Labor Hours and Labor Costs for a 12-Month Period

DIVISION OF THE COLLEGE	HOURS PER YEAR	LABOR COSTS
ACADEMIC AFFAIRS		
Chair of Institutional Animal Care and Use Committee	12	
Chair of Education Department	60	
Coordinator of Student Teaching and Service Learning	80	
Radiation Safety Officer (faculty member)	4	
Chemical Hygiene Officer	4	
Manager of Pine Lake Operations	437	
Global Education and Service Learning Advisor	260	
Registrar	100	
Database and Systems Analyst	99	
Director of Technology Resource Center	4	
Senior Programmer/Analyst	15	
Executive Director of Information Technology	15	
Director of ISS and Associate Director of Information Technology	10	
Total	1,100	\$ 28,617
COLLEGE ADVANCEMENT		
Gift Processing Coordinator	380	
Director of Foundation and Government Relations	45	
Total	425	\$ 9,907
ENROLLMENT MANAGEMENT		
Director of Financial Aid	175	
Assistant Director of Financial Aid (Carrigan)	160	
Assistant Director of Financial Aid (Thompson)	30	
Secretary to Financial Aid	10	
Total	845	\$ 10,741
FINANCIAL AFFAIRS		
Director of Student Accounts	709	
Assistant Director of Student Accounts	772	
Director of Payroll	91	
Controller	187	
Assistant Controller	52	
Health and Safety Manager	7	
Finance Office Assistant	500	
Total	2,318	\$ 53,717
PRESIDENT'S OFFICE		
Institutional Research Analyst	62	
Director of Institutional Research	21	
Senior Assistant to the President	250	
Total	333	\$ 12,349

COMPLIANCE AT HARTWICK COLLEGE**APPENDIX F****Estimated Labor Hours and Labor Costs for a 12-Month Period**

STUDENT AFFAIRS		
Director of Wellness Center	186	
Nurse	83	
Director of Campus Safety	129	
Director of Residence Life	20	
Director of Athletics	170	
Assistant Director of Athletics	388	
Administrative Assistant for Athletics	22	
Head Athletic Trainer	225	
Athletic Trainer	140	
Assistant Athletic Trainer	120	
Coaches	17	
Sports Information Director	800	
Assistant Sports Information Director	800	
Office Manager in Athletics	8	
	Total	\$ 77,543
	Grand Total	\$ 192,874

Compliance at Hartwick College

APPENDIX G

Labor Hours and Fees for Accreditation

COMPLIANCE AT HARTWICK COLLEGE

APPENDIX G

Estimated Labor Hours and Fees for Accreditation Activities

Name of Accrediting Agency	Department	Cycle	Total Est. Number of Hours	Est. Accreditation Related Fees
Middle States Commission on Higher Education (MSCHE)	College	Annual Institutional Profile	2	\$9,000
Middle States Commission on Higher Education (MSCHE)	College	Every 10 years	3,000	\$35,000
Middle States Commission on Higher Education (MSCHE)	College	Periodic review every 5 years	1,560	\$33,326
American Chemical Society (ACS)	Chemistry	Annual report	20	\$15
American Chemical Society (ACS)	Chemistry	Every 5 years	450	\$500
Collegiate Commission on Nursing Education (CCNE)	Nursing	Every 10 years	167	\$14,000
NYS Department of Education, Office of the Professions	Nursing	Concurrently with CCNE	-	-
National Association of Schools of Music (NASM)	Music	Every 10 years	430	\$1,200
National Association of Schools of Art & Design (NASAM)	Art	Every 10 years	400	\$10,000
Teacher Education Accreditation Council (TEAC)	Education	Annual report	100	\$2,500
Teacher Education Accreditation Council (TEAC)	Education	Periodic review every 10 years	400	\$6,000

Compliance at Hartwick College

APPENDIX H

Comprehensive Compliance Calendars

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Affiliated Hospitals & Agencies (APPENDIX A)	Required physical exam and immunizations for clinical rotation	Yes	Annually	August & February	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Center	Director of Perrella Wellness Center
Center for Medicare Service (CMS)	Disclosure to CMS and Notice of Credible Coverage	Yes	Annually	August	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
Empire 8 Conference	Conduct Foul and Misconduct Reporting	Yes	As required	As required	Student Affairs	Athletics	Division III Head Coaches	Director of Athletics
Equal Employment Opportunity Commission (EEOC)	Age Discrimination in Employment Act-annual update to phased retirement information	Yes	Annually	March	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Higher Education Data Sharing Consortium (HEDS)	HEDS-Fall Degree-Credit Enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Certification of Earned Degrees Conferred	Yes	Annually	July	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Graduation Rate Report – Full-Time Undergraduates	Yes	Annually	July	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS- College Catalog submission	Yes	Annually	June	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
Higher Education Data Sharing Consortium (HEDS)	HEDS-Estimate of Earned Degrees Conferred	Yes	Annually	March	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Higher Education Data Sharing Consortium (HEDS)	HEDS-Enrollment of College Students with Disabilities	Yes	Annually	May	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Institutional Activity	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS_ Certification of Nursing Program Enrollment	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Residence and Migration of College Students	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Preliminary Fall Degree-Credit Enrollment	Yes	Annually	October	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Internal Revenue Service (IRS)	Filing of Form 1099 Misc. Income must be furnished to each person who received misc. income of \$600 or more in the preceding calendar year in non-employee service payments with the exception of royalty payments of \$10 or more, or from whom any federal income tax was withheld under the backup withholding rules regardless of the amount of the payment.	Yes	Annually	January	Finance	Finance	Purchasing Manager and Accounts Payable Clerk	Controller

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	Form 990- Tax Return of Organization Exempt from Income Tax	Yes	Annually	May	Finance	Finance	Controller and Asst. Controller	Vice President Elsbeck, Board of Trustees
Internal Revenue Service (IRS)	Form 8955-SSA - Annual registration statement identifying separated participants with deferred vested benefits	Yes	Annually	July	Finance	Human Resources	Director of Human Resources	Director of Human Resources
Internal Revenue Service (IRS)	Patient Protection Affordability Care Act-Summary of Benefits and Coverage	Yes	Annually	July	Finance	Human Resources	Human Resources Coordinator/ Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS)	Consolidated Omnibus Budget Reconciliation Act (COBRA); notice to employee	Yes	As required	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources
Internal Revenue Service (IRS)	Employer is required to request a W4 withholding certificate from each employee	Yes	At hire	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
Internal Revenue Service (IRS)	Employer is required to request a W4 withholding certificate from each student employee	Yes	At hire	All	Finance	Student Accounts	Coordinator of Student Payroll	Director of Payroll
Internal Revenue Service (IRS)	Remission of payroll taxes withheld	Yes	Bi-weekly	All	Finance	Payroll	Director of Payroll; Coord. of Student Payroll	Controller
Internal Revenue Service (IRS)	Filing Form 941 - Employer's Quarterly Federal Tax Return	Yes	Quarterly	September December, March, June	Finance	Payroll	Director of Payroll	Controller

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	Form 1042/1042S - report all non-employee payments to non-resident aliens and payments to nonresident employees who claim exemptions from federal Income tax	Yes	Annually, if applicable	March	Finance	Payroll	Director of Payroll	Controller
Internal Revenue Service (IRS)	1098-T: Tuition Statement: sent to each individual which payments were received, or amounts were billed, for qualified tuition and related expenses, or reimbursements, refunds, or reductions of such amounts were made.	Yes	Annually	February	Finance	Student Accounts	Contract with Educational Systems Corporation Inc.; Director of Student Accounts, Datatel Programming Specialist	Director of Student Accounts
Internal Revenue Service (IRS)	1098-E: Student loan interest- statement must be furnished to each individual participating in a Perkins Loan Program or institutional loan program who made student loan interest payments of \$600 or more during the preceding calendar year	Yes	Annually	January	Finance	Student Accounts	Assistant Director of Student Accounts	Director of Student Accounts
Internal Revenue Service (IRS)	Form 8300- Report of Cash Payments over \$10,000 received in trade or business from one buyer as a result of a single transaction or two or more related transactions	Yes	Bi-weekly	All	Finance	Student Accounts	Director of Student Accounts	Vice President for Finance

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	If the institution does not have a record of the individual's correct Tax Identification Number (TIN), then it must solicit the TIN	Yes	Bi-annually	October, March	Finance	Student Accounts	Asst. Director of Student Accounts	Director of Student Accounts
Internal Revenue Service (IRS) (and US Department of Labor)	Form 5500 Report Filing: Health Insurance (Health & Welfare benefit plans)	Yes	Annually	January	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Form 5500 Report Filing: Long Term Disability/Group Life & AD&D (Health & Welfare benefit plans)	Yes	Annually	July	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Employee Retirement Income Security Act (ERISA)- disclosures for welfare benefit plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Employee Retirement Income Security Act (ERISA)- disclosures for pension plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
Mid-American Conference (Division I Soccer)	Sportsmanship Letter- Institutional Certification	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. Of Athletics	Director of Athletics
Mid-American Conference (Division I Soccer)	Coaches Concussion Acknowledgement	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. Of Athletics	Director of Athletics
Mid-American Conference (Division I Soccer)	Sportsmanship Letter- Student Athlete Acknowledgement	Yes	Annually	August	Student Affairs	Athletics	Men's Soccer Student Athletes, Associate Dir. of Athletics	Director of Athletics

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Mid-American Conference (Division I Soccer)	Code of Conduct Agreement	Yes	Annually	August	Student Affairs	Athletics	All men's soccer coaches, staff and volunteers	Director of Athletics
National Center for Educational Statistics (IPEDS)	Financial information- institutional revenues by source, expenditures by category, and assets and liabilities	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Fall enrollment (residence, race/ethnicity; gender; enrollment status (PT or FT); and or level of study (undergrad or grad))	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	4-year grad rate, 6-year grad rate, 8 year grad rate	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Institutional Characteristics- basic institutional contact information, tuition and fees, room and board charges, control or affiliation, type of calendar system, levels of awards offered, types of programs, and admissions requirements, % of undgrad students formally registered with office of disability services	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	12-month enrollment by age and gender	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Center for Educational Statistics (IPEDS)	Number of students who complete a postsecondary education program by type of program and level of award (certificate or degree), 12-month enrollment by age and gender	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Report student-faculty ratio	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	Human Resources information- all employees by FT or PT status, instruction faculty by rank, gender, and length of contract/teaching period; total salary outlay; and fringe benefits, demographic and occupational characteristics for staff	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst, Director of Human Resources	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	Total number of undergraduate students taking out other loans (institutional and private, wherein the student is the designated borrower) and the average annual amount	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	The availability of alternative tuition plans, which may include guaranteed tuition plans	Yes	Annual	October	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Center for Educational Statistics (IPEDS)	Financial Aid reporting- number of full-time, first-time degree/certificate-seeking undergraduate students who receive different types of student financial aid, the average dollar amount of aid received by these students, full-time, first-time degree/certificate-seeking undergraduate students who receive grant and scholarship aid, full-time, first-time degree/certificate-seeking undergraduate students who receive Title IV federal student aid	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst; Director of financial Aid	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	Total number of undergraduate students taking out Federal Loans and the average annual amount	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
National Collegiate Athletic Association (NCAA)	Squad Lists	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. of Athletics, Director of Financial Aid	Director of Athletics
National Collegiate Athletic Association (NCAA)	Compliance Certification for Athletic Staff	Yes	Annually	August	Student Affairs	Athletics	All athletic staff and volunteers	Director of Athletics
National Collegiate Athletic Association (NCAA)	Sports Safety Training for Coaches	Yes	Annually	August	Student Affairs	Athletics	Athletic Trainer	Director of Athletics

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	Student Athlete Statement	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Drug Testing Consent Form	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	HIPPA/Buckley Amendment Consent/Waiver Form	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Banned Drugs Education	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	General Amateurism and Eligibility Form for International and Select Student Athletes	Yes	Annually	August	Student Affairs	Athletics	International Student Athletes, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Institutional Affirmation- Concussions Management	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Sport Sponsorship and Demographic Report	Yes	Annually	August	Student Affairs	Athletics	Associate Director of Athletics	Director of Athletics

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	Financial Reporting for all revenues provided/raised and expenditures incurred by the ICA for the fiscal year	Yes	Annually	January	President	Institutional Research	Institutional Research Analyst, Athletic Director	Director if Institutional Research
National Collegiate Athletic Association (NCAA)	Division I Graduation Report	Yes	Annually	May	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director if Institutional Research
National Collegiate Athletic Association (NCAA)	Division III Graduation Report	Yes	Annually	May	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director if Institutional Research
National Collegiate Athletic Association (NCAA)	Division I Academic Progress Report	Yes	Annually	October	Student Affairs	Athletics	Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division III Financial Aid	Yes	Annually	October 15th	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director of Financial Aid
National Collegiate Athletic Association (NCAA)	Concussion Management Plan and Protocol	Yes	Annually	September	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
US Department of Education	Disclosure report about ownership or control by, or contracts with or gifts from foreign sources for gifts and contracts of \$250,000 or more received within a calendar year	Yes - but have not had to file	Annually	January	N/A	N/A	N/A	N/A
US Department of Education	Title IV Federal Student Aid Program Integrity Regulations - Gainful Employment Data Report	Yes - but have not had to file	Annually	June	N/A	N/A	N/A	N/A

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	Rules Test, Division I & III	Yes	Annually	September	Student Affairs	Athletics	All coaches	Director of Athletics
National Collegiate Athletic Association (NCAA)	Certification of Compliance for Institution	Yes	Annually	September	Student Affairs	Athletics	Athletic Adm. Asst.	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division I Drug Testing	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division I Sickle Cell Testing	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Medical Information, Physical Exam, Immunizations	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Wellness Center
National Collegiate Athletic Association (NCAA)	Certify Coverage of Health Insurance	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Management of Proper Division I Scholarships Dollar Awarding	No	As required	As required	Enrollment	Enrollment Management	Director of Financial Aid	Vice President for Enrollment
National Collegiate Athletic Association (NCAA)	Rules Seminar	Yes	At least once every 3 years	June	Student Affairs	Athletics	Director of Athletics	Vice President for Student Affairs
National Collegiate Athletic Association (NCAA)	Statistic Reporting for every home conference game and every non-conference game	Yes	Daily	Daily	Student Affairs	Athletics	Director of Sports Information	Director of Athletics

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	Division I Compliance Review	Yes	Every 5 years	Due July 1, 2012	Student Affairs	Athletics	Director of Athletics	Vice President for Student Affairs
National Collegiate Athletic Association (NCAA)	Division III Institutional Self-Study	Yes	Every 5 years	Due July 1, 2012	Student Affairs	Athletics	Director of Athletics	Vice President for Student Affairs
National Science Foundation (NSF)	Biomedical or Behavioral Research Misconduct Report-report regarding biomedical or behavioral research misconduct and policy for responding to allegations	Yes	As required	As required	Academic Affairs	Academic Affairs	Dean of Academic Affairs	Vice President for Academic Affairs
National Science Foundation (NSF)	Time and Effort Reporting	Yes	3x per year	January, June, September	Academic Affairs	Foundation & Grants	Director of Corporate, Foundation & Government Relations	Dean of Academic Affairs
National Science Foundation (NSF)	Responsible Conduct of Research Online Training (CITI)	Yes	Annually	September	College Advancement	Foundation & Government Relations	Principal Investigator on grant, students and faculty working on research	Principal Investigator on grant
National Science Foundation (NSF)	Data Management for grants	Yes	As required	All	College Advancement	Foundation & Government Relations	Director of Corporate, Foundation & Government Relations	Principle Investigator on grant
National Science Foundation (NSF)	Financial Report	Yes	Quarterly	September December, March, June	Finance	Finance	Controller	Vice President for Finance
National Science Foundation (NSF)	Conflict of Interest for each award/grant accepted	Yes	As required	At time of accepting grant	Academic Affairs	Foundation & Government Relations	Principal Investigator on grant; controller	Director of Corporate, Foundation & Government Relations

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Science Foundation (NSF)	Conflict of Interest for pre-award/grant application	Yes	As required	At time of grant submission	Academic Affairs	Foundation & Government Relations	Principal Investigator on grant; controller	Director of Corporate, Foundation & Government Relations
National Student Clearinghouse	Enrollment reporting for national student aid compliance	Yes	Monthly	All	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
National Student Clearinghouse	Graduate Report	Yes	Annual	June	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Submittal of college catalog	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Estimate of Earned Degrees Conferred	Yes	Annually	March	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Certification of Earned Degrees Conferred	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Preliminary Fall degree credit enrollment	Yes	Annually	September	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Final Fall degree credit enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Report of Off-campus Locations	Yes	Annually	September	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Data on Institutional Activity/Characteristics	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Report on Residence and Migration of College Students	Yes	Bi-annually	November, April	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Certification of Nursing Program Enrollment	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Personnel Development Form for Special Education	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Learning Support Specialist	Registrar
NYS Department of Education	Certification of Transfer Enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst, Asst. Dir. of Registration	Registrar
NYS Department of Education	Graduation Rate Report, FT Undergraduate	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Enrollment of Students with Disabilities	Yes	Annually	April	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Learning Support Specialist	Registrar
NYS Department of Education	Admissions and Academic Preparation Report	Yes	Annually	February	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Dir. of Enrollment Management Operations	Registrar
US Department of Labor	FLSA- Special Minimum Wage for workers w/ disabilities	No	ongoing	24/7	Finance		Director of Human Resources	Director of Human Resources
US Department of Labor	HIPPA- Health Ins. Portability & Accountability Act of 1996	No	ongoing	24/7	Finance		Director of Human Resources	Director of Human Resources
NYS Department of Education	Use of Nursing Aid Statement for high needs Nursing grant Aid	Yes	Annually	December	Academic Affairs	Institutional Research	Dean of Academic Affairs	Institutional Research Analyst
NYS Department of Education	Financial Aid	Yes	Annually	September	Enrollment	Financial Aid	Institutional Research Analyst	Director of Financial Aid
NYS Department of Education	Tuition Assistance Program (TAP) Certification	Yes	Bi-annually	October, March	Finance	Student Accounts	Assistant Registrar	Director of Student Accounts

