

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
<b>Affirmative Action</b>							
Title VI of the Civil Rights Act of 1964		Office of Civil Rights at the U.S. Department of Education	Federal	Prohibits discrimination based on race, color or national origin at any program or activity receiving federal financial assistance. Records must be maintained on racial and ethnic composition. Grievance procedures must be adopted and published, and the policy on nondiscrimination must be prominently included in announcement bulletins, catalogs, and application forms.	42 U.S.C. § 2000d - 2000d-7; 28 C.F.R. § 42.101 et seq.; 34 C.F.R. Part 100; 45 C.F.R Part 80	Office for Equity & Diversity Admissions	<a href="http://www.dol.gov/oasam/regs/statutes/titlevi.htm">http://www.dol.gov/oasam/regs/statutes/titlevi.htm</a>
Title IX of the Education Admendments of 1972		Office of Civil Rights at the U.S. Department of Education	Federal	Title IX of the Education Amendments of 1972 may require affirmative action admissions programs if the university has discriminated on the basis of race or sex.	20 U.S.C. § 1681 - 1688	Office for Equity & Diversity Enrollment Management Admissions	<a href="https://www.dol.gov/oasam/regs/statutes/titleIX.htm">https://www.dol.gov/oasam/regs/statutes/titleIX.htm</a>
Civil Rights Act of 1866 (Students)		Office of Civil Rights at the U.S. Department of Education	Federal	Prohibits racial discrimination in admissions to universities.	42 U.S.C. § 1981	Enrollment Management Admissions	<a href="http://counsel.cua.edu/fedlaw/Cr1866s.cfm">http://counsel.cua.edu/fedlaw/Cr1866s.cfm</a>
<b>ADA Compliance</b>							
Title I of the Americans with Disabilities Act of 1990 (as amended by the ADA Amendments Act of 2008) - Employees	ADA	Department of Justice Department of Labor Equal Employment Opportunity Commission Office of Civil Rights	Federal	Title I of the ADA prohibits employment discrimination against a qualified individual with a disability. The law requires that reasonable accommodations be made to allow the employee to perform the essential functions of the job, or to assist the employee in the application process if necessary. The ADA contains strict confidentiality requirements for medical information related to employee's disabilities. The law contains requirements for elimination of physical barriers to access.	Public Law 110-325; 42 U.S.C. § 12101 et seq; 47 U.S.C. § 225, 611; 29 C.F.R. Part 1602.1 et seq.; 29 C.F.R. Part 1630.1 et seq.; 29 C.F.R. Part 1640.1; 29 C.F.R. Part 1641.1	Human Resources Office for Equity & Diversity Office of University Counsel Facilities Services Disability Support Services Health Sciences HR Academic Affairs HR All departments	<a href="https://www.ada.gov/ada_title_I.htm">https://www.ada.gov/ada_title_I.htm</a>
Rehabilitation Act of 1973 Section 503		Office of Civil Rights at the U.S. Department of Education	Federal	Section 503 requires government contractors with any contract in excess of \$10,000 to take affirmative action to employ and advance in employment qualified individuals with disabilities.	29 U.S.C. § 793 et seq.; 34 C.F.R § 104.1 et seq.; 41 C.F.R. § 60-741.1 et seq.; 29 U.S.C. § 794	Human Resources Office for Equity & Diversity Office of University Counsel Facilities Services Materials Management	<a href="https://www.dol.gov/ofccp/regs/compliance/section503.htm">https://www.dol.gov/ofccp/regs/compliance/section503.htm</a>
Rehabilitation Act of 1973 Section 504		Office of Civil Rights at the U.S. Department of Education	Federal	Section 504 provides that no person, by reason of disability, shall be excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity receiving federal financial assistance.	29 U.S.C. § 793 et seq.; 34 C.F.R § 104.1 et seq.; 41 C.F.R. § 60-741.1 et seq.; 29 U.S.C. § 794	Human Resources Office for Equity & Diversity Office of University Counsel Facilities Services Materials Management	<a href="https://www.dol.gov/oasam/regs/statutes/sec504.htm">https://www.dol.gov/oasam/regs/statutes/sec504.htm</a>
Title III of the Americans with Disabilities Act of 1990 (as amended by the ADA Amendments Act of 2008) - Students	ADA	Department of Justice Department of Labor Equal Employment Opportunity Commission Office of Civil Rights	Federal	Title III of the ADA prohibits discrimination on the basis of disability by public accommodations and requires places of public accommodations and commercial facilities to be designed, constructed, and altered in compliance with the accessibility standards established by this part and allow a person with a disability to participate fully in the programs and activities of the university.	42 U.S.C. § 12101 et seq.; 28 C.F.R. § 36.101 et seq; Public Law 110-325	Human Resources Office for Equity & Diversity Office of University Counsel Facilities Services Disability Support Services	<a href="http://www.ada.gov/pubs/ada.htm">http://www.ada.gov/pubs/ada.htm</a>
Persons With Disabilities Protection Act		State Personnel Commission	State	Employers, employment agencies, apprenticeship program controllers are prohibited from discriminating against qualified persons with disabilities on the basis of the disability, conditions, privileges of employment, referrals for employment, admission to or employments programs established to provide apprenticeship or other training.	NCGS 168A-5	Human Resources Health Sciences HR Academic Affairs HR Disability Support Services	<a href="https://www.ncleg.net/EnactedLegislation/Statutes/PDF/BySection/Chapter_168A/GS_168A-5.pdf">https://www.ncleg.net/EnactedLegislation/Statutes/PDF/BySection/Chapter_168A/GS_168A-5.pdf</a>
Title II of the Americans with Disabilities Act		Department of Justice Department of Labor Equal Employment Opportunity Commission Office of Civil Rights	Federal	Title II of the Americans with Disabilities Act of 1990 prohibits discrimination based on disability in public entities. OCR is the agency designated by the U.S. Department of Justice to enforce the regulation under Title II with respect to public educational entities and public libraries..	28 C.F.R. Ch. 1, Part 35	Human Resources Disability Support Services	<a href="https://www.ada.gov/ada_title_II.htm">https://www.ada.gov/ada_title_II.htm</a>
<b>Copyright</b>							

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
General Revision of the Copyright Law (1976), Judicial Improvement Act of 1990			Federal	Law gives copyright owners the sole right to reproduce all or part of the work, distribute copies, prepare new versions of the work, and perform and display the work publicly. The Fair Use Doctrine (17 U.S.C. §107) allows for the use of copyright work without obtaining the copyright owner's permission, if certain conditions are met.	17 U.S.C. § 101 et seq.; 37 C.F.R. § 201.1 et seq.; 48 C.F.R. § 52.227-2; 17 U.S.C. § 107	Libraries Office of University Counsel Public Relations	<a href="http://www.govtrack.us/congress/bills/101/hr5316">http://www.govtrack.us/congress/bills/101/hr5316</a>
Sonny Bono Copyright Term Extension Act of 1998			Federal	Law extends by 20 years the length of protection afforded to copyright works, and lengthens the amount of time it will take for a work to enter the public domain. Includes an exception that allows libraries, archives, and nonprofit educational institutions to treat a copyright work in the last 20 years of protection as if it were in the public domain for purposes of preservation, scholarship or research.	Public Law 105-298; 112 Stat. 2827 (1998); 63 Fed. Reg. 71,785 (Dec. 30, 1998)	Faculty Office of University Counsel Office of Technology Transfer Libraries	<a href="https://www.copyright.gov/legislation/pl105-298.pdf">https://www.copyright.gov/legislation/pl105-298.pdf</a>
Digital Millennium Copyright Act of 1998	DMCA		Federal	DMCA made major changes to copyright law, and addressed copyright in the digitally networked environment. Law has 5 Titles, the first 4 of which are of interest to postsecondary educational institutions.	17 U.S.C. § 512; 17 U.S.C. § 1201 et seq.	Office of University Counsel Student Affairs ITCS Libraries	<a href="http://www.ala.org/advocacy/copyright/dmca">http://www.ala.org/advocacy/copyright/dmca</a>
Visual Artists Rights Act of 1990	VARA		Federal	Protects moral rights for fine art works, does not protect audiovisual works, probably does not apply to most multimedia creations.	17 U.S.C. § 106A	College of Fine Arts & Communication	<a href="http://www.copyright.gov/reports/exsum.html">http://www.copyright.gov/reports/exsum.html</a>