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Basic Student Changes	Yes	Annually	October	Finance	Student Accounts	Institutional Research Analyst	Director of Student Accounts
NYS Department of Education	Rules for Public Order- Annual Certification Statement	Yes	Annually	June	President	President	Sr. Asst. to the President	President
NYS Department of Education	Rules for Public Order- policy submission	Yes	Every 10 years, Due 2014	June	President	President	Advisory Committee for Campus Safety & Security	Director of Campus Safety
NYS Department of Education	Rules for Public Order- Annual notice to all enrolled students	Yes	Annually	August and January	President	President	Registrar	Sr. Asst. to the President
NYS Department of Education	Bundy Aid - Use and Aid Statement NYSED-2(8)	Yes	Annually	August	President	President	Vice President of Financial Affairs	Sr. Asst. to the President
NYS Department of Education	Bundy Aid - summary budget for fiscal year	Yes	Annually	June	President	President	Sr. Asst. to the President	President
NYS Department of Education	Bundy Aid- submission of current college catalog, faculty manual, employee manual, administrative manual	Yes	Annually	October	President	President	Institutional Research Analyst	Director of Institutional Research
NYS Department of Education	Bundy Aid - Degrees Conferred report	Yes	Annually	August	President	President	Institutional Research Analyst	Registrar
NYS Department of Education	Bundy Aid - College Catalog Submittal	Yes	Annually	October	President	Institutional Research	Institutional Research Analyst	Sr. Asst. to the President
NYS Department of Education	Bundy Aid- Submittal of Audited Financial Statements	Yes	Annually	October	President	Institutional Research	Institutional Research Analyst	Controller
NYS Department of Education	Coordinator's Survey	Yes	Annually	July	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
NYS Department of Education	The Clery Act of 1990 - Campus Safety and Fire Report	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Director of Campus Safety

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	October	Student Affairs	Athletics	Director of Athletics	Institutional Research Analyst
NYS Department of Environmental Conservation	Hazardous Waste Removal	Yes	Semi-annually	September & May	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
NYS Department of Environmental Conservation	Hazardous Waste Report	Yes	Annually	March	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
NYS Department of Health	Radioactive Materials License	Yes	Annually	April	Academic Affairs	Physical and Life Sciences	Radiation Safety Manager	Dean of Academic Affairs
NYS Department of Health	Inspection of Radiation-producing Equipment	Yes	Every 3 years	Due 2012	Academic Affairs	Physical and Life Sciences	Radiation Safety Manager	Dean of Academic Affairs
NYS Department of Health	Laboratory Animal Welfare Program Review and Inspection	Yes	Semi-annually	Once per Semester	Academic Affairs	Biology	Chair of Institutional Animal Care and Use Committee	Dean of Academic Affairs
NYS Department of Health	Animal Welfare Act License	Yes	Annually	January	Academic Affairs	Biology	Chair of Institutional Animal Care and Use Committee	Dean of Academic Affairs
NYS Department of Health	Temporary Residence Permit for rentals	Yes	Every other Year	April	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	NYS Clean Indoor Air Act; posting notices to restrict smoking	No	ongoing		Finance		Director of Human Resources	Director of Human Resources
NYS Department of Health	Non-municipal Water Operation; chlorine testing	Yes	Monthly	All	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Health	Non-municipal Water Operation; ecoli testing	Yes	Quarterly	March, June, September, December	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Non-municipal Water Operation; nitrates and nitrites testing	Yes	Annually	November	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Waterfront Beach Operation Annual Permit	Yes	Annually	May	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations
NYS Department of Health	Waterfront Beach Operation Daily reporting	Yes	Daily	May, June, July, August, September	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations
NYS Department of Health	Operating pool license permit	Yes	Annually	September	Student Affairs	Athletics	Aquatic Director	Director of Athletics
NYS Department of Health	Post Secondary School Immunization Survey	Yes	Annually	November	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Ctr.	Vice President of Student Affairs
NYS Department of Health	Limited Service Laboratory Registration	Yes	Every 2 years	December	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Ctr.	Vice President of Student Affairs
NYS Department of Health	Children's Camp Permit	Yes	Annually	April	Student Affairs	Residence Life	Director of Residence Life	Vice President of Student Affairs
NYS Department of Labor	Minimum wage order	No	ongoing		Finance	Human Resources	Director of Human Resources	Director of Human Resources
NYS Department of Labor	Criminal convictions records	No	ongoing	24/7	Finance	Human Resources	Director of Human Resources	Director of Human Resources

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Labor	Wage Theft & Prevention Act, notice to each employee of their compensation	Yes	At hire; At rate change; Annually	All	Finance	Human Resources	Human Resources Coord., Coord. of Student Payroll, Director of Payroll, Admin. Asst to Dean of Academic Affairs, Exec Asst to Vice President for Academic Affairs	Director of Human Resources and Director of Payroll
NYS Department of Labor	Posting of health & safety information and logging workplace injuries	Yes	Annually	March	Finance	Human Resources	Director of Human Resources	Director of Human Resources
NYS Department of Labor	Worker's Compensation and Disability Benefits law	Yes	Annually and as incidents occur	All	Finance	Human Resources/Payroll	Human Resources Coordinator/Director of Payroll	Director of Human Resources/Controller
NYS Department of Labor	Unemployment Insurance Law- response to claims	Yes	At time of claim	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
NYS Department of Taxation & Finance	Employer is required to request an IT2104 withholding certificate from each employee	Yes	At hire	All	Finance	Human Resources; Payroll	Human Resources Coordinator/Coordinator of Student Payroll	Director of Human Resources/Director of Payroll
NYS Department of Taxation & Finance	Filing NYS-45 Quarterly wage reporting	Yes	Quarterly	September, December, March, June	Finance	Finance	Accounts Payable Clerk	Controller
NYS Department of Taxation & Finance	Sales Tax Reports ST-809 and ST-810	Yes	Monthly & Quarterly	All	Finance	Finance	Accounts Payable Clerk	Controller

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Taxation & Finance	Sales Tax Reports ST-809 and ST-810	Yes	Monthly & Quarterly	All	Finance	Finance	Accounts Payable Clerk	Controller
NYS Department of Taxation & Finance	Remission of payroll taxes withheld	Yes	Bi-weekly	All	Finance	Finance	Accounts Payable Clerk; Coord. of Student Payroll	Controller
NYS Division of Criminal Justice Services	Security Guard License	Yes	Annually	June & July	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety
NYS Higher Education Services Corporation	Certification of enrollment for Tuition Assistance Program (TAP) – verification of benefits eligibility	Yes	Annually	October	Academic Affairs	Office of the Registrar	Assistant Registrar	Director of Student Accounts
NYS Division of Human Rights	Human Rights Law; Discrimination	No	ongoing	24/7	Finance	Human Resources	Director of Human Resources	Director of Human Resources
NYS Office of Fire Prevention and Control	Fire Safety Inspection, Pine Lake	Yes	Annually	September	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Health & Safety Manager
NYS Office of Fire Prevention and Control	Fire Safety Inspection, Main Campus	Yes	Annually	September	Finance	Finance	Health & Safety Manager, Director of Campus Safety, Director Res. Life	Health & Safety Manager
Social Security Administration	W-2 and W-3 Forms: must furnish copy to IRS (electronically) and to employee	Yes	Annually	January	Finance	Payroll	Director of Payroll	Controller

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
The White House Office of Management and Budget	Fiscal Operations Report and Application to Participate in Federal Perkins Loan, Federal Work-Study, and Federal Supplemental Educational Opportunity Grant Programs	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
Town of Davenport	Building Permits	Yes	As required	As required	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
U.S. Department of Health and Human Services' Office of Research Integrity	Biomedical or Behavioral Research Misconduct Report-report regarding biomedical or behavioral research misconduct and policy for responding to allegations	Yes	As required	As required	Academic Affairs	Academic Affairs	Dean of Academic Affairs	Vice President for Academic Affairs
US Census Bureau	Capital Expenditures & Information and Communication Technology (ICT) Surveys	Yes	Annually	April	Finance	Finance	Assistant Controller	Controller
US Department of Education	Graduate Outcomes Report- types of graduate/professional education in which graduates enroll; placement in employment	Yes	Bi-annually	May and November	Academic Affairs	Center for Professional Service and Global Engagement	Asst. Dean of Academic Advising and Experiential Learning	Vice President of Academic Affairs
US Department of Education	Teacher Education Program Report-report of the pass rate on state teacher certification examinations taken by graduates	Yes	Annually	March	Academic Affairs	Education	Chair of Education Department	Vice President of Academic Affairs

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Posting textbook information and course schedules on website	Yes	Annually	August	Academic Affairs	Office of Registrar	Registrar	Vice President for Academic Affairs
US Department of Education	Annual Notice To Students; re: institutional and financial aid info. (see Appendix B for a list of all items included in the annual notice)	Yes	Annually	August	Academic Affairs	Office of the Registrar	Registrar	Sr. Asst. to the President
US Department of Education	Federal Education Rights and Privacy Act (FERPA) - Annual Notice of Rights	Yes	Annually	August	Academic Affairs	Office of the Registrar	Registrar	Sr. Asst. to the President
US Department of Education	Federal Education Rights and Privacy Act (FERPA) - right to inspect and correct educational records	Yes	As requested	When request is made	Academic Affairs	Office of the Registrar	Assistant Registrar	Registrar
US Department of Education	Code of Conduct for Education Loans - all agents responsible for loans must be informed annually of college policy	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President of Enrollment
US Department of Education	Fiscal Operations Report and Application to Participate- Report to the Department of Education all Perkins, FWS, and FSEOG funds from the previous fiscal year and apply for funds for the next fiscal year	Yes	Annually	September	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
US Department of Education	Disclosures of membership and reimbursements for financial aid staff service on advisory boards	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
US Department of Education	Provide school cohort default rate to auditors	Yes	Annually	June	Enrollment	Financial Aid	Assistant Dir. of Financial aid	Director of Financial Aid

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Report cohort-related institutional eligibility	Yes	Semi-annually	September February	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	Disbursement of financial aid funds	Yes	Monthly	Jan to April and May to July	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	Return of Title IV Funds	Yes	As required	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	Verify and notify Pell Grant Eligibility	Yes	Monthly	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	Processing and refunding parent PLUS Loans	Yes	As required	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	Notice to students of Federal Student Financial Aid Penalties for Drug Law Violations	Yes	Annually	August	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
US Department of Education	Consolidated Omnibus Budget Reconciliation Act - Submission of A-133 Form	Yes	Annually	February	Finance	Finance	Controller	Vice President of Finance
US Department of Education	School must notify all students, employees, and applicants for admission and employment of the person designated as the Title IX coordinator	Yes	At hire or Upon Enrollment	All	Finance	Human Resources	Title IX Coordinator	Director of Human Resources
US Department of Education	Must adopt, publish and widely distribute a notice of discrimination to all students; employees; and all applicants for admission and employment	Yes	At hire or Upon Enrollment	All	Finance	Human Resources	Title IX Coordinator	Director of Human Resources

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Notice to employees of Drug & Alcohol Abuse Prevention Program	Yes	At hire	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
US Department of Education	Direct Loan Title IV - notification of delivery of loans	Yes	As required	Ongoing	Finance	Student Accounts	Finance Office Assistant	Director of Student Accounts
US Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	September	President	Institutional Research	Director of Institutional Research	Sr. Asst. to the President
US Department of Education	Report of Completion/Graduation and Transfer-Out Rates	Yes	Annually	June	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
US Department of Education	Institution must certify with NYSED compliance with Article 129-A on an annual basis	Yes	Annually	June	President	Office of the President	Sr. Asst. to the President	President
US Department of Education	Advisory Committee on Campus Safety Annual Report to the President	Yes	Annually	June	President	Office of the President	Chair of Advisory Committee on Campus Safety	Sr. Asst. to the President
US Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	September	Student Affairs	Athletics	Director of Athletics	Director of Institutional Research
US Department of Education	Report of Intercollegiate athletic program participation rates and financial support data	Yes	Annually	October	Student Affairs	Athletics	Director of Athletics	Director of Institutional Research
US Department of Education	Submission of campus safety and crime statistics	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
US Department of Education	Provide Timely Warnings and Emergency Notifications	Yes	As required	As required	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Notice to employees and students of Campus Security and Crime Report and Fire Safety Report and Fire Log	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
US Department of Education	Disclosure of Campus Security Policy, Campus Crime Statistics, Annual Safety Report, Fire Safety Report and Fire Log	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
US Department of Education	Maintain a Daily Crime Log	Yes	Daily	All	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety
US Department of Education	Notice to students of Drug & Alcohol Abuse Prevention Program	Yes	Annually	August	Student Affairs	Social Issues & Wellness Education	Director of Social Issues & Wellness Education	Vice President for Student Affairs
US Department of Education	Voter Registration Forms provided to students	Yes	Annually	August	Student Affairs	Student Affairs	Director of Campus Activities	Vice President for Student Affairs
US Department of Education	Information for Crime Victims About Disciplinary Hearings	Yes	As required	As required	Student Affairs	Student Conduct	Director of Residence Life	Vice President for Student Affairs
US Department of Education, Secretary of Education	Certify that the institution has not used any funds to attempt to influence an agency or member of Congress in connection with any federal grant, contract, loan, or cooperative agreement and that the institution has not used any federal student aid funding to hire a registered lobbyist or to pay for securing an earmark	Yes	Annually	July	President	Office of the President	Sr. Asst. to the President	President

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Homeland Security, Citizenship and Immigration Services	I-9 Form, Employment Eligibility Verification for employees	Yes	At Hire	All	Finance	Human Resources	Human Resources Coordinator, Human Resources Assistant	Director of Human Resources
US Department of Homeland Security, Citizenship and Immigration Services	I-9 Form, Employment Eligibility Verification for student employees	Yes	At Hire	All	Finance	Payroll	Coordinator of Student Payroll	Director of Payroll
US Department of Homeland Security, Citizenship and Immigration Services and US Department of Labor	Immigration & Nationality Act Labor Condition Application; Verification of Education; VISA Petition	Yes	Required prior to hiring foreign worker	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/BS&K/VP Finance
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - initial foreign student registration	Yes	As needed	within 30 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - report whether or foreign student enrolled in classes for each term/semester	Yes	3x per year	September January, February	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - reporting if foreign student fails to show up for program	Yes	As required	within 30 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - Change of status or event reporting for foreign students	Yes	As required	within 21 days of change	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - foreign student transfer (in or out) reporting	Yes	As required	within 15 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - reporting foreign student's graduation and program completion	Yes	As required	within 30 days of program end date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - employment reporting for foreign students	Yes	As required	As required	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Labor	Filing of W2 forms	Yes	Annually	February	Finance	Finance	Controller	Vice President for Finance
US Department of Labor	A-133 Audit	Yes	Annually	May through October	Finance	Finance	Controller; Director of Financial Aid	Vice President of Finance and Board of Trustees
US Department of Labor	Age Discrimination in Employment Act- annual update to phased retirement information	Yes	Annually and ongoing	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
US Department of Labor	WARN- Worker Adjustment & Retraining Notification Act	Yes	Required for mass layoff	As required	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Labor	Immigration & Nationality Act Labor Condition Application	Yes	Required when hiring foreign worker	As required	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
US Department of Labor	Consolidated Omnibus Budget Reconciliation Act (COBRA);notice to employee	Yes	At Hire, Termination or Change in Eligibility	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
US Department of Labor	I-9 Form, Employment Eligibility Verification for Work Study Students	Yes	At hire	All	Finance	Payroll	Coordinator of Student Payroll	Vice President for Finance
US Department of Labor	Remission of 403(b) amounts withheld from paychecks	Yes	Bi-weekly	All	Finance	Payroll	Director of Payroll	Controller
US Department of Labor (and Internal Revenue Service (IRS))	Form 5500 Report Filing: Health Insurance (Health & Welfare benefit plans)	Yes	Annually	January	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
US Department of Labor (and Internal Revenue Service (IRS))	Form 5500 Report Filing: Long Term Disability/Group Life & AD&D (Health & Welfare benefit plans)	Yes	Annually	July	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
US Department of Labor (and Internal Revenue Service (IRS))	Employee Retirement Income Security Act (ERISA)- disclosures for welfare benefit plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
US Department of Labor (and Internal Revenue Service (IRS))	Employee Retirement Income Security Act (ERISA)- disclosures for pension plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
US Department of Labor (Wage & Hour Division)	Family Medical Leave Act forms	Yes	As required	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Labor (Wage/Hour Division)	Consumer Credit protection Act- Processing of background checks	Yes	At hire	All	Finance	Human Resources	Human Resources Coordinator/ Human Resources Assistant	Director of Human Resources
US Department of Labor (Wage/Hour Division)	Processing of garnishments	Yes	As received	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
US Department of Labor (Wage/Hour Division)	Processing of garnishments	Yes	As received	All	Finance	Payroll	Director of Payroll	Controller
US Department of Labor, Occupational Health & Safety Administration (OSHA)	Form 300: Report of total number of job-related injuries and illnesses that occurred in the prior calendar year	Yes	Annually	February	Finance	Human Resources	Human Resources Coordinator/Director of Campus Safety	Director of Human Resources/VP Finance
US Department of Transportation	Form F-5800.2 - transports or causes to be transported hazardous material	Yes - but have not had to file	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
US Department of Veterans Affairs	Certification of enrollment for eligible GI Bill benefit recipients – verification of benefits eligibility	Yes	Semi-annually	September, February	Academic Affairs	Office of the Registrar	Administrative Asst. for Registration	Registrar
US Department of Veterans Affairs	GI-Bill Yellow Ribbon Program - the institution must submit completed Yellow Ribbon Participation Agreements	Yes	Annually	February	Academic Affairs	Office of the Registrar	Administrative Asst. for Registration	Registrar
US Environmental Protection Agency (EPA)	Toxic Substance Control Act- submit inventory of hazard chemicals exceeding the regulatory threshold during the preceding calendar	Yes	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs

Sorted by Agency

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Environmental Protection Agency (EPA)	Annual document log of the disposition of PCBs and PCB items present in each facility during the preceding year	Yes	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs
US Environmental Protection Agency (EPA)	Emergency Planning and Community Right to Know Act: emergency and hazardous chemical inventory format	Yes - but have not had to file	Annually	February	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Disbursement of financial aid funds	Yes	Monthly	Jan to April (May to July)	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
NYS Department of Education	Rules for Public Order- Annual notice to all enrolled students	Yes	Annually	January (August)	President	President	Registrar	Sr. Asst. to the President
US Department of Education	Disclosure report about ownership or control by, or contracts with or gifts from foreign sources for gifts and contracts of \$250,000 or more received within a calendar year	Yes - but have not had to file	Annually	January	N/A	N/A	N/A	N/A
Internal Revenue Service (IRS)	1098-E: Student loan interest- statement must be furnished to each individual participating in a Perkins Loan Program or institutional loan program who made student loan interest payments of \$600 or more during the preceding calendar year	Yes	Annually	January	Finance	Student Accounts	Assistant Director of Student Accounts	Director of Student Accounts
Internal Revenue Service (IRS) (and US Department of Labor)	Form 5500 Report Filing: Health Insurance (Health & Welfare benefit plans)	Yes	Annually	January	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
National Collegiate Athletic Association (NCAA)	Financial Reporting for all revenues provided/raised and expenditures incurred by the ICA for the fiscal year	Yes	Annually	January	President	Institutional Research	Institutional Research Analyst, Athletic Director	Director if Institutional Research