Small Webcaster Settlement Act of 2002	SWSA		Federal	SWSA applies to "noncommercial webcasters" and to "small commercial webcasters" and is intended to address establishment of royalty rates for webcasting digital sound recordings. Under the Webcaster Settlement Act of 2009, the Copyright Office is publishing 4 agreements which set rates and terms for the reproduction and performance of sound recordings made by college radio station webcasters under 2 statutory licenses.	Public Law 107-321; 116 Stat. 2789; 68 Fed. Reg. 35008, June 11, 2003; Public Law 111-36	Student Media	<a href="https://www.copyright.gov/legislation/pl107-321.pdf">https://www.copyright.gov/legislation/pl107-321.pdf</a>
Higher Education Opportunity Act of 2008 (Copyright Infringement Policy Disclosures)		U.S. Department of Education	Federal	Requires all U.S. colleges and universities deal with unauthorized file sharing on campus networks, imposing 3 general requirement on (1) annual disclosure to students describing copyright law and campus policies related to violating copyright law, (2) a plan to effectively combat the unauthorized distribution of copyrighted materials by users of its network, (3) a plan to offer alternatives to illegal downloading. Enrolled students are to be provided an annual notice on peer-to-peer file sharing and copyright information and the institutions' policies on dealing with the issue.	H.R. 4137; Public Law 110-315	ITCS Campus Living (Housing) Student Affairs Office of Student Rights & Responsibilities	<a href="https://library.educause.edu/topics/policy-and-law/higher-education-opportunity-act-heoa">https://library.educause.edu/topics/policy-and-law/higher-education-opportunity-act-heoa</a>
<b>Employment</b>							
Civil Rights Act of 1866		Office of Civil Rights at the U.S. Department of Education; Department of Justice	Federal	A post-Civil War statute, this law guarantee the right to make and enforce contracts regardless of one's race. Courts have read this statute to prohibit employment discrimination based upon race.	42 U.S.C. § 1981	Human Resources Office for Equity & Diversity Materials Management Health Sciences HR Academic Affairs HR	<a href="http://counsel.cua.edu/fedlaw/Cr1866.cfm">http://counsel.cua.edu/fedlaw/Cr1866.cfm</a>
Civil Rights Act of 1964 (Title VI and Title VII), as amended		Office of Civil Rights at the U.S. Department of Education	Federal	Title VI prohibits discrimination on the basis of race, color or national origin under any program or activity receiving federal financial assistance. Title VII prohibits discrimination in employment on the basis of race, color, religion, sex or national origin. Sexual harassment is also prohibited under this law.	42 U.S.C. § 2000d; 42 U.S.C. § 2000e; 28 C.F.R. § 42.101 et seq.; 34 C.F.R. Part 100; 45 C.F.R. Part 80; 29 C.F.R. Part 1600; 41 C.F.R. § 60-1.1 et seq.	Human Resources Office for Equity & Diversity Institutional Planning, Assessment, & Research Health Sciences HR Academic Affairs HR	<a href="http://counsel.cua.edu/fedlaw/cr1964.cfm">http://counsel.cua.edu/fedlaw/cr1964.cfm</a>
Civil Rights Attorney's Fees Awards Act of 1976		Office of Civil Rights at the U.S. Department of Education	Federal	For actions brought to enforce Title IX, Title VI, and Title VII, as well as for actions brought for Internal Revenue Code violations, the court may award the prevailing party reasonable attorney's fees.	42 U.S.C. § 1988; Public Law 94-559	Office of University Counsel	<a href="https://www.law.cornell.edu/uscode/text/42/1988">https://www.law.cornell.edu/uscode/text/42/1988</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Civil Rights Restoration Act of 1987		Office of Civil Rights at the U.S. Department of Education	Federal	Amended the definition of program or activity to clarify that if any part of the institution, agency, or corporation receives federal financial assistance, then the following listed non-discrimination laws apply to the entire institution, agency, or corporation: Title IX, Title VII, The Age Discrimination Act of 1975, Section 504 of the Rehabilitation Act of 1973, Title VI of the Civil Rights Act of 1964.	20 U.S.C. § 1687; 29 U.S.C. § 794; 42 U.S.C. § 2000d-4a; 42 U.S.C. § 6101	Human Resources Office for Equity & Diversity	<a href="http://counsel.cua.edu/fedlaw/Cr1987.cfm">http://counsel.cua.edu/fedlaw/Cr1987.cfm</a>