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Health	Animal Welfare Act License	Yes	Annually	January	Academic Affairs	Biology	Chair of Institutional Animal Care and Use Committee	Dean of Academic Affairs
Social Security Administration	W-2 and W-3 Forms: must furnish copy to IRS (electronically) and to employee	Yes	Annually	January	Finance	Payroll	Director of Payroll	Controller
US Department of Labor (and Internal Revenue Service (IRS))	Form 5500 Report Filing: Health Insurance (Health & Welfare benefit plans)	Yes	Annually	January	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
National Science Foundation (NSF)	Time and Effort Reporting	Yes	3x per year	January (June, September)	Academic Affairs	Foundation & Grants	Director of Corporate, Foundation & Government Relations	Dean of Academic Affairs
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - report whether or foreign student enrolled in classes for each term/semester	Yes	3x per year	January (September, February)	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - report whether or foreign student enrolled in classes for each term/semester	Yes	3x per year	February (September, January)	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	1098-T: Tuition Statement: sent to each individual which payments were received, or amounts were billed, for qualified tuition and related expenses, or reimbursements, refunds, or reductions of such amounts were made.	Yes	Annually	February	Finance	Student Accounts	Contract with Educational Systems Corporation Inc.; Director of Student Accounts, Datatel Programming Specialist	Director of Student Accounts
National Center for Educational Statistics (IPEDS)	Human Resources information- all employees by FT or PT status, instruction faculty by rank, gender, and length of contract/teaching period; total salary outlay; and fringe benefits, demographic and occupational characteristics for staff	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst, Director of Human Resources	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	Total number of undergraduate students taking out other loans (institutional and private, wherein the student is the designated borrower) and the average annual amount	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Center for Educational Statistics (IPEDS)	Financial Aid reporting- number of full-time, first-time degree/certificate-seeking undergraduate students who receive different types of student financial aid, the average dollar amount of aid received by these students, full-time, first-time degree/certificate-seeking undergraduate students who receive grant and scholarship aid, full-time, first-time degree/certificate-seeking undergraduate students who receive Title IV federal student aid	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst; Director of financial Aid	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	Total number of undergraduate students taking out Federal Loans and the average annual amount	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
NYS Department of Education	Admissions and Academic Preparation Report	Yes	Annually	February	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Dir. of Enrollment Management Operations	Registrar
US Department of Education	Consolidated Omnibus Budget Reconciliation Act - Submission of A-133 Form	Yes	Annually	February	Finance	Finance	Controller	Vice President of Finance

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Report cohort-related institutional eligibility	Yes	Bi-annually	February (September)	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
Affiliated Hospitals & Agencies (APPENDIX A)	Required physical exam and immunizations for clinical rotation	Yes	Annually	February (August)	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Center	Director of Perrella Wellness Center
US Department of Labor	Filing of W2 forms	Yes	Annually	February	Finance	Finance	Controller	Vice President for Finance
US Department of Labor, Occupational Health & Safety Administration (OSHA)	Form 300: Report of total number of job-related injuries and illnesses that occurred in the prior calendar year	Yes	Annually	February	Finance	Human Resources	Human Resources Coordinator/Director of Campus Safety	Director of Human Resources/VP Finance
US Department of Veterans Affairs	GI-Bill Yellow Ribbon Program - the institution must submit completed Yellow Ribbon Participation Agreements	Yes	Annually	February	Academic Affairs	Office of the Registrar	Administrative Asst. for Registration	Registrar
US Department of Veterans Affairs	Certification of enrollment for eligible GI Bill benefit recipients – verification of benefits eligibility	Yes	Semi-annually	February (September)	Academic Affairs	Office of the Registrar	Administrative Asst. for Registration	Registrar
US Environmental Protection Agency (EPA)	Emergency Planning and Community Right to Know Act: emergency and hazardous chemical inventory format	Yes - but have not had to file	Annually	February	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs
Equal Employment Opportunity Commission (EEOC)	Age Discrimination in Employment Act-annual update to phased retirement information	Yes	Annually	March	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Higher Education Data Sharing Consortium (HEDS)	HEDS-Estimate of Earned Degrees Conferred	Yes	Annually	March	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Taxation & Finance	Filing NYS-45 Quarterly wage reporting	Yes	Quarterly	March (June, September, December)	Finance	Finance	Accounts Payable Clerk	Controller
NYS Department of Environmental Conservation	Hazardous Waste Report	Yes	Annually	March	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
NYS Department of Labor	Posting of health & safety information and logging workplace injuries	Yes	Annually	March	Finance	Human Resources	Director of Human Resources	Director of Human Resources
US Department of Education	Teacher Education Program Report-report of the pass rate on state teacher certification examinations taken by graduates	Yes	Annually	March	Academic Affairs	Education	Chair of Education Department	Vice President of Academic Affairs
NYS Department of Education	Estimate of Earned Degrees Conferred	Yes	Annually	March	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Tuition Assistance Program (TAP) Certification	Yes	Bi-annually	March (October)	Finance	Student Accounts	Assistant Registrar	Director of Student Accounts
Internal Revenue Service (IRS)	Form 1042/1042S - report all non-employee payments to non-resident aliens and payments to nonresident employees who claim exemptions from federal Income tax	Yes	Annually, if applicable	March	Finance	Payroll	Director of Payroll	Controller

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	Filing Form 941 - Employer's Quarterly Federal Tax Return	Yes	Quarterly	March (June, September, December)	Finance	Payroll	Director of Payroll	Controller
Internal Revenue Service (IRS)	If the institution does not have a record of the individual's correct Tax Identification Number (TIN), then it must solicit the TIN	Yes	Bi-annually	March (October)	Finance	Student Accounts	Asst. Director of Student Accounts	Director of Student Accounts
NYS Department of Health	Laboratory Animal Welfare Program Review and Inspection	Yes	Bi-annually	March (October)	Academic Affairs	Biology	Chair of Institutional Animal Care and Use Committee	Dean of Academic Affairs
NYS Department of Health	Non-municipal Water Operation; ecoli testing	Yes	Quarterly	March (June, September, December)	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
National Science Foundation (NSF)	Financial Report	Yes	Quarterly	March (June, September, December)	Finance	Finance	Controller	Vice President for Finance
National Center for Educational Statistics (IPEDS)	Financial information- institutional revenues by source, expenditures by category, and assets and liabilities	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Fall enrollment (residence, race/ethnicity; gender; enrollment status (PT or FT); and or level of study (undergrad or grad))	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	4-year grad rate, 6-year grad rate, 8 year grad rate	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Center for Educational Statistics (IPEDS)	Institutional Characteristics- basic institutional contact information, tuition and fees, room and board charges, control or affiliation, type of calendar system, levels of awards offered, types of programs, and admissions requirements, % of undergrad students formally registered with office of disability services	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Number of students who complete a postsecondary education program by type of program and level of award (certificate or degree), 12-month enrollment by age and gender	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	12-month enrollment by age and gender	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Report student-faculty ratio	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
NYS Department of Education	Enrollment of Students with Disabilities	Yes	Annually	April	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Learning Support Specialist	Registrar
NYS Department of Education	Report on Residence and Migration of College Students	Yes	Bi-annually	April (November)	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Health	Radioactive Materials License	Yes	Annually	April	Academic Affairs	Physical and Life Sciences	Radiation Safety Manager	Dean of Academic Affairs
NYS Department of Health	Temporary Residence Permit for rentals	Yes	Every other Year	April	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Children's Camp Permit	Yes	Annually	April	Student Affairs	Residence Life	Director of Residence Life	Vice President of Student Affairs
US Census Bureau	Capital Expenditures & Information and Communication Technology (ICT) Surveys	Yes	Annually	April	Finance	Finance	Assistant Controller	Controller
Higher Education Data Sharing Consortium (HEDS)	HEDS-Enrollment of College Students with Disabilities	Yes	Annually	May	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Internal Revenue Service (IRS)	Form 990- Tax Return of Organization Exempt from Income Tax	Yes	Annually	May	Finance	Finance	Controller and Asst. Controller	Vice President Elsbeck, Board of Trustees
National Collegiate Athletic Association (NCAA)	Division I Graduation Report	Yes	Annually	May	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director if Institutional Research
National Collegiate Athletic Association (NCAA)	Division III Graduation Report	Yes	Annually	May	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director if Institutional Research
NYS Department of Health	Waterfront Beach Operation Annual Permit	Yes	Annually	May	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Graduate Outcomes Report- types of graduate/professional education in which graduates enroll; placement in employment	Yes	Bi-annually	May and November	Academic Affairs	Center for Professional Service and Global Engagement	Asst. Dean of Academic Advising and Experiential Learning	Vice President of Academic Affairs
US Department of Education	Disbursement of financial aid funds	Yes	Monthly	May to July (Jan to April)	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Labor	A-133 Audit	Yes	Annually	May to October	Finance	Finance	Controller; Director of Financial Aid	Vice President of Finance and Board of Trustees
NYS Department of Health	Waterfront Beach Operation Daily reporting	Yes	Daily	May to September	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations
NYS Department of Environmental Conservation	Hazardous Waste Removal	Yes	Bi-annually	May (September)	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
Higher Education Data Sharing Consortium (HEDS)	HEDS- College Catalog submission	Yes	Annually	June	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
Internal Revenue Service (IRS)	Filing Form 941 - Employer's Quarterly Federal Tax Return	Yes	Quarterly	June (September, December, March)	Finance	Payroll	Director of Payroll	Controller
National Collegiate Athletic Association (NCAA)	Rules Seminar	Yes	At least once every 3 years	June	Student Affairs	Athletics	Director of Athletics	Vice President for Student Affairs
National Student Clearinghouse	Graduate Report	Yes	Annual	June	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Rules for Public Order- Annual Certification Statement	Yes	Annually	June	President	President	Sr. Asst. to the President	President
NYS Department of Education	Rules for Public Order- policy submission	Yes	Every 10 years, Due 2014	June	President	President	Advisory Committee for Campus Safety & Security	Director of Campus Safety
US Department of Education	Title IV Federal Student Aid Program Integrity Regulations - Gainful Employment Data Report	Yes - but have not had to file	Annually	June	N/A	N/A	N/A	N/A
NYS Department of Education	Bundy Aid - summary budget for fiscal year	Yes	Annually	June	President	President	Sr. Asst. to the President	President
US Department of Education	Provide school cohort default rate to auditors	Yes	Annually	June	Enrollment	Financial Aid	Assistant Dir. of Financial aid	Director of Financial Aid
US Department of Education	Report of Completion/Graduation and Transfer-Out Rates	Yes	Annually	June	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
US Department of Education	Institution must certify with NYSED compliance with Article 129-A on an annual basis	Yes	Annually	June	President	Office of the President	Sr. Asst. to the President	President
US Department of Education	Advisory Committee on Campus Safety Annual Report to the President	Yes	Annually	June	President	Office of the President	Chair of Advisory Committee on Campus Safety	Sr. Asst. to the President
US Department of Transportation	Form F-5800.2 - transports or causes to be transported hazardous material	Yes - but have not had to file	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
US Environmental Protection Agency (EPA)	Toxic Substance Control Act- submit inventory of hazard chemicals exceeding the regulatory threshold during the preceding calendar	Yes	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Environmental Protection Agency (EPA)	Annual document log of the disposition of PCBs and PCB items present in each facility during the preceding year	Yes	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs
NYS Department of Taxation & Finance	Filing NYS-45 Quarterly wage reporting	Yes	Quarterly	June (September, December, March)	Finance	Finance	Accounts Payable Clerk	Controller
National Science Foundation (NSF)	Time and Effort Reporting	Yes	3x per year	June (January, September)	Academic Affairs	Foundation & Grants	Director of Corporate, Foundation & Government Relations	Dean of Academic Affairs
National Science Foundation (NSF)	Financial Report	Yes	Quarterly	June (September, December, March)	Finance	Finance	Controller	Vice President for Finance
NYS Division of Criminal Justice Services	Security Guard License	Yes	Annually	June & July	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety
Higher Education Data Sharing Consortium (HEDS)	HEDS-Certification of Earned Degrees Conferred	Yes	Annually	July	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Graduation Rate Report – Full-Time Undergraduates	Yes	Annually	July	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Internal Revenue Service (IRS)	Form 8955-SSA - Annual registration statement identifying separated participants with deferred vested benefits	Yes	Annually	July	Finance	Human Resources	Director of Human Resources	Director of Human Resources

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	Patient Protection Affordability Care Act- Summary of Benefits and Coverage	Yes	Annually	July	Finance	Human Resources	Human Resources Coordinator/ Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Form 5500 Report Filing: Long Term Disability/Group Life & AD&D (Health & Welfare benefit plans)	Yes	Annually	July	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
NYS Department of Education	Submittal of college catalog	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Certification of Earned Degrees Conferred	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Graduation Rate Report, FT Undergraduate	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Coordinator’s Survey	Yes	Annually	July	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
US Department of Education	Code of Conduct for Education Loans - all agents responsible for loans must be informed annually of college policy	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President of Enrollment
US Department of Education	Disclosures of membership and reimbursements for financial aid staff service on advisory boards	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education, Secretary of Education	Certify that the institution has not used any funds to attempt to influence an agency or member of Congress in connection with any federal grant, contract, loan, or cooperative agreement and that the institution has not used any federal student aid funding to hire a registered lobbyist or to pay for securing an earmark	Yes	Annually	July	President	Office of the President	Sr. Asst. to the President	President
The White House Office of Management and Budget	Fiscal Operations Report and Application to Participate in Federal Perkins Loan, Federal Work-Study, and Federal Supplemental Educational Opportunity Grant Programs	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
US Department of Labor (and Internal Revenue Service (IRS))	Form 5500 Report Filing: Long Term Disability/Group Life & AD&D (Health & Welfare benefit plans)	Yes	Annually	July	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Center for Medicare Service (CMS)	Disclosure to CMS and Notice of Credible Coverage	Yes	Annually	August	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
Mid-American Conference (Division I Soccer)	Sportsmanship Letter- Institutional Certification	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. Of Athletics	Director of Athletics

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Mid-American Conference (Division I Soccer)	Coaches Concussion Acknowledgement	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. Of Athletics	Director of Athletics
Mid-American Conference (Division I Soccer)	Sportsmanship Letter- Student Athlete Acknowledgement	Yes	Annually	August	Student Affairs	Athletics	Men's Soccer Student Athletes, Associate Dir. of Athletics	Director of Athletics
Mid-American Conference (Division I Soccer)	Code of Conduct Agreement	Yes	Annually	August	Student Affairs	Athletics	All men's soccer coaches, staff and volunteers	Director of Athletics
National Collegiate Athletic Association (NCAA)	Squad Lists	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. of Athletics, Director of Financial Aid	Director of Athletics
National Collegiate Athletic Association (NCAA)	Compliance Certification for Athletic Staff	Yes	Annually	August	Student Affairs	Athletics	All athletic staff and volunteers	Director of Athletics
National Collegiate Athletic Association (NCAA)	Sports Safety Training for Coaches	Yes	Annually	August	Student Affairs	Athletics	Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Student Athlete Statement	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Drug Testing Consent Form	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	HIPPA/Buckley Amendment Consent/Waiver Form	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Banned Drugs Education	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	General Amateurism and Eligibility Form for International and Select Student Athletes	Yes	Annually	August	Student Affairs	Athletics	International Student Athletes, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Institutional Affirmation- Concussions Management	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Sport Sponsorship and Demographic Report	Yes	Annually	August	Student Affairs	Athletics	Associate Director of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division I Drug Testing	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division I Sickle Cell Testing	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Medical Information, Physical Exam, Immunizations	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Wellness Center

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	Certify Coverage of Health Insurance	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
NYS Department of Education	Bundy Aid - Use and Aid Statement NYSED-2(8)	Yes	Annually	August	President	President	Vice President of Financial Affairs	Sr. Asst. to the President
NYS Department of Education	Bundy Aid - Degrees Conferred report	Yes	Annually	August	President	President	Institutional Research Analyst	Registrar
US Department of Education	Posting textbook information and course schedules on website	Yes	Annually	August	Academic Affairs	Office of Registrar	Registrar	Vice President for Academic Affairs
US Department of Education	Annual Notice To Students; re: institutional and financial aid info. (see Appendix B for a list of all items included in the annual notice)	Yes	Annually	August	Academic Affairs	Office of the Registrar	Registrar	Sr. Asst. to the President
US Department of Education	Federal Education Rights and Privacy Act (FERPA) - Annual Notice of Rights	Yes	Annually	August	Academic Affairs	Office of the Registrar	Registrar	Sr. Asst. to the President
US Department of Education	Notice to students of Federal Student Financial Aid Penalties for Drug Law Violations	Yes	Annually	August	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
NYS Department of Education	Rules for Public Order- Annual notice to all enrolled students	Yes	Annually	August (January)	President	President	Registrar	Sr. Asst. to the President
US Department of Education	Notice to students of Drug & Alcohol Abuse Prevention Program	Yes	Annually	August	Student Affairs	Social Issues & Wellness Education	Director of Social Issues & Wellness Education	Vice President for Student Affairs
US Department of Education	Voter Registration Forms provided to students	Yes	Annually	August	Student Affairs	Student Affairs	Director of Campus Activities	Vice President for Student Affairs

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Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Affiliated Hospitals & Agencies (APPENDIX A)	Required physical exam and immunizations for clinical rotation	Yes	Annually	August (February)	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Center	Director of Perrella Wellness Center
National Science Foundation (NSF)	Time and Effort Reporting	Yes	3x per year	September (January, June)	Academic Affairs	Foundation & Grants	Director of Corporate, Foundation & Government Relations	Dean of Academic Affairs
NYS Department of Health	Non-municipal Water Operation; ecoli testing	Yes	Quarterly	September (December, March, June)	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
National Collegiate Athletic Association (NCAA)	Concussion Management Plan and Protocol	Yes	Annually	September	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Rules Test, Division I & III	Yes	Annually	September	Student Affairs	Athletics	All coaches	Director of Athletics
National Collegiate Athletic Association (NCAA)	Certification of Compliance for Institution	Yes	Annually	September	Student Affairs	Athletics	Athletic Adm. Asst.	Director of Athletics
NYS Department of Education	Preliminary Fall degree credit enrollment	Yes	Annually	September	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Report of Off-campus Locations	Yes	Annually	September	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Financial Aid	Yes	Annually	September	Enrollment	Financial Aid	Institutional Research Analyst	Director of Financial Aid
NYS Department of Education	The Clery Act of 1990 - Campus Safety and Fire Report	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Director of Campus Safety