Civil Rights Act of 1991 (amends Title VII)		Office of Civil Rights at the U.S. Department of Education	Federal	Prohibits discrimination against someone on the basis of race, color, religion, national origin, or sex. Allows for compensatory and punitive damages and jury trials when intentional employment discrimination can be shown with respect to one of the Title VII protected classes or with respect to protection cap on amounts that can be awarded.	42 U.S.C. § 1981a; 42 U.S.C. § 2000e-2(k) - (n)	Human Resources Office for Equity & Diversity Health Sciences HR Academic Affairs HR	<a href="https://www.eeoc.gov/eeoc/history/35th/1990s/civilrights.html">https://www.eeoc.gov/eeoc/history/35th/1990s/civilrights.html</a>
Pregnancy Discrimination Act of 1978 (amends Title VII)			Federal	Prohibits discrimination on the basis of pregnancy, childbirth, or related illness in employment opportunities, health or disability insurance programs, or sick	42 U.S.C. § 2000e(k); C.F.R. Part 1604.10	29 Human Resources Office for Equity & Diversity Health Sciences HR Academic Affairs HR All Departments	<a href="http://www.eeoc.gov/laws/statutes/pregnancy.cfm">http://www.eeoc.gov/laws/statutes/pregnancy.cfm</a>
Family and Medical Leave Act of 1993 (FMLA), as amended by the 2008 National Defense Authorization Act and the NDAA of 2010	FMLA	Department of Labor, Wage and Hour division	Federal	Provides qualified employees with up to 12 weeks of unpaid leave in any 12-month period for (1) the birth of a child and its care during the first year (2) the adoption of a child or placement in the employee's home of a foster child. (3) the care of the employee's spouse, child or parent with a serious health condition, (4) the serious health condition of the employee.	29 U.S.C. § 2601 et seq.; 29 C.F.R. Part 825.100 et seq.	Human Resources Office for Equity & Diversity Health Sciences HR Academic Affairs HR All Departments	<a href="http://www.dol.gov/whd/fmla">http://www.dol.gov/whd/fmla</a>
Equal Pay Act of 1963 (part of FLSA of 1938)	EPA	Equal Employment Opportunity Commission	Federal	As an amendment of the Fair Labor Standards Act of 1938, prohibits sex-based wage discrimination between men and women in the same establishment who perform jobs that require substantially equal skill, effort and responsibility under similar working conditions.	29 U.S.C. § 206(d); 29 C.F.R. Part 1620.1 et seq.	Human Resources Office for Equity & Diversity Health Sciences HR Academic Affairs HR All Departments	<a href="http://www.dol.gov/oasam/regs/statutes/equal_pay_act.htm">http://www.dol.gov/oasam/regs/statutes/equal_pay_act.htm</a>
Age Discrimination in Employment Act of 1967 (part of the FLSA of 1938)	ADEA	Equal Employment Opportunity Commission, Office of Civil Rights at the Department of Education	Federal	Prohibits employment discrimination based on age with respect to persons who are at least 40 years or age. Law makes it illegal to retaliate against a person because the person complained about discrimination, filed a charge of discrimination, or participated in an employment discrimination investigation or lawsuit.	29 U.S.C. § 621 st seq.; 29 C.F.R. § 1625.1 et seq.	Human Resources Office for Equity & Diversity Health Sciences HR Academic Affairs HR All Departments	<a href="http://www.dol.gov/oasam/regs/statutes/age_act.htm">http://www.dol.gov/oasam/regs/statutes/age_act.htm</a>