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Fiscal Operations Report and Application to Participate- Report to the Department of Education all Perkins, FWS, and FSEOG funds from the previous fiscal year and apply for funds for the next fiscal year	Yes	Annually	September	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
US Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	September	President	Institutional Research	Director of Institutional Research	Sr. Asst. to the President
US Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	September	Student Affairs	Athletics	Director of Athletics	Director of Institutional Research
US Department of Education	Submission of campus safety and crime statistics	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
US Department of Education	Notice to employees and students of Campus Security and Crime Report and Fire Safety Report and Fire Log	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
US Department of Education	Disclosure of Campus Security Policy, Campus Crime Statistics, Annual Safety Report, Fire Safety Report and Fire Log	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
US Department of Education	Report cohort-related institutional eligibility	Yes	Bi-annually	September (February)	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Health	Operating pool license permit	Yes	Annually	September	Student Affairs	Athletics	Aquatic Director	Director of Athletics
NYS Office of Fire Prevention and Control	Fire Safety Inspection, Pine Lake	Yes	Annually	September	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Health & Safety Manager
NYS Office of Fire Prevention and Control	Fire Safety Inspection, Main Campus	Yes	Annually	September	Finance	Finance	Health & Safety Manager, Director of Campus Safety, Director Res. Life	Health & Safety Manager
National Science Foundation (NSF)	Financial Report	Yes	Quarterly	September (December, March, June)	Finance	Finance	Controller	Vice President for Finance
National Science Foundation (NSF)	Responsible Conduct of Research Online Training (CITI)	Yes	Annually	September	College Advancement	Foundation & Government Relations	Principal Investigator on grant, students and faculty working on research	Principal Investigator on grant
NYS Department of Taxation & Finance	Filing NYS-45 Quarterly wage reporting	Yes	Quarterly	September (December, March, June)	Finance	Finance	Accounts Payable Clerk	Controller
NYS Department of Environmental Conservation	Hazardous Waste Removal	Yes	Bi-annually	September (May)	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
Internal Revenue Service (IRS)	Filing Form 941 - Employer's Quarterly Federal Tax Return	Yes	Quarterly	September (December, March, June)	Finance	Payroll	Director of Payroll	Controller

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Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Veterans Affairs	Certification of enrollment for eligible GI Bill benefit recipients – verification of benefits eligibility	Yes	Semi-annually	September (February)	Academic Affairs	Office of the Registrar	Administrative Asst. for Registration	Registrar
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - report whether or foreign student enrolled in classes for each term/semester	Yes	3x per year	September (January, February)	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
Higher Education Data Sharing Consortium (HEDS)	HEDS-Preliminary Fall Degree-Credit Enrollment	Yes	Annually	October	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	The availability of alternative tuition plans, which may include guaranteed tuition plans	Yes	Annual	October	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
National Collegiate Athletic Association (NCAA)	Division I Academic Progress Report	Yes	Annually	October	Student Affairs	Athletics	Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division III Financial Aid	Yes	Annually	October 15th	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director of Financial Aid
NYS Department of Education	Basic Student Changes	Yes	Annually	October	Finance	Student Accounts	Institutional Research Analyst	Director of Student Accounts
NYS Department of Education	Bundy Aid- submission of current college catalog, faculty manual, employee manual, administrative manual	Yes	Annually	October	President	President	Institutional Research Analyst	Director of Institutional Research

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Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Bundy Aid - College Catalog Submittal	Yes	Annually	October	President	Institutional Research	Institutional Research Analyst	Sr. Asst. to the President
NYS Department of Education	Bundy Aid- Submittal of Audited Financial Statements	Yes	Annually	October	President	Institutional Research	Institutional Research Analyst	Controller
NYS Department of Education	Tuition Assistance Program (TAP) Certification	Yes	Bi-annually	October (March)	Finance	Student Accounts	Assistant Registrar	Director of Student Accounts
NYS Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	October	Student Affairs	Athletics	Director of Athletics	Institutional Research Analyst
US Department of Education	Report of Intercollegiate athletic program participation rates and financial support data	Yes	Annually	October	Student Affairs	Athletics	Director of Athletics	Director of Institutional Research
NYS Higher Education Services Corporation	Certification of enrollment for Tuition Assistance Program (TAP) – verification of benefits eligibility	Yes	Annually	October	Academic Affairs	Office of the Registrar	Assistant Registrar	Director of Student Accounts
Internal Revenue Service (IRS)	If the institution does not have a record of the individual's correct Tax Identification Number (TIN), then it must solicit the TIN	Yes	Bi-annually	October (March)	Finance	Student Accounts	Asst. Director of Student Accounts	Director of Student Accounts
NYS Department of Health	Laboratory Animal Welfare Program Review and Inspection	Yes	Bi-annually	October (March)	Academic Affairs	Biology	Chair of Institutional Animal Care and Use Committee	Dean of Academic Affairs
Higher Education Data Sharing Consortium (HEDS)	HEDS-Institutional Activity	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar

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Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Higher Education Data Sharing Consortium (HEDS)	HEDS_ Certification of Nursing Program Enrollment	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Residence and Migration of College Students	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Certification of Nursing Program Enrollment	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Health	Non-municipal Water Operation; nitrates and nitrites testing	Yes	Annually	November	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Post Secondary School Immunization Survey	Yes	Annually	November	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Ctr.	Vice President of Student Affairs
NYS Department of Education	Report on Residence and Migration of College Students	Yes	Bi-annually	November (April)	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Fall Degree-Credit Enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Final Fall degree credit enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Data on Institutional Activity/Characteristics	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Personnel Development Form for Special Education	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Learning Support Specialist	Registrar

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Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Certification of Transfer Enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst, Asst. Dir. of Registration	Registrar
NYS Department of Education	Use of Nursing Aid Statement for high needs Nursing grant Aid	Yes	Annually	December	Academic Affairs	Institutional Research	Dean of Academic Affairs	Institutional Research Analyst
NYS Department of Health	Limited Service Laboratory Registration	Yes	Every 2 years	December	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Ctr.	Vice President of Student Affairs
NYS Department of Health	Non-municipal Water Operation; ecoli testing	Yes	Quarterly	December (March, June, September)	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
Internal Revenue Service (IRS)	Filing Form 941 - Employer's Quarterly Federal Tax Return	Yes	Quarterly	December (March, June, September)	Finance	Payroll	Director of Payroll	Controller
National Science Foundation (NSF)	Financial Report	Yes	Quarterly	December (March, June, September)	Finance	Finance	Controller	Vice President for Finance
NYS Department of Taxation & Finance	Filing NYS-45 Quarterly wage reporting	Yes	Quarterly	December (March, June, September)	Finance	Finance	Accounts Payable Clerk	Controller
National Collegiate Athletic Association (NCAA)	Statistic Reporting for every home conference game and every non-conference game	Yes	Daily	Daily	Student Affairs	Athletics	Director of Sports Information	Director of Athletics

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - foreign student transfer (in or out) reporting	Yes	As required	within 15 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - Change of status or event reporting for foreign students	Yes	As required	within 21 days of change	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - reporting foreign student's graduation and program completion	Yes	As required	within 30 days of program end date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - initial foreign student registration	Yes	As needed	within 30 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - reporting if foreign student fails to show up for program	Yes	As required	within 30 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
Internal Revenue Service (IRS)	Consolidated Omnibus Budget Reconciliation Act (COBRA); notice to employee	Yes	As required	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources
Internal Revenue Service (IRS)	Employer is required to request a W4 withholding certificate from each employee	Yes	At hire	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	Employer is required to request a W4 withholding certificate from each student employee	Yes	At hire	All	Finance	Student Accounts	Coordinator of Student Payroll	Director of Payroll
Internal Revenue Service (IRS)	Remission of payroll taxes withheld	Yes	Bi-weekly	All	Finance	Payroll	Director of Payroll; Coord. of Student Payroll	Controller
Internal Revenue Service (IRS)	Form 8300- Report of Cash Payments over \$10,000 received in trade or business from one buyer as a result of a single transaction or two or more related transactions	Yes	Bi-weekly	All	Finance	Student Accounts	Director of Student Accounts	Vice President for Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Employee Retirement Income Security Act (ERISA)- disclosures for welfare benefit plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Employee Retirement Income Security Act (ERISA)- disclosures for pension plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
National Science Foundation (NSF)	Data Management for grants	Yes	As required	All	College Advancement	Foundation & Government Relations	Director of Corporate, Foundation & Government Relations	Principle Investigator on grant
National Student Clearinghouse	Enrollment reporting for national student aid compliance	Yes	Monthly	All	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Health	Non-municipal Water Operation; chlorine testing	Yes	Monthly	All	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Labor	Wage Theft & Prevention Act, notice to each employee of their compensation	Yes	At hire; At rate change; Annually	All	Finance	Human Resources	Human Resources Coord., Coord. of Student Payroll, Director of Payroll, Admin. Asst to Dean of Academic Affairs, Exec Asst to Vice President for Academic Affairs	Director of Human Resources and Director of Payroll
NYS Department of Labor	Worker's Compensation and Disability Benefits law	Yes	Annually and as incidents occur	All	Finance	Human Resources/Payr oll	Human Resources Coordinator/Director of Payroll	Director of Human Resources/Controller
NYS Department of Labor	Unemployment Insurance Law- response to claims	Yes	At time of claim	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
NYS Department of Taxation & Finance	Employer is required to request an IT2104 withholding certificate from each employee	Yes	At hire	All	Finance	Human Resources; Payroll	Human Resources Coordinator/Coordinator of Student Payroll	Director of Human Resources/Director of Payroll
NYS Department of Taxation & Finance	Sales Tax Reports ST-809 and ST-810	Yes	Monthly & Quarterly	All	Finance	Finance	Accounts Payable Clerk	Controller
NYS Department of Taxation & Finance	Sales Tax Reports ST-809 and ST-810	Yes	Monthly & Quarterly	All	Finance	Finance	Accounts Payable Clerk	Controller
NYS Department of Taxation & Finance	Remission of payroll taxes withheld	Yes	Bi-weekly	All	Finance	Finance	Accounts Payable Clerk; Coord. of Student Payroll	Controller
US Department of Education	Return of Title IV Funds	Yes	As required	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Verify and notify Pell Grant Eligibility	Yes	Monthly	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	Processing and refunding parent PLUS Loans	Yes	As required	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	School must notify all students, employees, and applicants for admission and employment of the person designated as the Title IX coordinator	Yes	At hire or Upon Enrollment	All	Finance	Human Resources	Title IX Coordinator	Director of Human Resources
US Department of Education	Must adopt, publish and widely distribute a notice of discrimination to all students; employees; and all applicants for admission and employment	Yes	At hire or Upon Enrollment	All	Finance	Human Resources	Title IX Coordinator	Director of Human Resources
US Department of Education	Notice to employees of Drug & Alcohol Abuse Prevention Program	Yes	At hire	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
US Department of Education	Maintain a Daily Crime Log	Yes	Daily	All	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety
US Department of Homeland Security, Citizenship and Immigration Services	I-9 Form, Employment Eligibility Verification for employees	Yes	At Hire	All	Finance	Human Resources	Human Resources Coordinator, Human Resources Assistant	Director of Human Resources
US Department of Homeland Security, Citizenship and Immigration Services	I-9 Form, Employment Eligibility Verification for student employees	Yes	At Hire	All	Finance	Payroll	Coordinator of Student Payroll	Director of Payroll

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Homeland Security, Citizenship and Immigration Services and US Department of Labor	Immigration & Nationality Act Labor Condition Application; Verification of Education; VISA Petition	Yes	Required prior to hiring foreign worker	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/BS&K/VP Finance
US Department of Labor	Age Discrimination in Employment Act-annual update to phased retirement information	Yes	Annually and ongoing	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
US Department of Labor	Consolidated Omnibus Budget Reconciliation Act (COBRA);notice to employee	Yes	At Hire, Termination or Change in Eligibility	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
US Department of Labor	I-9 Form, Employment Eligibility Verification for Work Study Students	Yes	At hire	All	Finance	Payroll	Coordinator of Student Payroll	Vice President for Finance
US Department of Labor	Remission of 403(b) amounts withheld from paychecks	Yes	Bi-weekly	All	Finance	Payroll	Director of Payroll	Controller
US Department of Labor (and Internal Revenue Service (IRS))	Employee Retirement Income Security Act (ERISA)- disclosures for welfare benefit plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
US Department of Labor (and Internal Revenue Service (IRS))	Employee Retirement Income Security Act (ERISA)- disclosures for pension plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
US Department of Labor (Wage & Hour Division)	Family Medical Leave Act forms	Yes	As required	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Labor (Wage/Hour Division)	Consumer Credit protection Act-Processing of background checks	Yes	At hire	All	Finance	Human Resources	Human Resources Coordinator/ Human Resources Assistant	Director of Human Resources
US Department of Labor (Wage/Hour Division)	Processing of garnishments	Yes	As received	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
US Department of Labor (Wage/Hour Division)	Processing of garnishments	Yes	As received	All	Finance	Payroll	Director of Payroll	Controller
Empire 8 Conference	Conduct Foul and Misconduct Reporting	Yes	As required	As required	Student Affairs	Athletics	Division III Head Coaches	Director of Athletics
National Collegiate Athletic Association (NCAA)	Management of Proper Division I Scholarships Dollar Awarding	No	As required	As required	Enrollment	Enrollment Management	Director of Financial Aid	Vice President for Enrollment
National Science Foundation (NSF)	Biomedical or Behavioral Research Misconduct Report-report regarding biomedical or behavioral research misconduct and policy for responding to allegations	Yes	As required	As required	Academic Affairs	Academic Affairs	Dean of Academic Affairs	Vice President for Academic Affairs
Town of Davenport	Building Permits	Yes	As required	As required	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
U.S. Department of Health and Human Services' Office of Research Integrity	Biomedical or Behavioral Research Misconduct Report-report regarding biomedical or behavioral research misconduct and policy for responding to allegations	Yes	As required	As required	Academic Affairs	Academic Affairs	Dean of Academic Affairs	Vice President for Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Provide Timely Warnings and Emergency Notifications	Yes	As required	As required	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety
US Department of Education	Information for Crime Victims About Disciplinary Hearings	Yes	As required	As required	Student Affairs	Student Conduct	Director of Residence Life	Vice President for Student Affairs
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - employment reporting for foreign students	Yes	As required	As required	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Labor	WARN- Worker Adjustment & Retraining Notification Act	Yes	Required for mass layoff	As required	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
US Department of Labor	Immigration & Nationality Act Labor Condition Application	Yes	Required when hiring foreign worker	As required	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
National Science Foundation (NSF)	Conflict of Interest for each award/grant accepted	Yes	As required	At time of accepting grant	Academic Affairs	Foundation & Government Relations	Principal Investigator on grant; controller	Director of Corporate, Foundation & Government Relations
National Science Foundation (NSF)	Conflict of Interest for pre-award/grant application	Yes	As required	At time of grant submission	Academic Affairs	Foundation & Government Relations	Principal Investigator on grant; controller	Director of Corporate, Foundation & Government Relations
US Department of Education	Direct Loan Title IV - notification of delivery of loans	Yes	As required	Ongoing	Finance	Student Accounts	Finance Office Assistant	Director of Student Accounts

Hartwick College Compliance Calendar for Conveyed Responsibility

Sorted by Month

Association or Other Entity	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Fees/Costs	Name of Contractor	Office/Department Responsible	Individual(s) Responsible	Individual who provides oversight/review
NYS Liquor Authority	Liquor License	Yes	Annually	January	\$295	ARAMARK	Dining	ARAMARK Office Manager	ARAMARK Director of Dining
NYS Office of Fire Prevention and Control	Emergency light inspection and testing	Yes	Monthly	January (May, September)	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK Adm. Asst.
NYS Occupational Safety & Health Administration	300 Log- Summary of Work-Related Injuries and Illnesses	Yes	Annually	March	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK Director of Facilities
NYS Office of Fire Prevention and Control	Stand pipe testing	Yes	Annually	March	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK District Manager
NYS Office of Fire Prevention and Control	Sprinkler inspection	Yes	Every 5 years	March (June, October, December)	ARAMARK covers	ARAMARK contracts with Simplex	Facilities	ARAMARK Director of Facilities	ARAMARK Director of Facilities
US Environmental Protection Agency (EPA)	Semi-annual Fuel certification for excess fuel emissions from boilers	Yes	Semi-annually	May (December)	-	ARAMARK	Facilities	ARAMARK Director of Facilities	Health & Safety Manager
NYS Office of Fire Prevention and Control	Emergency light inspection and testing	Yes	Monthly	May (January, September)	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK Adm. Asst.
US Department of Labor	Consolidated Omnibus Budget Reconciliation Act (COBRA) audit	Yes	Annually	May to October	\$10,000	BarryDunne	Finance	Director of Human Resources	VP of Finance

Hartwick College Compliance Calendar for Conveyed Responsibility

Sorted by Month

Association or Other Entity	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Fees/Costs	Name of Contractor	Office/Department Responsible	Individual(s) Responsible	Individual who provides oversight/review
Various Agencies	Annual Audit of Financial Records	Yes	Annually	May to October	\$56,500	BarryDunne	Finance	Controller and Asst. Controller	VP of Finance; Board of Trustees
NYS Dept. of Environmental Conservation	Employer pesticide application permit	Yes	Every 3 years	June	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK Adm. Asst.
NYS Dept. of Environmental Conservation	Applicator Pesticide License Training	Yes	Annually	June	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK Adm. Asst.
US Department of Labor (EBSA)	Audit of 403(b) Retirement Plan and filing of Form 5500	Yes	Annually	June	\$10,000	Berry Dunn	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
NYS Office of Fire Prevention and Control	Sprinkler inspection	Yes	Every 5 years	June (October, December, March)	ARAMARK covers	ARAMARK contracts with Simplex	Facilities	ARAMARK Director of Facilities	ARAMARK Director of Facilities
NYS Office of Fire Prevention and Control	Hand held extinguisher inspections	Yes	Monthly and Annually	June / Monthly	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK Adm. Asst.
Internal Revenue Service (ERISA)	Form 8955-SSA Registration statement identifying separated participants with deferred vested benefits	Yes	Annually	July	\$800 plus out of pocket expenses	Berry Dunn	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
City of Oneonta	Smoke Detector Tests	Yes	Annually	August	-	ARAMARK	Facilities	ARAMARK Director of Facilities	Health & Safety Manager
City of Oneonta	Plumbing License Permit	Yes	Annually	August	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK Adm. Asst.
City of Oneonta	Electrical License Permit	Yes	Annually	August	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK Adm. Asst.

Hartwick College Compliance Calendar for Conveyed Responsibility

Sorted by Month

Association or Other Entity	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Fees/Costs	Name of Contractor	Office/Department Responsible	Individual(s) Responsible	Individual who provides oversight/review
NYS Office of Fire Prevention and Control	Smoke detector testing	Yes	Annually	August	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK District Manager
NYS Office of Fire Prevention and Control	Heat detector testing	Yes	Annually	August	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK District Manager
NYS Office of Fire Prevention and Control	Duct detector testing	Yes	Annually	August	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK District Manager
NYS Property Maintenance Code	Elevator load test and safety inspection	Yes	Annually	August	ARAMARK covers	ARAMARK contracts with Otis	Facilities	ARAMARK Director of Facilities	ARAMARK Adm. Asst.
ACCORD Insurance	Liquor Law Liability Insurance	Yes	Annually	September		ARAMARK	Dining	ARAMARK Office Manager	ARAMARK Director of Dining
NYS Office of Fire Prevention and Control	Emergency light inspection and testing	Yes	Monthly	September (January, May)	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK Adm. Asst.
NYS Department of Health	Food Service Permit	Yes	Annually	October	\$150	ARAMARK	Dining	ARAMARK Office Manager	ARAMARK Director of Dining
NYS Office of Fire Prevention and Control	Sprinkler inspection	Yes	Every 5 years	October (December, March, June)	ARAMARK covers	ARAMARK contracts with Simplex	Facilities	ARAMARK Director of Facilities	ARAMARK Director of Facilities
NYS Office of Fire Prevention and Control	Sprinkler inspection	Yes	Every 5 years	December (March, June, October)	ARAMARK covers	ARAMARK contracts with Simplex	Facilities	ARAMARK Director of Facilities	ARAMARK Director of Facilities

Hartwick College Compliance Calendar for Conveyed Responsibility

Sorted by Month

Association or Other Entity	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Fees/Costs	Name of Contractor	Office/Department Responsible	Individual(s) Responsible	Individual who provides oversight/review
US Environmental Protection Agency (EPA)	Semi-annual Fuel certification for excess fuel emissions from boilers	Yes	Semi-annually	December (May)	-	ARAMARK	Facilities	ARAMARK Director of Facilities	Health & Safety Manager
City of Oneonta	Property Use	Yes	Every 5 years		-	ARAMARK	Facilities	ARAMARK Director of Facilities	Health & Safety Manager
City of Oneonta	Electrical Inspection	Yes	Every 9 years		\$75	ARAMARK	Facilities	ARAMARK Director of Facilities	Health & Safety Manager
City of Oneonta	Furnace Inspection	Yes	Every 3 years		\$75	ARAMARK	Facilities	ARAMARK Director of Facilities	Health & Safety Manager
City of Oneonta	Certificate of Compliance	Yes	Every 8 years		-	ARAMARK	Facilities	ARAMARK Director of Facilities	Health & Safety Manager
NYS Liquor Authority	Special Event Liquor Permit	Yes	As needed	45 days in advance of event	\$63/per permit	ARAMARK	Dining	ARAMARK Catering Director	ARAMARK Director of Dining
City of Oneonta	Ceiling Tile Permit for Significant Renovation	Yes	As needed	As needed	-	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK Adm. Asst.
City of Oneonta	Building Permits	Yes	As needed	As needed	ARAMARK covers	ARAMARK	Facilities	ARAMARK Director of Facilities	Health & Safety Manager
City of Oneonta	Tent Permits	Yes	As needed	As needed	varies	ARAMARK	Facilities	ARAMARK Director of Facilities	ARAMARK Director of Facilities

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Census Bureau	Capital Expenditures & Information and Communication Technology (ICT) Surveys	Yes	Annually	April	Finance	Finance	Assistant Controller	Controller
Center for Medicare Service (CMS)	Disclosure to CMS and Notice of Credible Coverage	Yes	Annually	August	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
Department of Education	Graduate Outcomes Report- types of graduate/professional education in which graduates enroll; placement in employment	Yes	Bi-annually	May and November	Academic Affairs	Center for Professional Service and Global Engagement	Asst. Dean of Academic Advising and Experiential Learning	Vice President of Academic Affairs
Department of Education	Teacher Education Program Report- report of the pass rate on state teacher certification examinations taken by graduates	Yes	Annually	March	Academic Affairs	Education	Chair of Education Department	Vice President of Academic Affairs
Department of Education	Posting textbook information and course schedules on website	Yes	Annually	August	Academic Affairs	Office of Registrar	Registrar	Vice President for Academic Affairs
Department of Education	Annual Notice To Students; re: institutional and financial aid info. (see Appendix B for a list of all items included in the annual notice)	Yes	Annually	August	Academic Affairs	Office of the Registrar	Registrar	Sr. Asst. to the President
Department of Education	Federal Education Rights and Privacy Act (FERPA) - Annual Notice of Rights	Yes	Annually	August	Academic Affairs	Office of the Registrar	Registrar	Sr. Asst. to the President
Department of Education	Federal Education Rights and Privacy Act (FERPA) - right to inspect and correct educational records	Yes	As requested	When request is made	Academic Affairs	Office of the Registrar	Assistant Registrar	Registrar

Hartwick College Compliance Calendar for Federal Agencies/Departments

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Department of Education	Code of Conduct for Education Loans - all agents responsible for loans must be informed annually of college policy	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President of Enrollment
Department of Education	Fiscal Operations Report and Application to Participate- Report to the Department of Education all Perkins, FWS, and FSEOG funds from the previous fiscal year and apply for funds for the next fiscal year	Yes	Annually	September	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
Department of Education	Disclosures of membership and reimbursements for financial aid staff service on advisory boards	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
Department of Education	Provide school cohort default rate to auditors	Yes	Annually	June	Enrollment	Financial Aid	Assistant Dir. of Financial aid	Director of Financial Aid
Department of Education	Report cohort-related institutional eligibility	Yes	Bi-annually	September February	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
Department of Education	Disbursement of financial aid funds	Yes	Monthly	Jan to April and May to July	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
Department of Education	Return of Title IV Funds	Yes	As required	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
Department of Education	Verify and notify Pell Grant Eligibility	Yes	Monthly	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
Department of Education	Processing and refunding parent PLUS Loans	Yes	As required	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
Department of Education	Notice to students of Federal Student Financial Aid Penalties for Drug Law Violations	Yes	Annually	August	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Department of Education	Consolidated Omnibus Budget Reconciliation Act - Submission of A-133 Form	Yes	Annually	February	Finance	Finance	Controller	Vice President of Finance
Department of Education	School must notify all students, employees, and applicants for admission and employment of the person designated as the Title IX coordinator	Yes	At hire or Upon Enrollment	All	Finance	Human Resources	Title IX Coordinator	Director of Human Resources
Department of Education	Must adopt, publish and widely distribute a notice of discrimination to all students; employees; and all applicants for admission and employment	Yes	At hire or Upon Enrollment	All	Finance	Human Resources	Title IX Coordinator	Director of Human Resources
Department of Education	Notice to employees of Drug & Alcohol Abuse Prevention Program	Yes	At hire	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Department of Education	Direct Loan Title IV - notification of delivery of loans	Yes	As required	Ongoing	Finance	Student Accounts	Finance Office Assistant	Director of Student Accounts
Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	September	President	Institutional Research	Director of Institutional Research	Sr. Asst. to the President
Department of Education	Report of Completion/Graduation and Transfer-Out Rates	Yes	Annually	June	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
Department of Education	Institution must certify with NYSED compliance with Article 129-A on an annual basis	Yes	Annually	June	President	Office of the President	Sr. Asst. to the President	President
Department of Education	Advisory Committee on Campus Safety Annual Report to the President	Yes	Annually	June	President	Office of the President	Chair of Advisory Committee on Campus Safety	Sr. Asst. to the President

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	September	Student Affairs	Athletics	Director of Athletics	Director of Institutional Research
Department of Education	Report of Intercollegiate athletic program participation rates and financial support data	Yes	Annually	October	Student Affairs	Athletics	Director of Athletics	Director of Institutional Research
Department of Education	Submission of campus safety and crime statistics	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
Department of Education	Provide Timely Warnings and Emergency Notifications	Yes	As required	As required	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety
Department of Education	Notice to employees and students of Campus Security and Crime Report and Fire Safety Report and Fire Log	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
Department of Education	Disclosure of Campus Security Policy, Campus Crime Statistics, Annual Safety Report, Fire Safety Report and Fire Log	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
Department of Education	Maintain a Daily Crime Log	Yes	Daily	All	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety
Department of Education	Notice to students of Drug & Alcohol Abuse Prevention Program	Yes	Annually	August	Student Affairs	Social Issues & Wellness Education	Director of Social Issues & Wellness Education	Vice President for Student Affairs
Department of Education	Voter Registration Forms provided to students	Yes	Annually	August	Student Affairs	Student Affairs	Director of Campus Activities	Vice President for Student Affairs
Department of Education	Information for Crime Victims About Disciplinary Hearings	Yes	As required	As required	Student Affairs	Student Conduct	Director of Residence Life	Vice President for Student Affairs

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Department of Education, Secretary of Education	Certify that the institution has not used any funds to attempt to influence an agency or member of Congress in connection with any federal grant, contract, loan, or cooperative agreement and that the institution has not used any federal student aid funding to hire a registered lobbyist or to pay for securing an earmark	Yes	Annually	July	President	Office of the President	Sr. Asst. to the President	President
Department of Health and Human Services' Office of Research Integrity	Biomedical or Behavioral Research Misconduct Report-report regarding biomedical or behavioral research misconduct and policy for responding to allegations	Yes	As required	As required	Academic Affairs	Academic Affairs	Dean of Academic Affairs	Vice President for Academic Affairs
Department of Homeland Security	I-9 Form, Employment Eligibility Verification for employees	Yes	At Hire	All	Finance	Human Resources	Human Resources Coordinator, Human Resources Assistant	Director of Human Resources
Department of Homeland Security	I-9 Form, Employment Eligibility Verification for student employees	Yes	At Hire	All	Finance	Payroll	Coordinator of Student Payroll	Director of Payroll
Department of Homeland Security, Citizenship and Immigration Services and US Department of Labor	Immigration & Nationality Act Labor Condition Application; Verification of Education; VISA Petition	Yes	Required prior to hiring foreign worker	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/BS&K/VP Finance

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - initial foreign student registration	Yes	As needed	within 30 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - report whether or foreign student enrolled in classes for each term/semester	Yes	3x per year	September, January, February	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - reporting if foreign student fails to show up for program	Yes	As required	within 30 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - Change of status or event reporting for foreign students	Yes	As required	within 21 days of change	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - foreign student transfer (in or out) reporting	Yes	As required	within 15 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - reporting foreign student's graduation and program completion	Yes	As required	within 30 days of program end date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning

Hartwick College Compliance Calendar for Federal Agencies/Departments

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - employment reporting for foreign students	Yes	As required	As required	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
Department of Labor	Filing of W2 forms	Yes	Annually	February	Finance	Finance	Controller	Vice President for Finance
Department of Labor	A-133 Audit	Yes	Annually	May through October	Finance	Finance	Controller; Director of Financial Aid	Vice President of Finance and Board of Trustees
Department of Labor	Age Discrimination in Employment Act- annual update to phased retirement information	Yes	Annually and ongoing	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
Department of Labor	WARN- Worker Adjustment & Retraining Notification Act	Yes	Required for mass layoff	As required	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
Department of Labor	Immigration & Nationality Act Labor Condition Application	Yes	Required when hiring foreign worker	As required	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
Department of Labor	Consolidated Omnibus Budget Reconciliation Act (COBRA);notice to employee	Yes	At Hire, Termination or Change in Eligibility	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
Department of Labor	I-9 Form, Employment Eligibility Verification for Work Study Students	Yes	At hire	All	Finance	Payroll	Coordinator of Student Payroll	Vice President for Finance
Department of Labor	Remission of 403(b) amounts withheld from paychecks	Yes	Bi-weekly	All	Finance	Payroll	Director of Payroll	Controller

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Department of Labor (and Internal Revenue Service (IRS))	Form 5500 Report Filing: Health Insurance (Health & Welfare benefit plans)	Yes	Annually	January	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Department of Labor (and Internal Revenue Service (IRS))	Form 5500 Report Filing: Long Term Disability/Group Life & AD&D (Health & Welfare benefit plans)	Yes	Annually	July	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Department of Labor (and Internal Revenue Service (IRS))	Employee Retirement Income Security Act (ERISA)-disclosures for welfare benefit plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
Department of Labor (and Internal Revenue Service (IRS))	Employee Retirement Income Security Act (ERISA)-disclosures for pension plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
Department of Labor (Wage/Hour Division)	Family Medical Leave Act forms	Yes	As required	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Department of Labor (Wage/Hour Division)	Consumer Credit protection Act-Processing of background checks	Yes	At hire	All	Finance	Human Resources	Human Resources Coordinator/ Human Resources Assistant	Director of Human Resources
Department of Labor (Wage/Hour Division)	Processing of garnishments	Yes	As received	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
Department of Labor (Wage/Hour Division)	Processing of garnishments	Yes	As received	All	Finance	Payroll	Director of Payroll	Controller
Department of Labor, Occupational Health & Safety Administration (OSHA)	Form 300: Report of total number of job-related injuries and illnesses that occurred in the prior calendar year	Yes	Annually	February	Finance	Human Resources	Human Resources Coordinator/Director of Campus Safety	Director of Human Resources/VP Finance

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Department of Transportation	Form F-5800.2 - transports or causes to be transported hazardous material	Yes - but have not had to file	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
Department of Veterans Affairs	Certification of enrollment for eligible GI Bill benefit recipients – verification of benefits eligibility	Yes	Semi-annually	September, February	Academic Affairs	Office of the Registrar	Administrative Asst. for Registration	Registrar
Department of Veterans Affairs	GI-Bill Yellow Ribbon Program - the institution must submit completed Yellow Ribbon Participation Agreements	Yes	Annually	February	Academic Affairs	Office of the Registrar	Administrative Asst. for Registration	Registrar
Environmental Protection Agency (EPA)	Toxic Substance Control Act- submit inventory of hazard chemicals exceeding the regulatory threshold during the preceding calendar	Yes	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs
Environmental Protection Agency (EPA)	Annual document log of the disposition of PCBs and PCB items present in each facility during the preceding year	Yes	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs
Environmental Protection Agency (EPA)	Emergency Planning and Community Right to Know Act: emergency and hazardous chemical inventory format	Yes - but have not had to file	Annually	February	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs
Equal Employment Opportunity Commission (EEOC)	Age Discrimination in Employment Act- annual update to phased retirement information	Yes	Annually	March	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS)	Form 990- Tax Return of Organization Exempt from Income Tax	Yes	Annually	May	Finance	Finance	Controller and Asst. Controller	Vice President Elsbeck, Board of Trustees
Internal Revenue Service (IRS)	Form 8955-SSA - Annual registration statement identifying separated participants with deferred vested benefits	Yes	Annually	July	Finance	Human Resources	Director of Human Resources	Director of Human Resources

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	Patient Protection Affordability Care Act-Summary of Benefits and Coverage	Yes	Annually	July	Finance	Human Resources	Human Resources Coordinator/ Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS)	Consolidated Omnibus Budget Reconciliation Act (COBRA); notice to employee	Yes	As required	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources
Internal Revenue Service (IRS)	Employer is required to request a W4 withholding certificate from each employee	Yes	At hire	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
Internal Revenue Service (IRS)	Employer is required to request a W4 withholding certificate from each student employee	Yes	At hire	All	Finance	Student Accounts	Coordinator of Student Payroll	Director of Payroll
Internal Revenue Service (IRS)	Remission of payroll taxes withheld	Yes	Bi-weekly	All	Finance	Payroll	Director of Payroll; Coord. of Student Payroll	Controller
Internal Revenue Service (IRS)	Filing Form 941 - Employer's Quarterly Federal Tax Return	Yes	Quarterly	September December, March, June	Finance	Payroll	Director of Payroll	Controller
Internal Revenue Service (IRS)	Form 1042/1042S - report all non-employee payments to non-resident aliens and payments to nonresident employees who claim exemptions from federal Income tax	Yes	Annually, if applicable	March	Finance	Payroll	Director of Payroll	Controller
Internal Revenue Service (IRS)	If the institution does not have a record of the individual's correct Tax Identification Number (TIN), then it must solicit the TIN	Yes	Bi-annually	October, March	Finance	Student Accounts	Asst. Director of Student Accounts	Director of Student Accounts

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	Filing of Form 1099 Misc. Income must be furnished to each person who received misc. income of \$600 or more in the preceding calendar year in non-employee service payments with the exception of royalty payments of \$10 or more, or from whom any federal income tax was withheld under the backup withholding rules regardless of the amount of the payment.	Yes	Annually	January	Finance	Finance	Purchasing Manager and Accounts Payable Clerk	Controller
Internal Revenue Service (IRS)	1098-T: Tuition Statement: sent to each individual which payments were received, or amounts were billed, for qualified tuition and related expenses, or reimbursements, refunds, or reductions of such amounts were made.	Yes	Annually	February	Finance	Student Accounts	Contract with Educational Systems Corporation Inc.; Director of Student Accounts, Datatel Programming Specialist	Director of Student Accounts
Internal Revenue Service (IRS)	1098-E: Student loan interest- statement must be furnished to each individual participating in a Perkins Loan Program or institutional loan program who made student loan interest payments of \$600 or more during the preceding calendar year	Yes	Annually	January	Finance	Student Accounts	Assistant Director of Student Accounts	Director of Student Accounts

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	Form 8300- Report of Cash Payments over \$10,000 received in trade or business from one buyer as a result of a single transaction or two or more related transactions	Yes	Bi-weekly	All	Finance	Student Accounts	Director of Student Accounts	Vice President for Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Form 5500 Report Filing: Health Insurance (Health & Welfare benefit plans)	Yes	Annually	January	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Form 5500 Report Filing: Long Term Disability/Group Life & AD&D (Health & Welfare benefit plans)	Yes	Annually	July	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Employee Retirement Income Security Act (ERISA)-disclosures for welfare benefit plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Employee Retirement Income Security Act (ERISA)-disclosures for pension plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
National Center for Educational Statistics (IPEDS)	Financial information- institutional revenues by source, expenditures by category, and assets and liabilities	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Fall enrollment (residence, race/ethnicity; gender; enrollment status (PT or FT); and or level of study (undergrad or grad))	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	4-year grad rate, 6-year grad rate, 8 year grad rate	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
National Center for Educational Statistics (IPEDS)	Institutional Characteristics- basic institutional contact information, tuition and fees, room and board charges, control or affiliation, type of calendar system, levels of awards offered, types of programs, and admissions requirements, % of undergrad students formally registered with office of disability services	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Number of students who complete a postsecondary education program by type of program and level of award (certificate or degree), 12-month enrollment by age and gender	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	12-month enrollment by age and gender	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Report student-faculty ratio	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	Human Resources information- all employees by FT or PT status, instruction faculty by rank, gender, and length of contract/teaching period; total salary outlay; and fringe benefits, demographic and occupational characteristics for staff	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst, Director of Human Resources	Director of Institutional Research