Older Workers Benefit Protection Act of 1990 (amends Age Discrimination in Employment Act of 1967)	OWBPA	Equal Employment Opportunity Commission	Federal	Amends the Age Discrimination in Employment Act of 1967 to clarify the protections given to older individuals. Prohibits discriminatory employee benefit plans. Numerous requirements exist for early retirement plans.	29 U.S.C. § 623	Human Resources Office for Equity & Diversity Health Sciences HR Academic Affairs HR Office of University Counsel	<a href="http://www.eeoc.gov/eeoc/history/35th/thelaw/owbpa.html">http://www.eeoc.gov/eeoc/history/35th/thelaw/owbpa.html</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Title IX of Education Amendments of 1972		Office of Civil Rights at the U.S. Department of Education	Federal	Prohibits employment discrimination based on gender by educational institutions that receive federal financial assistance.	20 U.S.C. § 1681-1688; 34 CFR Part 106.1 et seq; 34 C.F.R. Parts 106.51-106.61	Human Resources Health Sciences HR Academic Affairs HR Athletics Office of University Counsel Office for Equity & Diversity	<a href="http://www.dol.gov/oasam/regs/statutes/titleix.htm">http://www.dol.gov/oasam/regs/statutes/titleix.htm</a>
Americans with Disabilities Act of 1990, as amended by the ADA Amendments Act of 2008	ADA	Office of Civil Rights at the U.S. Department of Education	Federal	Title I of the ADA prohibits employment discrimination against a qualified individual with a disability. The law requires that reasonable accommodations be made to allow the employee to perform the essential functions of the job, or to assist the employee in the application process if necessary. The ADA contains strict confidentiality requirements for medical information related to employee's disabilities. Also contains requirements for elimination of physical barriers to access.	Public Law 110-325; 42 U.S.C. § 12101 et seq;; 47 U.S.C. §225, 611; 29 C.F.R. Part 1602.1 et seq.; 29 C.F.R. Part 1630.1 et seq.; 29 C.F.R. Part 1640.1; C.F.R. Part 1641.1	Human Resources Health Sciences HR Academic Affairs HR Athletics Office of University Counsel Office for Equity & Diversity Campus Operations	<a href="https://www.ada.gov/pubs/adastatute08.htm">https://www.ada.gov/pubs/adastatute08.htm</a>
The Veterans Readjustment Benefits Act (amended by the Vietnam Era Veterans Readjustment Assistance Act of 1974 and the Veterans Employment Opportunity Act of 1998)	DVEVRAA	U.S. Department of Labor	Federal	Requires postsecondary institutions with federal contracts of \$100,000 or more to implement an affirmative action program for the following: Disabled Veteran, Qualified Disabled Veteran, Other Protect Veteran, Recently Separated Veteran, and Armed Forces Service Medal Veteran.	38 U.S.C. § 4211 et seq.; C.F.R. Parts 60-250.1 et seq.; C.F.R. Parts 61-250.1 et seq.; C.F.R. § 52.222-35	Human Resources Health Sciences HR Academic Affairs HR Athletics Office of University Counsel Office for Equity & Diversity Campus Operations	<a href="https://www.dol.gov/ofccp/regs/compliance/vevraa.htm">https://www.dol.gov/ofccp/regs/compliance/vevraa.htm</a>
Fair Credit Reporting Act (amended by the Consumer Credit Reporting Reform Act of 1996 and the Fair and Accurate Credit Transactions Act of 2003) "Red Flag Rules"	FCRA fact Act	Federal Trade Commission	Federal	Employers who use credit reports when evaluating applicants or employees for employment, promotion, reassignment, or retention must disclose in writing to the applicant or employee that it may obtain a consumer report for employment purposes. Requires establishment of an Identity Theft Program by financial institutions or creditors. The Program should be designed to detect, prevent, and mitigate identity theft in connection with opening and existing accounts. Requires identification of "red flags" of identity theft.	16 CFR § 681; U.S.C. § 1681 et seq;	Human Resources; Student Accounting; Health Sciences - Patient Accounts/Billing; Administration and Finance	<a href="https://www.ftc.gov/enforcement/rules/rulemaking-regulatory-reform-proceedings/fair-credit-reporting-act">https://www.ftc.gov/enforcement/rules/rulemaking-regulatory-reform-proceedings/fair-credit-reporting-act</a>
Immigration and Nationality Act (as amended by the Immigration Reform and Control Act of 1986)	IRCA	U.S. Citizenship and Immigration Services	Federal	Requires employers to document legal working status of all new hires. Prohibits discrimination because of national origin against U.S. Citizens, U.S. Nationals, and authorized aliens. Prohibits discrimination because of citizenship status against U.S. Citizens, U.S. nationals, and the following classes of aliens with work authorization: permanent residents, temporary residents, refugees, and asylees.	8 U.S.C. § 1101	Human Resources Health Sciences HR Academic Affairs HR Office of Export Controls	<a href="https://www.eeoc.gov/eeoc/history/35th/thelaw/irca.html">https://www.eeoc.gov/eeoc/history/35th/thelaw/irca.html</a>
Occupational Safety and Health Act of 1970	OSHA	U.S. Department of Health and Human Services, U.S. Department of Labor	Federal	The Act is the primary federal law which governs occupational health and safety in the U.S. to ensure that employers provide employees with an environment free from recognized hazards such as exposure to toxic chemicals, excessive noise levels, mechanical dangers, heat or cold stress, or unsanitary conditions. The Act created the <b>Occupational Safety and Health Administration (OSHA)</b> with the authority to set and enforce workplace health and safety standards. Employers with 11 or more employees must post, from Feb. 1 to Apr 30, a summary of the total number of job-related injuries and illnesses that occurred in the prior calendar year. By Dec. 31 of each year, employers must review the OSHA 300 "Log and Summary of Occupational Injuries and Illnesses" to verify entries, create an annual summary of injuries and illnesses, and certify the summary.	29 U.S.C. § 651 et seq.; 29 C.F.R. Part 1903.1 et seq.; 29 CFR 1910.32; Public Law 91-596; 29 U.S.C. § 654; 29 C.F.R. § 1904.32; 29 C.F.R. § 1910	Environmental Health & Safety ECU-P/BSOM	<a href="http://www.dol.gov/compliance/guide/osha.htm">http://www.dol.gov/compliance/guide/osha.htm</a>
Fair Labor Standards Act of 1938	FLSA	U.S. Department of Labor	Federal	Established minimum hourly wage, overtime pay requirements for non- supervisory employees, employer recordkeeping requirements, and child labor standards.	29 U.S.C. § 201 et seq.	Human Resources Health Sciences HR Academic Affairs HR Financial Services All departments	<a href="http://www.dol.gov/whd/flsa">http://www.dol.gov/whd/flsa</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Employee Retirement and Income Security Act of 1974	ERISA	U.S. Department of Labor	Federal	Established standards of conduct, responsibility and obligations for fiduciaries of employee benefit plans, including various health benefits, disability benefits, unemployment compensation benefits, retirement plans, and income deferral programs. ERISA preempts state law relating to pension or welfare benefit plans. Government benefit plans, in contrast, are regulated by state law.	29 U.S.C. § 1001 et seq.; 29 C.F.R. § 2509.75-2 et seq.; 29 C.F.R. Part 2520; 29 C.F.R. § 2530.200A et seq.; 29 C.F.R. § Part 2550	Human Resources - Main Campus and Health Sciences	<a href="https://www.dol.gov/general/topic/health-plans/erisa">https://www.dol.gov/general/topic/health-plans/erisa</a>
Consolidated Omnibus Budget Reconciliation Act (amended by the Health Insurance Portability and Accountability Act of 1996)	COBRA	U.S. Department of Labor	Federal	Requires covered employers (20 or more employees) offering group health plans to provide employees and certain family members the opportunity to continue health coverage under the group health plan a number of instances when coverage would otherwise have lapsed.	29 U.S.C. § 1161 et seq.; 26 U.S.C. § 4980B; 42 U.S.C. § 300-bb-1 et seq.	Human Resources	<a href="https://www.everycrsreport.com/reports/RL31634.html">https://www.everycrsreport.com/reports/RL31634.html</a>
The Health Insurance Portability and Accountability Act of 1996	HIPAA	U.S. Department of Health and Human Services Office for Civil Rights	Federal	Covered entities must use a standard unique health identifier in connection with standard transactions. The Act created national standards to protect individuals' medical records and other personal health information and to give patients more control over their health information. Sets limits on the use and release of health records. Establishes safeguards that providers and health plans must implement to protect the privacy of health information (security of electronic protected health information).	Public Law 104-191; 110 Stat. 1936 (1996); 42 U.S.C. § 300gg; 29 U.S.C. § 1181 et seq.; 42 U.S.C. § 1320d et seq.	Human Resources Student Health Services Division of Health Sciences Office of Institutional Integrity Office ITCS Academic Affairs	<a href="http://www.hhs.gov/ocr/hipaa">http://www.hhs.gov/ocr/hipaa</a>