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
National Center for Educational Statistics (IPEDS)	Total number of undergraduate students taking out other loans (institutional and private, wherein the student is the designated borrower) and the average annual amount	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	The availability of alternative tuition plans, which may include guaranteed tuition plans	Yes	Annual	October	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	Financial Aid reporting- number of full-time, first-time degree/certificate-seeking undergraduate students who receive different types of student financial aid, the average dollar amount of aid received by these students, full-time, first-time degree/certificate-seeking undergraduate students who receive grant and scholarship aid, full-time, first-time degree/certificate-seeking undergraduate students who receive Title IV federal student aid	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst; Director of financial Aid	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	Total number of undergraduate students taking out Federal Loans and the average annual amount	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
National Science Foundation (NSF)	Biomedical or Behavioral Research Misconduct Report-report regarding biomedical or behavioral research misconduct and policy for responding to allegations	Yes	As required	As required	Academic Affairs	Academic Affairs	Dean of Academic Affairs	Vice President for Academic Affairs

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
National Science Foundation (NSF)	Time and Effort Reporting	Yes	3x per year	January, June, September	Academic Affairs	Foundation & Grants	Director of Corporate, Foundation & Government Relations	Dean of Academic Affairs
National Science Foundation (NSF)	Responsible Conduct of Research Online Training (CITI)	Yes	Annually	September	College Advancement	Foundation & Government Relations	Principal Investigator on grant, students and faculty working on research	Principal Investigator on grant
National Science Foundation (NSF)	Data Management for grants	Yes	As required	All	College Advancement	Foundation & Government Relations	Director of Corporate, Foundation & Government Relations	Principle Investigator on grant
National Science Foundation (NSF)	Financial Report	Yes	Quarterly	September December, March, June	Finance	Finance	Controller	Vice President for Finance
National Science Foundation (NSF)	Conflict of Interest for each award/grant accepted	Yes	As required	At time of accepting grant	Academic Affairs	Foundation & Government Relations	Principal Investigator on grant; controller	Director of Corporate, Foundation & Government Relations
National Science Foundation (NSF)	Conflict of Interest for pre-award/grant application	Yes	As required	At time of grant submission	Academic Affairs	Foundation & Government Relations	Principal Investigator on grant; controller	Director of Corporate, Foundation & Government Relations
National Student Clearinghouse	Enrollment reporting for national student aid compliance	Yes	Monthly	All	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
National Student Clearinghouse	Graduate Report	Yes	Annual	June	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs

Sorted by Agency

Federal Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Office of Management and Budget	Fiscal Operations Report and Application to Participate in Federal Perkins Loan, Federal Work-Study, and Federal Supplemental Educational Opportunity Grant Programs	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
Social Security Administration	W-2 and W-3 Forms: must furnish copy to IRS (electronically) and to employee	Yes	Annually	January	Finance	Payroll	Director of Payroll	Controller

Hartwick College Compliance Calendar for New York State Agencies/Departments

Sorted by Agency

State Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Submittal of college catalog	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Estimate of Earned Degrees Conferred	Yes	Annually	March	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Certification of Earned Degrees Conferred	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Preliminary Fall degree credit enrollment	Yes	Annually	September	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Final Fall degree credit enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Report of Off-campus Locations	Yes	Annually	September	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Data on Institutional Activity/Characteristics	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Report on Residence and Migration of College Students	Yes	Bi-annually	November, April	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Certification of Nursing Program Enrollment	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Personnel Development Form for Special Education	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Learning Support Specialist	Registrar
NYS Department of Education	Certification of Transfer Enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst, Asst. Dir. of Registration	Registrar
NYS Department of Education	Graduation Rate Report, FT Undergraduate	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs

Sorted by Agency

State Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Enrollment of Students with Disabilities	Yes	Annually	April	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Learning Support Specialist	Registrar
NYS Department of Education	Admissions and Academic Preparation Report	Yes	Annually	February	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Dir. of Enrollment Management Operations	Registrar
NYS Department of Education	Use of Nursing Aid Statement for high needs Nursing grant Aid	Yes	Annually	December	Academic Affairs	Institutional Research	Dean of Academic Affairs	Institutional Research Analyst
NYS Department of Education	Financial Aid	Yes	Annually	September	Enrollment	Financial Aid	Institutional Research Analyst	Director of Financial Aid
NYS Department of Education	Tuition Assistance Program (TAP) Certification	Yes	Bi-annually	October, March	Finance	Student Accounts	Assistant Registrar	Director of Student Accounts
NYS Department of Education	Basic Student Changes	Yes	Annually	October	Finance	Student Accounts	Institutional Research Analyst	Director of Student Accounts
NYS Department of Education	Rules for Public Order- Annual Certification Statement	Yes	Annually	June	President	President	Sr. Asst. to the President	President
NYS Department of Education	Rules for Public Order- policy submission	Yes	Every 10 years, Due 2014	June	President	President	Advisory Committee for Campus Safety & Security	Director of Campus Safety
NYS Department of Education	Rules for Public Order- Annual notice to all enrolled students	Yes	Annually	August and January	President	President	Registrar	Sr. Asst. to the President
NYS Department of Education	Bundy Aid - Use and Aid Statement NYSED-2(8)	Yes	Annually	August	President	President	Vice President of Financial Affairs	Sr. Asst. to the President
NYS Department of Education	Bundy Aid - summary budget for fiscal year	Yes	Annually	June	President	President	Sr. Asst. to the President	President

Sorted by Agency

State Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Bundy Aid- submission of current college catalog, faculty manual, employee manual, administrative manual	Yes	Annually	October	President	President	Institutional Research Analyst	Director of Institutional Research
NYS Department of Education	Bundy Aid - Degrees Conferred report	Yes	Annually	August	President	President	Institutional Research Analyst	Registrar
NYS Department of Education	Bundy Aid - College Catalog Submittal	Yes	Annually	October	President	Institutional Research	Institutional Research Analyst	Sr. Asst. to the President
NYS Department of Education	Bundy Aid- Submittal of Audited Financial Statements	Yes	Annually	October	President	Institutional Research	Institutional Research Analyst	Controller
NYS Department of Education	Coordinator's Survey	Yes	Annually	July	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
NYS Department of Education	The Clery Act of 1990 - Campus Safety and Fire Report	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Director of Campus Safety
NYS Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	October	Student Affairs	Athletics	Director of Athletics	Institutional Research Analyst
NYS Department of Environmental Conservation	Hazardous Waste Removal	Yes	Semi-annually	September & May	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
NYS Department of Environmental Conservation	Hazardous Waste Report	Yes	Annually	March	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
NYS Department of Health	Radioactive Materials License	Yes	Annually	April	Academic Affairs	Physical and Life Sciences	Radiation Safety Manager	Dean of Academic Affairs

Hartwick College Compliance Calendar for New York State Agencies/Departments

Sorted by Agency

State Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Health	Inspection of Radiation-producing Equipment	Yes	Every 3 years	Due 2012	Academic Affairs	Physical and Life Sciences	Radiation Safety Manager	Dean of Academic Affairs
NYS Department of Health	Laboratory Animal Welfare Program Review and Inspection	Yes	Semi-annually	Once per Semester	Academic Affairs	Biology	Chair of Institutional Animal Care and Use Committee	Dean of Academic Affairs
NYS Department of Health	Animal Welfare Act License	Yes	Annually	January	Academic Affairs	Biology	Chair of Institutional Animal Care and Use Committee	Dean of Academic Affairs
NYS Department of Health	Temporary Residence Permit for rentals	Yes	Every other Year	April	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Non-municipal Water Operation; chlorine testing	Yes	Monthly	All	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Non-municipal Water Operation; ecoli testing	Yes	Quarterly	March, June, September, December	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Non-municipal Water Operation; nitrates and nitrites testing	Yes	Annually	November	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Waterfront Beach Operation Annual Permit	Yes	Annually	May	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations
NYS Department of Health	Waterfront Beach Operation Daily reporting	Yes	Daily	May, June, July, August, September	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations
NYS Department of Health	Operating pool license permit	Yes	Annually	September	Student Affairs	Athletics	Aquatic Director	Director of Athletics

Sorted by Agency

State Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Health	Post Secondary School Immunization Survey	Yes	Annually	November	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Ctr.	Vice President of Student Affairs
NYS Department of Health	Limited Service Laboratory Registration	Yes	Every 2 years	December	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Ctr.	Vice President of Student Affairs
NYS Department of Health	Children's Camp Permit	Yes	Annually	April	Student Affairs	Residence Life	Director of Residence Life	Vice President of Student Affairs
NYS Department of Labor	Wage Theft & Prevention Act, notice to each employee of their compensation	Yes	At hire; At rate change; Annually	All	Finance	Human Resources	Human Resources Coord., Coord. of Student Payroll, Director of Payroll, Admin. Asst to Dean of Academic Affairs, Exec Asst to Vice President for Academic Affairs	Director of Human Resources and Director of Payroll
NYS Department of Labor	Posting of health & safety information and logging workplace injuries	Yes	Annually	March	Finance	Human Resources	Director of Human Resources	Director of Human Resources
NYS Department of Labor	Worker's Compensation and Disability Benefits law	Yes	Annually and as incidents occur	All	Finance	Human Resources/Payroll	Human Resources Coordinator/Director of Payroll	Director of Human Resources/Controller
NYS Department of Labor	Unemployment Insurance Law- response to claims	Yes	At time of claim	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
NYS Department of Taxation	Employer is required to request an IT2104 withholding certificate from each employee	Yes	At hire	All	Finance	Human Resources/Payroll	Human Resources Coordinator/Coordinator of Student Payroll	Director of Human Resources/Director of Payroll

Sorted by Agency

State Agency/Department	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Taxation & Finance	Filing NYS-45 Quarterly wage reporting	Yes	Quarterly	September, December, March, June	Finance	Finance	Accounts Payable Clerk	Controller
NYS Department of Taxation & Finance	Sales Tax Reports ST-809 and ST-810	Yes	Monthly & Quarterly	All	Finance	Finance	Accounts Payable Clerk	Controller
NYS Department of Taxation & Finance	Sales Tax Reports ST-809 and ST-810	Yes	Monthly & Quarterly	All	Finance	Finance	Accounts Payable Clerk	Controller
NYS Department of Taxation & Finance	Remission of payroll taxes withheld	Yes	Bi-weekly	All	Finance	Finance	Accounts Payable Clerk; Coord. of Student Payroll	Controller
NYS Division of Licensing Services	Security Guard License	Yes	Annually	June & July	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety
NYS Higher Education Services Corporation	Certification of enrollment for Tuition Assistance Program (TAP) – verification of benefits eligibility	Yes	Annually	October	Academic Affairs	Office of the Registrar	Assistant Registrar	Director of Student Accounts
NYS Office of Fire Prevention and Control	Fire Safety Inspection, Pine Lake	Yes	Annually	September	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Health & Safety Manager
NYS Office of Fire Prevention and Control	Fire Safety Inspection, Main Campus	Yes	Annually	September	Finance	Finance	Health & Safety Manager, Director of Campus Safety, Director Res. Life	Health & Safety Manager

Hartwick College Compliance Calendar for Other Associations/Organizations/Agencies
Sorted by Agency

Association or Other Organization/Agency	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Affiliated Hospitals & Agencies (attachment A)	Required physical exam and immunizations for clinical rotation	Yes	Annually	August & February	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Center	Director of Perrella Wellness Center
Empire 8 Conference	Conduct Foul and Misconduct Reporting	Yes	As required	As required	Student Affairs	Athletics	Divison III Head Coaches	Director of Athletics
Higher Education Data Sharing Consortium (HEDS)	HEDS-Fall Degree-Credit Enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Certification of Earned Degrees Conferred	Yes	Annually	July	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Graduation Rate Repot – Full-Time Undergraduates	Yes	Annually	July	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS- College Catalog submission	Yes	Annually	June	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
Higher Education Data Sharing Consortium (HEDS)	HEDS-Estimate of Earned Degrees Conferred	Yes	Annually	March	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Enrollment of College Students with Disabilities	Yes	Annually	May	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Institutional Activity	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS_ Certification of Nursing Program Enrollment	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Residence and Migration of College Students	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Preliminary Fall Degree-Credit Enrollment	Yes	Annually	October	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Mid-American Conference (Division I Soccer)	Sportsmanship Letter- Institutional Certification	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. Of Athletics	Director of Athletics

Hartwick College Compliance Calendar for Other Associations/Organizations/Agencies
Sorted by Agency

Association or Other Organization/Agency	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Mid-American Conference (Division I Soccer)	Coaches Concussion Acknowledgement	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. Of Athletics	Director of Athletics
Mid-American Conference (Division I Soccer)	Sportsmanship Letter- Student Athlete Acknowledgement	Yes	Annually	August	Student Affairs	Athletics	Men's Soccer Student Athletes, Associate Dir. of Athletics	Director of Athletics
Mid-American Conference (Division I Soccer)	Code of Conduct Agreement	Yes	Annually	August	Student Affairs	Athletics	All men's soccer coaches, staff and volunteers	Director of Athletics
National Collegiate Athletic Association (NCAA)	Squad Lists	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. of Athletics, Director of Financial Aid	Director of Athletics
National Collegiate Athletic Association (NCAA)	Compliance Certification for Athletic Staff	Yes	Annually	August	Student Affairs	Athletics	All athletic staff and volunteers	Director of Athletics
National Collegiate Athletic Association (NCAA)	Sports Safety Training for Coaches	Yes	Annually	August	Student Affairs	Athletics	Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Student Athlete Statement	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Drug Testing Consent Form	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	HIPPA/Buckley Amendment Consent/Waiver Form	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics

Hartwick College Compliance Calendar for Other Associations/Organizations/Agencies
Sorted by Agency

Association or Other Organization/Agency	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	Banned Drugs Education	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	General Amateurism and Eligibility Form for International and Select Student Athletes	Yes	Annually	August	Student Affairs	Athletics	International Student Athletes, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Institutional Affirmation- Concussions Management	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Sport Sponsorship and Demographic Report	Yes	Annually	August	Student Affairs	Athletics	Associate Director of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Financial Reporting for all revenues provided/raised and expenditures incurred by the ICA for the fiscal year	Yes	Annually	January	President	Institutional Research	Institutional Research Analyst, Athletic Director	Director if Institutional Research
National Collegiate Athletic Association (NCAA)	Division I Graduation Report	Yes	Annually	May	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director if Institutional Research
National Collegiate Athletic Association (NCAA)	Division III Graduation Report	Yes	Annually	May	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director if Institutional Research
National Collegiate Athletic Association (NCAA)	Division I Academic Progress Report	Yes	Annually	October	Student Affairs	Athletics	Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division III Financial Aid	Yes	Annually	October 15th	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director of Financial Aid

Hartwick College Compliance Calendar for Other Associations/Organizations/Agencies
Sorted by Agency

Association or Other Organization/Agency	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	Concussion Management Plan and Protocol	Yes	Annually	September	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Rules Test, Division I & III	Yes	Annually	September	Student Affairs	Athletics	All coaches	Director of Athletics
National Collegiate Athletic Association (NCAA)	Certification of Compliance for Institution	Yes	Annually	September	Student Affairs	Athletics	Athletic Adm. Asst.	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division I Drug Testing	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division I Sickle Cell Testing	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Medical Information, Physical Exam, Immunizations	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Wellness Center
National Collegiate Athletic Association (NCAA)	Certify Coverage of Health Insurance	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Management of Proper Division I Scholarships Dollar Awarding	No	As required	As required	Enrollment	Enrollment Management	Director of Financial Aid	Vice President for Enrollment
National Collegiate Athletic Association (NCAA)	Rules Seminar	Yes	At least once every 3 years	June	Student Affairs	Athletics	Director of Athletics	Vice President for Student Affairs
National Collegiate Athletic Association (NCAA)	Statistic Reporting for every home conference game and every non-conference game	Yes	Daily	Daily	Student Affairs	Athletics	Director of Sports Information	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division I Compliance Review	Yes	Every 5 years	Due July 1, 2012	Student Affairs	Athletics	Director of Athletics	Vice President for Student Affairs
National Collegiate Athletic Association (NCAA)	Division III Institutional Self-Study	Yes	Every 5 years	Due July 1, 2012	Student Affairs	Athletics	Director of Athletics	Vice President for Student Affairs

Hartwick College Compliance Calendar for Other Associations/Organizations/Agencies
Sorted by Agency

Association or Other Organization/Agency	Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division	Department	Individual(s) Responsible	Individual who provides oversight/review
Town of Davenport	Building Permits	Yes	As required	As required	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake

Compliance at Hartwick College

APPENDIX I

Divisional Compliance Calendars

Hartwick College Compliance Calendar for the Division of Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Student Clearinghouse	Enrollment reporting for national student aid compliance	Yes	Monthly	All	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Health	Non-municipal Water Operation; chlorine testing	Yes	Monthly	All	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Animal Welfare Act License	Yes	Annually	January	Academic Affairs	Biology	Chair of Institutional Animal Care and Use Committee	Dean of Academic Affairs
National Science Foundation (NSF)	Time and Effort Reporting	Yes	3x per year	January (June, September)	Academic Affairs	Foundation & Grants	Director of Corporate, Foundation & Government Relations	Dean of Academic Affairs
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - report whether or foreign student enrolled in classes for each term/semester	Yes	3x per year	January (February, September)	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Veterans Affairs	Certification of enrollment for eligible GI Bill benefit recipients – verification of benefits eligibility	Yes	Semi-annually	February (September)	Academic Affairs	Office of the Registrar	Administrative Asst. for Registration	Registrar
NYS Department of Education	Admissions and Academic Preparation Report	Yes	Annually	February	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Dir. of Enrollment Operations	Registrar
US Department of Veterans Affairs	GI-Bill Yellow Ribbon Program - the institution must submit completed Yellow Ribbon Participation Agreements	Yes	Annually	February	Academic Affairs	Office of the Registrar	Administrative Asst. for Registration	Registrar
US Environmental Protection Agency (EPA)	Emergency Planning and Community Right to Know Act: emergency and hazardous chemical inventory format	Yes - but have not had to file	Annually	February	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs

Hartwick College Compliance Calendar for the Division of Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - report whether or foreign student enrolled in classes for each term/semester	Yes	3x per year	February January, September)	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
Higher Education Data Sharing Consortium (HEDS)	HEDS-Estimate of Earned Degrees Conferred	Yes	Annually	March	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Estimate of Earned Degrees Conferred	Yes	Annually	March	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Environmental Conservation	Hazardous Waste Report	Yes	Annually	March	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
US Department of Education	Teacher Education Program Report- report of the pass rate on state teacher certification examinations taken by graduates	Yes	Annually	March	Academic Affairs	Education	Chair of Education Department	Vice President of Academic Affairs
NYS Department of Health	Non-municipal Water Operation; ecoli testing	Yes	Quarterly	March (June, September, December)	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Laboratory Animal Welfare Program Review and Inspection	Yes	Semi-annually	March (October)	Academic Affairs	Biology	Chair of Institutional Animal Care and Use Committee	Dean of Academic Affairs
NYS Department of Health	Radioactive Materials License	Yes	Annually	April	Academic Affairs	Physical and Life Sciences	Radiation Safety Manager	Dean of Academic Affairs
NYS Department of Health	Temporary Residence Permit for rentals	Yes	Every other Year	April	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake

Hartwick College Compliance Calendar for the Division of Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Enrollment of Students with Disabilities	Yes	Annually	April	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Learning Support Specialist	Registrar
NYS Department of Education	Report on Residence and Migration of College Students	Yes	Bi-annually	April (November)	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Enrollment of College Students with Disabilities	Yes	Annually	May	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Health	Waterfront Beach Operation Annual Permit	Yes	Annually	May	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations
NYS Department of Environmental Conservation	Hazardous Waste Removal	Yes	Semi-annually	May (September)	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
US Department of Education	Graduate Outcomes Report- types of graduate/professional education in which graduates enroll; placement in employment	Yes	Bi-annually	May and November	Academic Affairs	Center for Professional Service and Global Engagement	Asst. Dean of Academic Advising and Experiential Learning	Vice President of Academic Affairs
NYS Department of Health	Waterfront Beach Operation Daily reporting	Yes	Daily	May (June, July, August, September)	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations
NYS Department of Health	Non-municipal Water Operation; ecoli testing	Yes	Quarterly	June (September, December, March)	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake

Hartwick College Compliance Calendar for the Division of Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Health	Waterfront Beach Operation Daily reporting	Yes	Daily	June (May, July, August, September)	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations
Higher Education Data Sharing Consortium (HEDS)	HEDS- College Catalog submission	Yes	Annually	June	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
National Student Clearinghouse	Graduate Report	Yes	Annual	June	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
National Science Foundation (NSF)	Time and Effort Reporting	Yes	3x per year	June (September, January)	Academic Affairs	Foundation & Grants	Director of Corporate, Foundation & Government Relations	Dean of Academic Affairs
US Department of Transportation	Form F-5800.2 - transports or causes to be transported hazardous material	Yes - but have not had to file	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
US Environmental Protection Agency (EPA)	Toxic Substance Control Act- submit inventory of hazard chemicals exceeding the regulatory threshold during the preceding calendar	Yes	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs
US Environmental Protection Agency (EPA)	Annual document log of the disposition of PCBs and PCB items present in each facility during the preceding year	Yes	Annually	June	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Office	Vice President for Academic Affairs
NYS Department of Health	Waterfront Beach Operation Daily reporting	Yes	Daily	July (May, June, August, September)	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations

Hartwick College Compliance Calendar for the Division of Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Higher Education Data Sharing Consortium (HEDS)	HEDS-Certification of Earned Degrees Conferred	Yes	Annually	July	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Graduation Rate Report – Full-Time Undergraduates	Yes	Annually	July	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Submittal of college catalog	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Certification of Earned Degrees Conferred	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Graduation Rate Report, FT Undergraduate	Yes	Annually	July	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Health	Waterfront Beach Operation Daily reporting	Yes	Daily	August (May, June, July, September)	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations
US Department of Education	Posting textbook information and course schedules on website	Yes	Annually	August	Academic Affairs	Office of Registrar	Registrar	Vice President for Academic Affairs
US Department of Education	Annual Notice To Students; re: institutional and financial aid info. (see Appendix B for a list of all items included in the annual notice)	Yes	Annually	August	Academic Affairs	Office of the Registrar	Registrar	Sr. Asst. to the President
US Department of Education	Federal Education Rights and Privacy Act (FERPA) - Annual Notice of Rights	Yes	Annually	August	Academic Affairs	Office of the Registrar	Registrar	Sr. Asst. to the President
NYS Department of Education	Preliminary Fall degree credit enrollment	Yes	Annually	September	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Report of Off-campus Locations	Yes	Annually	September	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar

Hartwick College Compliance Calendar for the Division of Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Office of Fire Prevention and Control	Fire Safety Inspection, Pine Lake	Yes	Annually	September	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Health & Safety Manager
NYS Department of Environmental Conservation	Hazardous Waste Removal	Yes	Semi-annually	September (May)	Academic Affairs	Office of Academic Affairs	Chemical Hygiene Officer	Vice President for Academic Affairs
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - report whether or foreign student enrolled in classes for each term/semester	Yes	3x per year	September (January, February)	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Veterans Affairs	Certification of enrollment for eligible GI Bill benefit recipients – verification of benefits eligibility	Yes	Semi-annually	September (February)	Academic Affairs	Office of the Registrar	Administrative Asst. for Registration	Registrar
National Science Foundation (NSF)	Time and Effort Reporting	Yes	3x per year	September (January, June)	Academic Affairs	Foundation & Grants	Director of Corporate, Foundation & Government Relations	Dean of Academic Affairs
NYS Department of Health	Non-municipal Water Operation; ecoli testing	Yes	Quarterly	September (December, March, June)	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Waterfront Beach Operation Daily reporting	Yes	Daily	September (May, June, July, August)	Academic Affairs	Pine Lake	Director of Aquatics	Manger of Pine Lake Operations
Higher Education Data Sharing Consortium (HEDS)	HEDS-Preliminary Fall Degree-Credit Enrollment	Yes	Annually	October	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Higher Education Services Corporation	Certification of enrollment for Tuition Assistance Program (TAP) – verification of benefits eligibility	Yes	Annually	October	Academic Affairs	Office of the Registrar	Assistant Registrar	Director of Student Accounts

Hartwick College Compliance Calendar for the Division of Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Health	Laboratory Animal Welfare Program Review and Inspection	Yes	Semi-annually	October (March)	Academic Affairs	Biology	Chair of Institutional Animal Care and Use Committee	Dean of Academic Affairs
Higher Education Data Sharing Consortium (HEDS)	HEDS-Institutional Activity	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS_ Certification of Nursing Program Enrollment	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Residence and Migration of College Students	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Certification of Nursing Program Enrollment	Yes	Annually	November	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Health	Non-municipal Water Operation; nitrates and nitrites testing	Yes	Annually	November	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Education	Report on Residence and Migration of College Students	Yes	Bi-annually	November (April)	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
Higher Education Data Sharing Consortium (HEDS)	HEDS-Fall Degree-Credit Enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar
NYS Department of Education	Final Fall degree credit enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Registrar	Vice President for Academic Affairs
NYS Department of Education	Data on Institutional Activity/Characteristics	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst	Registrar

Hartwick College Compliance Calendar for the Division of Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Personnel Development Form for Special Education	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst; Learning Support Specialist	Registrar
NYS Department of Education	Certification of Transfer Enrollment	Yes	Annually	December	Academic Affairs	Office of the Registrar	Institutional Research Analyst, Asst. Dir. of Registration	Registrar
NYS Department of Education	Use of Nursing Aid Statement for high needs Nursing grant Aid	Yes	Annually	December	Academic Affairs	Institutional Research	Dean of Academic Affairs	Institutional Research Analyst
NYS Department of Health	Non-municipal Water Operation; ecoli testing	Yes	Quarterly	December (March, June, September)	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
NYS Department of Health	Inspection of Radiation-producing Equipment	Yes	Every 3 years	Due 2012	Academic Affairs	Physical and Life Sciences	Radiation Safety Manager	Dean of Academic Affairs
National Science Foundation (NSF)	Biomedical or Behavioral Research Misconduct Report-report regarding biomedical or behavioral research misconduct and policy for responding to allegations	Yes	As required	As required	Academic Affairs	Academic Affairs	Dean of Academic Affairs	Vice President for Academic Affairs
Town of Davenport	Building Permits	Yes	As required	As required	Academic Affairs	Pine Lake	Manger of Pine Lake Operations	Director of Pine Lake
U.S. Department of Health and Human Services' Office of Research Integrity	Biomedical or Behavioral Research Misconduct Report-report regarding biomedical or behavioral research misconduct and policy for responding to allegations	Yes	As required	As required	Academic Affairs	Academic Affairs	Dean of Academic Affairs	Vice President for Academic Affairs

Hartwick College Compliance Calendar for the Division of Academic Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - employment reporting for foreign students	Yes	As required	As required	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
National Science Foundation (NSF)	Conflict of Interest for each award/grant accepted	Yes	As required	At time of accepting grant	Academic Affairs	Foundation & Government Relations	Principal Investigator on grant; controller	Director of Corporate, Foundation & Government Relations
National Science Foundation (NSF)	Conflict of Interest for pre-award/grant application	Yes	As required	At time of grant submission	Academic Affairs	Foundation & Government Relations	Principal Investigator on grant; controller	Director of Corporate, Foundation & Government Relations
US Department of Education	Federal Education Rights and Privacy Act (FERPA) - right to inspect and correct educational records	Yes	As requested	When request is made	Academic Affairs	Office of the Registrar	Assistant Registrar	Registrar
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - foreign student transfer (in or out) reporting	Yes	As required	within 15 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - Change of status or event reporting for foreign students	Yes	As required	within 21 days of change	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - reporting foreign student's graduation and program completion	Yes	As required	within 30 days of program end date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - initial foreign student registration	Yes	As needed	within 30 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning
US Department of Homeland Security, Immigration and Customs Enforcement	Student and Exchange Visitor Information System - reporting if foreign student fails to show up for program	Yes	As required	within 30 days of program start date	Academic Affairs	PSGE Center	Global Education and Service Learning Advisor	Director of Global Engagement & Service Learning

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Science Foundation (NSF)	Responsible Conduct of Research Online Training (CITI)	Yes	Annually	September	College Advancement	Foundation & Government Relations	Principal Investigator on grant, students and faculty working on research	Foundation & Government Relations; Principle Investigator on grant
National Science Foundation (NSF)	Data Management for grants	Yes	As required	All	College Advancement	Foundation & Government Relations	Director of Corporate, Foundation & Government Relations	Principle Investigator on grant

Hartwick College Compliance Calendar for the Division of Enrollment Management

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Verify and notify Pell Grant Eligibility	Yes	Monthly	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	Return of Title IV Funds	Yes	As required	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	Processing and refunding parent PLUS Loans	Yes	As required	All	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	Disbursement of financial aid funds	Yes	Monthly	Jan to July	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	Report cohort-related institutional eligibility	Yes	Semi-annually	February (September)	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
US Department of Education	Provide school cohort default rate to auditors	Yes	Annually	June	Enrollment	Financial Aid	Assistant Dir. of Financial aid	Director of Financial Aid
The White House Office of Management and Budget	Fiscal Operations Report and Application to Participate in Federal Perkins Loan, Federal Work-Study, and Federal Supplemental Educational Opportunity Grant Programs	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
US Department of Education	Code of Conduct for Education Loans - all agents responsible for loans must be informed annually of college policy	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President of Enrollment
US Department of Education	Disclosures of membership and reimbursements for financial aid staff service on advisory boards	Yes	Annually	July	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
US Department of Education	Notice to students of Federal Student Financial Aid Penalties for Drug Law Violations	Yes	Annually	August	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment

Hartwick College Compliance Calendar for the Division of Enrollment Management

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Education	Financial Aid	Yes	Annually	September	Enrollment	Financial Aid	Institutional Research Analyst	Director of Financial Aid
US Department of Education	Fiscal Operations Report and Application to Participate- Report to the Department of Education all Perkins, FWS, and FSEOG funds from the previous fiscal year and apply for funds for the next fiscal year	Yes	Annually	September	Enrollment	Financial Aid	Director of Financial Aid	Vice President for Enrollment
US Department of Education	Report cohort-related institutional eligibility	Yes	Semi-annually	September (February)	Enrollment	Financial Aid	Assistant Dir. of Financial Aid	Director of Financial Aid
National Collegiate Athletic Association (NCAA)	Management of Proper Division I Scholarships Dollar Awarding	No	As required	As required	Enrollment	Enrollment Management	Director of Financial Aid	Vice President for Enrollment

Hartwick College Compliance Calendar for the Division of Financial Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	Consolidated Omnibus Budget Reconciliation Act (COBRA); notice to employee	Yes	As required	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources
Internal Revenue Service (IRS)	Employer is required to request a W4 withholding certificate from each employee	Yes	At hire	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
Internal Revenue Service (IRS)	Employer is required to request a W4 withholding certificate from each student employee	Yes	At hire	All	Finance	Student Accounts	Coordinator of Student Payroll	Director of Payroll
Internal Revenue Service (IRS)	Remission of payroll taxes withheld	Yes	Bi-weekly	All	Finance	Payroll	Director of Payroll; Coord. of Student Payroll	Controller
Internal Revenue Service (IRS)	Form 8300- Report of Cash Payments over \$10,000 received in trade or business from one buyer as a result of a single transaction or two or more related transactions	Yes	Bi-weekly	All	Finance	Student Accounts	Director of Student Accounts	Vice President for Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Employee Retirement Income Security Act (ERISA)- disclosures for welfare benefit plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Employee Retirement Income Security Act (ERISA)- disclosures for pension plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
NYS Department of Labor	Unemployment Insurance Law- response to claims	Yes	At time of claim	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources

Hartwick College Compliance Calendar for the Division of Financial Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Labor	Wage Theft & Prevention Act, notice to each employee of their compensation	Yes	At hire; At rate change; Annually	All	Finance	Human Resources	Human Resources Coord., Coord. of Student Payroll, Director of Payroll, Admin. Asst to Dean of Academic Affairs, Exec Asst to Vice President for Academic Affairs	Director of Human Resources and Director of Payroll
NYS Department of Labor	Worker's Compensation and Disability Benefits law	Yes	Annually and as incidents occur	All	Finance	Human Resources/Payr oll	Human Resources Coordinator/Director of Payroll	Director of Human Resources/Controller
NYS Department of Taxation & Finance	Employer is required to request an IT2104 withholding certificate from each employee	Yes	At hire	All	Finance	Human Resources; Payroll	Human Resources Coordinator/Coordinator of Student Payroll	Director of Human Resources/Director of Payroll
NYS Department of Taxation & Finance	Sales Tax Reports ST-809 and ST-810	Yes	Monthly & Quarterly	All	Finance	Finance	Accounts Payable Clerk	Controller
NYS Department of Taxation & Finance	Sales Tax Reports ST-809 and ST-810	Yes	Monthly & Quarterly	All	Finance	Finance	Accounts Payable Clerk	Controller
NYS Department of Taxation & Finance	Remission of payroll taxes withheld	Yes	Bi-weekly	All	Finance	Finance	Accounts Payable Clerk; Coord. of Student Payroll	Controller
US Department of Education	Direct Loan Title IV - notification of delivery of loans	Yes	As required	All	Finance	Student Accounts	Finance Office Assistant	Director of Student Accounts
US Department of Education	School must notify all students, employees, and applicants for admission and employment of the person designated as the Title IX coordinator	Yes	At hire or Upon Enrollment	All	Finance	Human Resources	Title IX Coordinator	Director of Human Resources

Hartwick College Compliance Calendar for the Division of Financial Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Must adopt, publish and widely distribute a notice of discrimination to all students; employees; and all applicants for admission and employment	Yes	At hire or Upon Enrollment	All	Finance	Human Resources	Title IX Coordinator	Director of Human Resources
US Department of Education	Notice to employees of Drug & Alcohol Abuse Prevention Program	Yes	At hire	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
US Department of Homeland Security, Citizenship and Immigration Services	I-9 Form, Employment Eligibility Verification for employees	Yes	At Hire	All	Finance	Human Resources	Human Resources Coordinator, Human Resources Assistant	Director of Human Resources
US Department of Homeland Security, Citizenship and Immigration Services	I-9 Form, Employment Eligibility Verification for student employees	Yes	At Hire	All	Finance	Payroll	Coordinator of Student Payroll	Director of Payroll
US Department of Homeland Security, Citizenship and Immigration Services and US Department of Labor	Immigration & Nationality Act Labor Condition Application; Verification of Education; VISA Petition	Yes	Required prior to hiring foreign worker	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/BS&K/VP Finance
US Department of Labor	Age Discrimination in Employment Act- annual update to phased retirement information	Yes	Annually and ongoing	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
US Department of Labor	Consolidated Omnibus Budget Reconciliation Act (COBRA);notice to employee	Yes	At Hire, Termination or Change in Eligibility	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources

Hartwick College Compliance Calendar for the Division of Financial Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Labor	I-9 Form, Employment Eligibility Verification for Work Study Students	Yes	At hire	All	Finance	Payroll	Coordinator of Student Payroll	Vice President for Finance
US Department of Labor	Remission of 403(b) amounts withheld from paychecks	Yes	Bi-weekly	All	Finance	Payroll	Director of Payroll	Controller
US Department of Labor (and Internal Revenue Service (IRS))	Employee Retirement Income Security Act (ERISA)- disclosures for welfare benefit plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
US Department of Labor (and Internal Revenue Service (IRS))	Employee Retirement Income Security Act (ERISA)- disclosures for pension plans (SPD, SMM, SAR)	Yes	Annually; At Hire; As Requested	All	Finance	Human Resources	Human Resources Coordinator/Director of Human Resources	Director of Human Resources/VP Finance
US Department of Labor (Wage & Hour Division)	Family Medical Leave Act forms	Yes	As required	All	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
US Department of Labor (Wage/Hour Division)	Consumer Credit protection Act-Processing of background checks	Yes	At hire	All	Finance	Human Resources	Human Resources Coordinator/ Human Resources Assistant	Director of Human Resources
US Department of Labor (Wage/Hour Division)	Processing of garnishments	Yes	As received	All	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
US Department of Labor (Wage/Hour Division)	Processing of garnishments	Yes	As received	All	Finance	Payroll	Director of Payroll	Controller
US Department of Labor	WARN- Worker Adjustment & Retraining Notification Act	Yes	Required for mass layoff	As required	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
US Department of Labor	Immigration & Nationality Act Labor Condition Application	Yes	Required when hiring foreign worker	As required	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources

Hartwick College Compliance Calendar for the Division of Financial Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	Filing of Form 1099 Misc. Income must be furnished to each person who received misc. income of \$600 or more in the preceding calendar year in non-employee service payments with the exception of royalty payments of \$10 or more, or from whom any federal income tax was withheld under the backup withholding rules regardless of the amount of the payment.	Yes	Annually	January	Finance	Finance	Purchasing Manager and Accounts Payable Clerk	Controller
Internal Revenue Service (IRS)	1098-E: Student loan interest- statement must be furnished to each individual participating in a Perkins Loan Program or institutional loan program who made student loan interest payments of \$600 or more during the preceding calendar year	Yes	Annually	January	Finance	Student Accounts	Assistant Director of Student Accounts	Director of Student Accounts
Internal Revenue Service (IRS) (and US Department of Labor)	Form 5500 Report Filing: Health Insurance (Health & Welfare benefit plans)	Yes	Annually	January	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Social Security Administration	W-2 and W-3 Forms: must furnish copy to IRS (electronically) and to employee	Yes	Annually	January	Finance	Payroll	Director of Payroll	Controller
US Department of Labor (and Internal Revenue Service (IRS))	Form 5500 Report Filing: Health Insurance (Health & Welfare benefit plans)	Yes	Annually	January	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance

Hartwick College Compliance Calendar for the Division of Financial Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	1098-T: Tuition Statement: sent to each individual which payments were received, or amounts were billed, for qualified tuition and related expenses, or reimbursements, refunds, or reductions of such amounts were made.	Yes	Annually	February	Finance	Student Accounts	Contract with Educational Systems Corporation Inc.; Director of Student Accounts, Datatel Programming Specialist	Director of Student Accounts
US Department of Education	Consolidated Omnibus Budget Reconciliation Act - Submission of A-133 Form	Yes	Annually	February	Finance	Finance	Controller	Vice President of Finance
US Department of Labor	Filing of W2 forms	Yes	Annually	February	Finance	Finance	Controller	Vice President for Finance
US Department of Labor, Occupational Health & Safety Administration (OSHA)	Form 300: Report of total number of job-related injuries and illnesses that occurred in the prior calendar year	Yes	Annually	February	Finance	Human Resources	Human Resources Coordinator/Director of Campus Safety	Director of Human Resources/VP Finance
Equal Employment Opportunity Commission (EEOC)	Age Discrimination in Employment Act- annual update to phased retirement information	Yes	Annually	March	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS)	Form 1042/1042S - report all non-employee payments to non-resident aliens and payments to nonresident employees who claim exemptions from federal Income tax	Yes	Annually, if applicable	March	Finance	Payroll	Director of Payroll	Controller
Internal Revenue Service (IRS)	If the institution does not have a record of the individual's correct Tax Identification Number (TIN), then it must solicit the TIN	Yes	Bi-annually	March (October)	Finance	Student Accounts	Asst. Director of Student Accounts	Director of Student Accounts

Hartwick College Compliance Calendar for the Division of Financial Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
NYS Department of Labor	Posting of health & safety information and logging workplace injuries	Yes	Annually	March	Finance	Human Resources	Director of Human Resources	Director of Human Resources
NYS Department of Education	Tuition Assistance Program (TAP) Certification	Yes	Bi-annually	March (October)	Finance	Student Accounts	Assistant Registrar	Director of Student Accounts
Internal Revenue Service (IRS)	Filing Form 941 - Employer's Quarterly Federal Tax Return	Yes	Quarterly	March (June, September, December)	Finance	Payroll	Director of Payroll	Controller
National Science Foundation (NSF)	Financial Report	Yes	Quarterly	March (June, September, December)	Finance	Finance	Controller	Vice President for Finance
US Census Bureau	Capital Expenditures & Information and Communication Technology (ICT) Surveys	Yes	Annually	April	Finance	Finance	Assistant Controller	Controller
Internal Revenue Service (IRS)	Form 990- Tax Return of Organization Exempt from Income Tax	Yes	Annually	May	Finance	Finance	Controller and Asst. Controller	Vice President Elsbeck, Board of Trustees
US Department of Labor	A-133 Audit	Yes	Annually	May through October	Finance	Finance	Controller; Director of Financial Aid	Vice President of Finance and Board of Trustees
Internal Revenue Service (IRS)	Filing Form 941 - Employer's Quarterly Federal Tax Return	Yes	Quarterly	June (March, September, December)	Finance	Payroll	Director of Payroll	Controller
National Science Foundation (NSF)	Financial Report	Yes	Quarterly	June (March, September, December)	Finance	Finance	Controller	Vice President for Finance

Hartwick College Compliance Calendar for the Division of Financial Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Internal Revenue Service (IRS)	Patient Protection Affordability Care Act- Summary of Benefits and Coverage	Yes	Annually	July	Finance	Human Resources	Human Resources Coordinator/ Director of Human Resources	Director of Human Resources/VP Finance
Internal Revenue Service (IRS) (and US Department of Labor)	Form 5500 Report Filing: Long Term Disability/Group Life & AD&D (Health & Welfare benefit plans)	Yes	Annually	July	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
US Department of Labor (and Internal Revenue Service (IRS))	Form 5500 Report Filing: Long Term Disability/Group Life & AD&D (Health & Welfare benefit plans)	Yes	Annually	July	Finance	Human Resources	Director of Human Resources	Director of Human Resources/VP Finance
Center for Medicare Service (CMS)	Disclosure to CMS and Notice of Credible Coverage	Yes	Annually	August	Finance	Human Resources	Human Resources Coordinator	Director of Human Resources
NYS Department of Education	Basic Student Changes	Yes	Annually	October	Finance	Student Accounts	Institutional Research Analyst	Director of Student Accounts
Internal Revenue Service (IRS)	If the institution does not have a record of the individual's correct Tax Identification Number (TIN), then it must solicit the TIN	Yes	Bi-annually	October (March)	Finance	Student Accounts	Asst. Director of Student Accounts	Director of Student Accounts
NYS Department of Education	Tuition Assistance Program (TAP) Certification	Yes	Bi-annually	October (March)	Finance	Student Accounts	Assistant Registrar	Director of Student Accounts
NYS Office of Fire Prevention and Control	Fire Safety Inspection, Main Campus	Yes	Annually	September	Finance	Finance	Health & Safety Manager, Director of Campus Safety, Director Res. Life	Health & Safety Manager
Internal Revenue Service (IRS)	Filing Form 941 - Employer's Quarterly Federal Tax Return	Yes	Quarterly	September (December, March, June)	Finance	Payroll	Director of Payroll	Controller

Hartwick College Compliance Calendar for the Division of Financial Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Science Foundation (NSF)	Financial Report	Yes	Quarterly	September (December, March, June)	Finance	Finance	Controller	Vice President for Finance
NYS Department of Taxation & Finance	Filing NYS-45 Quarterly wage reporting	Yes	Quarterly	September, December, March, June	Finance	Finance	Accounts Payable Clerk	Controller
National Science Foundation (NSF)	Financial Report	Yes	Quarterly	December (March, June, September)	Finance	Finance	Controller	Vice President for Finance
Internal Revenue Service (IRS)	Filing Form 941 - Employer's Quarterly Federal Tax Return	Yes	Quarterly	December (March, June, September)	Finance	Payroll	Director of Payroll	Controller

Hartwick College Compliance Calendar for the Division of Student Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	Statistic Reporting for every home conference game and every non-conference game	Yes	Daily	Daily	Student Affairs	Athletics	Director of Sports Information	Director of Athletics
US Department of Education	Maintain a Daily Crime Log	Yes	Daily	All	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety
NYS Department of Health	Children's Camp Permit	Yes	Annually	April	Student Affairs	Residence Life	Director of Residence Life	Vice President of Student Affairs
Empire 8 Conference	Conduct Foul and Misconduct Reporting	Yes	As required	As required	Student Affairs	Athletics	Division III Head Coaches	Director of Athletics
US Department of Education	Provide Timely Warnings and Emergency Notifications	Yes	As required	As required	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety
US Department of Education	Information for Crime Victims About Disciplinary Hearings	Yes	As required	As required	Student Affairs	Student Conduct	Director of Residence Life	Vice President for Student Affairs
Affiliated Hospitals & Agencies (APPENDIX A)	Required physical exam and immunizations for clinical rotation	Yes	Bi-annually	February (August)	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Center	Director of Perrella Wellness Center
National Collegiate Athletic Association (NCAA)	Division I Graduation Report	Yes	Annually	May	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director if Institutional Research
National Collegiate Athletic Association (NCAA)	Division III Graduation Report	Yes	Annually	May	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director if Institutional Research
National Collegiate Athletic Association (NCAA)	Rules Seminar	Yes	At least once every 3 years	June	Student Affairs	Athletics	Director of Athletics	Vice President for Student Affairs
NYS Division of Criminal Justice Services	Security Guard License	Yes	Annually	June to July	Student Affairs	Campus Safety	Campus Safety Officers	Director of Campus Safety

Hartwick College Compliance Calendar for the Division of Student Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
Mid-American Conference (Division I Soccer)	Sportsmanship Letter- Institutional Certification	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. Of Athletics	Director of Athletics
Mid-American Conference (Division I Soccer)	Coaches Concussion Acknowledgement	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. Of Athletics	Director of Athletics
Mid-American Conference (Division I Soccer)	Sportsmanship Letter- Student Athlete Acknowledgement	Yes	Annually	August	Student Affairs	Athletics	Men's Soccer Student Athletes, Associate Dir. of Athletics	Director of Athletics
Mid-American Conference (Division I Soccer)	Code of Conduct Agreement	Yes	Annually	August	Student Affairs	Athletics	All men's soccer coaches, staff and volunteers	Director of Athletics
National Collegiate Athletic Association (NCAA)	Squad Lists	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. of Athletics, Director of Financial Aid	Director of Athletics
National Collegiate Athletic Association (NCAA)	Compliance Certification for Athletic Staff	Yes	Annually	August	Student Affairs	Athletics	All athletic staff and volunteers	Director of Athletics
National Collegiate Athletic Association (NCAA)	Sports Safety Training for Coaches	Yes	Annually	August	Student Affairs	Athletics	Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Student Athlete Statement	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Drug Testing Consent Form	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	HIPPA/Buckley Amendment Consent/Waiver Form	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics

Hartwick College Compliance Calendar for the Division of Student Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	Banned Drugs Education	Yes	Annually	August	Student Affairs	Athletics	All students, Head Athletic Trainer, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	General Amateurism and Eligibility Form for International and Select Student Athletes	Yes	Annually	August	Student Affairs	Athletics	International Student Athletes, Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Institutional Affirmation- Concussions Management	Yes	Annually	August	Student Affairs	Athletics	Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Sport Sponsorship and Demographic Report	Yes	Annually	August	Student Affairs	Athletics	Associate Director of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division I Drug Testing	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division I Sickle Cell Testing	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Medical Information, Physical Exam, Immunizations	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Wellness Center
National Collegiate Athletic Association (NCAA)	Certify Coverage of Health Insurance	Yes	Annually, ongoing	August	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
US Department of Education	Notice to students of Drug & Alcohol Abuse Prevention Program	Yes	Annually	August	Student Affairs	Social Issues & Wellness Education	Director of Social Issues & Wellness Education	Vice President for Student Affairs

Hartwick College Compliance Calendar for the Division of Student Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Voter Registration Forms provided to students	Yes	Annually	August	Student Affairs	Student Affairs	Director of Campus Activities	Vice President for Student Affairs
Affiliated Hospitals & Agencies (APPENDIX A)	Required physical exam and immunizations for clinical rotation	Yes	Bi-annually	August (February)	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Center	Director of Perrella Wellness Center
National Collegiate Athletic Association (NCAA)	Concussion Management Plan and Protocol	Yes	Annually	September	Student Affairs	Athletics	Head Athletic Trainer	Director of Athletics
National Collegiate Athletic Association (NCAA)	Rules Test, Division I & III	Yes	Annually	September	Student Affairs	Athletics	All coaches	Director of Athletics
National Collegiate Athletic Association (NCAA)	Certification of Compliance for Institution	Yes	Annually	September	Student Affairs	Athletics	Athletic Adm. Asst.	Director of Athletics
NYS Department of Education	The Clery Act of 1990 - Campus Safety and Fire Report	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Director of Campus Safety
NYS Department of Health	Operating pool license permit	Yes	Annually	September	Student Affairs	Athletics	Aquatic Director	Director of Athletics
US Department of Education	Submission of campus safety and crime statistics	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
US Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	September	Student Affairs	Athletics	Director of Athletics	Director of Institutional Research

Hartwick College Compliance Calendar for the Division of Student Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
US Department of Education	Notice to employees and students of Campus Security and Crime Report and Fire Safety Report and Fire Log	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
US Department of Education	Disclosure of Campus Security Policy, Campus Crime Statistics, Annual Safety Report, Fire Safety Report and Fire Log	Yes	Annually	September	Student Affairs	Campus Safety	Director of Campus Safety	Sr. Asst. to the President
National Collegiate Athletic Association (NCAA)	Division I Academic Progress Report	Yes	Annually	October	Student Affairs	Athletics	Associate Dir. of Athletics	Director of Athletics
National Collegiate Athletic Association (NCAA)	Division III Financial Aid	Yes	Annually	October	Student Affairs	Athletics	Director of Athletics, Associate Dir. of Athletics	Director of Financial Aid
NYS Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	October	Student Affairs	Athletics	Director of Athletics	Institutional Research Analyst
US Department of Education	Report of Intercollegiate athletic program participation rates and financial support data	Yes	Annually	October	Student Affairs	Athletics	Director of Athletics	Director of Institutional Research
NYS Department of Health	Post Secondary School Immunization Survey	Yes	Annually	November	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Ctr.	Vice President of Student Affairs
NYS Department of Health	Limited Service Laboratory Registration	Yes	Every 2 years	December	Student Affairs	Perrella Wellness Center	Director of Perrella Wellness Ctr.	Vice President of Student Affairs

Hartwick College Compliance Calendar for the Division of Student Affairs

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	Division I Compliance Review	Yes	Every 5 years	Due July 1, 2012	Student Affairs	Athletics	Director of Athletics	Vice President for Student Affairs
National Collegiate Athletic Association (NCAA)	Division III Institutional Self-Study	Yes	Every 5 years	Due July 1, 2012	Student Affairs	Athletics	Director of Athletics	Vice President for Student Affairs

Hartwick College Compliance Calendar for the Office of the President

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Collegiate Athletic Association (NCAA)	Financial Reporting for all revenues provided/raised and expenditures incurred by the ICA for the fiscal year	Yes	Annually	January	President	Institutional Research	Institutional Research Analyst, Athletic Director	Director if Institutional Research
NYS Department of Education	Rules for Public Order- Annual notice to all enrolled students	Yes	Annually	January (August)	President	President	Registrar	Sr. Asst. to the President
National Center for Educational Statistics (IPEDS)	Human Resources information- all employees by FT or PT status, instruction faculty by rank, gender, and length of contract/teaching period; total salary outlay; and fringe benefits, demographic and occupational characteristics for staff	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst, Director of Human Resources	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	Total number of undergraduate students taking out other loans (institutional and private, wherein the student is the designated borrower) and the average annual amount	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	Total number of undergraduate students taking out Federal Loans and the average annual amount	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research

Hartwick College Compliance Calendar for the Office of the President

Sorted by Month

Name of Agency/Department	Description of Regulation/Compliance Item	Report or Notice Required	Reporting Frequency	Month(s) Due	Division of the College	Department	Individual(s) Responsible	Individual who provides oversight/review
National Center for Educational Statistics (IPEDS)	Financial Aid reporting- number of full-time, first-time degree/certificate-seeking undergraduate students who receive different types of student financial aid, the average dollar amount of aid received by these students, full-time, first-time degree/certificate-seeking undergraduate students who receive grant and scholarship aid, full-time, first-time degree/certificate-seeking undergraduate students who receive Title IV federal student aid	Yes	Annual	February	President	Institutional Research	Institutional Research Analyst; Director of financial Aid	Director of Institutional Research
National Center for Educational Statistics (IPEDS)	Financial information- institutional revenues by source, expenditures by category, and assets and liabilities	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Fall enrollment (residence, race/ethnicity; gender; enrollment status (PT or FT); and or level of study (undergrad or grad))	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	4-year grad rate, 6-year grad rate, 8 year grad rate	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar

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National Center for Educational Statistics (IPEDS)	Institutional Characteristics- basic institutional contact information, tuition and fees, room and board charges, control or affiliation, type of calendar system, levels of awards offered, types of programs, and admissions requirements, % of undergrad students formally registered with office of disability services	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Number of students who complete a postsecondary education program by type of program and level of award (certificate or degree), 12-month enrollment by age and gender	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	12-month enrollment by age and gender	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Registrar
National Center for Educational Statistics (IPEDS)	Report student-faculty ratio	Yes	Annual	April	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
NYS Department of Education	Rules for Public Order- Annual Certification Statement	Yes	Annually	June	President	President	Sr. Asst. to the President	President
NYS Department of Education	Rules for Public Order- policy submission	Yes	Every 10 years	June in 2012	President	President	Advisory Committee for Campus Safety & Security	Director of Campus Safety
NYS Department of Education	Bundy Aid - summary budget for fiscal year	Yes	Annually	June	President	President	Sr. Asst. to the President	President

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US Department of Education	Report of Completion/Graduation and Transfer-Out Rates	Yes	Annually	June	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
US Department of Education	Institution must certify with NYSED compliance with Article 129-A on an annual basis	Yes	Annually	June	President	Office of the President	Sr. Asst. to the President	President
US Department of Education	Advisory Committee on Campus Safety Annual Report to the President	Yes	Annually	June	President	Office of the President	Chair of Advisory Committee on Campus Safety	Sr. Asst. to the President
NYS Department of Education	Coordinator's Survey	Yes	Annually	July	President	Institutional Research	Institutional Research Analyst	Director of Institutional Research
US Department of Education, Secretary of Education	Certify that the institution has not used any funds to attempt to influence an agency or member of Congress in connection with any federal grant, contract, loan, or cooperative agreement and that the institution has not used any federal student aid funding to hire a registered lobbyist or to pay for securing an earmark	Yes	Annually	July	President	Office of the President	Sr. Asst. to the President	President
NYS Department of Education	Bundy Aid - Use and Aid Statement NYSED-2(8)	Yes	Annually	August	President	President	Vice President of Financial Affairs	Sr. Asst. to the President
NYS Department of Education	Bundy Aid - Degrees Conferred report	Yes	Annually	August	President	President	Institutional Research Analyst	Registrar
NYS Department of Education	Rules for Public Order- Annual notice to all enrolled students	Yes	Annually	August (January)	President	President	Registrar	Sr. Asst. to the President

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US Department of Education	Equity in Athletics Disclosure -Report of Intercollegiate Athletic Prog. Participation Rates and Financial Support	Yes	Annually	September	President	Institutional Research	Director of Institutional Research	Sr. Asst. to the President
NYS Department of Education	Bundy Aid- submission of current college catalog, faculty manual, employee manual, administrative manual	Yes	Annually	October	President	President	Institutional Research Analyst	Director of Institutional Research
NYS Department of Education	Bundy Aid - College Catalog Submittal	Yes	Annually	October	President	Institutional Research	Institutional Research Analyst	Sr. Asst. to the President
NYS Department of Education	Bundy Aid- Submittal of Audited Financial Statements	Yes	Annually	October	President	Institutional Research	Institutional Research Analyst	Controller