The Immigration and Nationality Act of 1952 (as amended)	INA	U.S. Department of Labor, U.S. Citizenship & Immigration Services	Federal	As amended, sets forth the laws governing the admission and employment of foreign nationals in the U.S.	8 U.S.C. § 1101 et seq.; Public Law 82-414	Human Resources Payroll Health Sciences HR Academic Affairs HR Global Affairs	<a href="https://www.uscis.gov/laws/immigration-and-nationality-act">https://www.uscis.gov/laws/immigration-and-nationality-act</a>
Mutual Educational and Cultural Exchange Act of 1961			Federal	Regulates foreign exchange students and scholars who are in the U.S. on J visas.	22 U.S.C. § 2451 et seq.; 22 C.F.R. § 62.1 et seq.	Global Affairs Export Contrls Office of	<a href="https://www.law.cornell.edu/topn/mutual_educational_and_cultural_exchange_act_of_1961">https://www.law.cornell.edu/topn/mutual_educational_and_cultural_exchange_act_of_1961</a>
Omnibus Transportation Employee Testing Act of 1991		U.S. Department of Transportation	Federal	Requires mandatory drug and alcohol testing for certain employees hold commercial driver's licenses who operate commercial motor vehicles. Commercial motor vehicle is defined as a motor vehicle used in commerce to transport passengers or property that (1) has a gross vehicle weight rating of at least 26,001 lbs. or less,(2) is designed to transport at least 16 passengers, (3) meets the weight requires and is used to transport material found by the Secretary of Transportation to be hazardous as defined in the code.	49 U.S.C. § 31301; 49 U.S.C. § 31306; 49 C.F.R. Part 382.101 et seq.; 49 C.F.R. 383.5; 61 Fed. Reg. 9546 (Mar. 8, 1996); 61 Fed. Reg. 14677 (Apr. 3, 1996); 65 Fed. Reg. 79462 (Dec. 19, 2000)	Student Transit Human Resources Facilities Services	<a href="https://definitions.uslegal.com/o/omnibus-transportation-employee-testing-act-of-1991/">https://definitions.uslegal.com/o/omnibus-transportation-employee-testing-act-of-1991/</a>
The Personal Responsibility and Work Opportunity Act of 1996	PRWORA	U.S. Department of Health and Human Services	Federal, State	Requires all employers to report all new hires to the state within 20 days of hire. Report is made through the DC Online Reporting System.	42 U.S.C. § 653a; NCGS § 110-129.2	Human Resources	<a href="https://www.congress.gov/104/plaws/publ193/PLAW-104publ193.pdf">https://www.congress.gov/104/plaws/publ193/PLAW-104publ193.pdf</a>
North Carolina Employment Security Act		NC Employment Security Commission	State	Requires employers to make regular payments for unemployment insurance to the NC Employment Security Commission.	NCGS 96-9.2	Human Resources Payroll Accounts Payable	<a href="https://www.ncleg.net/EnactedLegislation/Statutes/PDF/BySection/Chapter_96/GS_96-9.2.pdf">https://www.ncleg.net/EnactedLegislation/Statutes/PDF/BySection/Chapter_96/GS_96-9.2.pdf</a>
Wage and Hour Act		Wage and Hour Bureau, NC Department of Labor	State	Act addresses the public policy of the State for wage levels of employees, hours of labor, payment of earned wages, overtime, youth employment, withholdings, vacation pay, exemptions, and record-keeping	NCGS Chapter 95 Article 2A § 95-25.1 to §95-25.25; Title 13 Chapter 12 § .0100 to § .0800	Payroll All departments	<a href="http://www.nclabor.com/wh/wh.htm">http://www.nclabor.com/wh/wh.htm</a>
Occupational Safety and Health Act of North Carolina	OSHANC	Occupational Safety and Health Division, NC Department of Labor	State	The General Assembly of NC declares it to be its purposed and policy through the exercise of its powers to ensure so far as possible every working man and woman in the State of NC safe and healthful working conditions and to preserve our human resources.	NCGS Chapter 95 Article 2A § 95-126 to §95-155	Environmental Health and Safety	<a href="http://www.osha.gov/dcs/osp/stateprogs/north_carolina.html">http://www.osha.gov/dcs/osp/stateprogs/north_carolina.html</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Workplace Violence Prevention Act		Clerk of Court, Employment Discrimination Bureau of NC DOL	State	This labor law allows a North Carolina employer to file an action for a civil no-contact order as a civil action in district court by an employer on behalf of an employee who has suffered unlawful conduct from any individual that can reasonably be construed to be carried out, or to have been carried out, at the employee's workplace. Only section N.C.G.S. 95-270 is enforceable by the N.C. Department of Labor Employment Discrimination Bureau.	NCGS Chapter 95 Article 23 § 95-260 to § 95-271	Human Resources Office of University Counsel ECU Police Office for Equity & Diversity	<a href="http://www.nclabor.com/osha/etta/A_to_Z_Topics/Workplace_violence.htm">http://www.nclabor.com/osha/etta/A_to_Z_Topics/Workplace_violence.htm</a>
Retaliatory Employment Discrimination Act	REDA	Employment Discrimination Bureau of NC DOL	State	Act prohibits discrimination or retaliatory action against an employee because the employee in good faith does or threatens to file a claim or complaint, initiate an inquiry, investigation, inspection, proceeding or other action, or testify or provide information to any person.	NCGS Chapter 95 Article 21 § 95-240 to § 95-245 Title 13 Chapter 19 13 NCAC 19.0101 NCGS § 50B-5.5	Human Resources Office for Equity & Diversity	<a href="http://www.nclabor.com/edb/reda_hist.htm">http://www.nclabor.com/edb/reda_hist.htm</a>
Uniformed Services Employment and Reemployment Rights Act of 1994	USERRA	U.S. Department of Labor, U.S. Department of Justice	Federal	Prohibits discrimination against persons because of their service in the Armed Forces Reserve, the National Guard, or other uniformed services. USERRA also protects the right of veterans, reservists, National Guard members, and certain other members of the uniformed services to reclaim their civilian employment after being absent due to military service or training.	Public Law 103-353; 38 U.S.C. §4301-4335	Human Resources Health Sciences HR Academic Affairs HR Office for Equity & Diversity	<a href="https://webapps.dol.gov/elaws/vets/userra/userra.asp">https://webapps.dol.gov/elaws/vets/userra/userra.asp</a>
Title II of Genetic Information Nondiscrimination Act of 2008	GINA	Equal Employment Opportunity Commission	Federal	Prohibits discrimination against employees or applicants because of genetic information. Prohibits the use of genetic information in making employment decisions, restricts acquisition of genetic information by employers and other entities, and strictly limits the disclosure of genetic information.	29 C.F.R. Part 1635	Human Resources Office for Equity & Diversity	<a href="http://www.eeoc.gov/laws/types/genetic.cfm">http://www.eeoc.gov/laws/types/genetic.cfm</a>
Equal Employment Opportunity		State Personnel Commission	State	State departments, agencies, universities, local political subdivisions may not discriminate based on race, sex, age 40+, color, national origin, religion or disability as defined in NC GS 168A-3, except where specific age, sex or physical requirement constitute bona fide occupational qualifications	NCGS 126-16; UNC Policy Manual § 103	Human Resources Health Sciences HR Academic Affairs HR Office for Equity & Diversity	<a href="https://www.doc.state.nc.us/eoo/index.htm">https://www.doc.state.nc.us/eoo/index.htm</a>
Prohibit Retaliation by State Departments and Agencies and Local Political Subdivisions		State Personnel Commission	State	State departments, agencies, universities, political subdivisions or their employees may not retaliate against employees protecting alleged violations of NC GS 126-16.	NCGS 126-17	Human Resources Office for Equity & Diversity	<a href="https://www.ncleg.net/EnactedLegislation/Statutes/PDF/BySection/Chapter_126/GS_126-17.pdf">https://www.ncleg.net/EnactedLegislation/Statutes/PDF/BySection/Chapter_126/GS_126-17.pdf</a>
Equal Employment Practice Act		Human Relations Commission in the Department of Administration	State	Employers who regularly employ 15 or more workers must give all persons the right and opportunity to seek, obtain, and hold employment without discrimination or abridgment on account of race, religion color, national origin, age, sex or persons with disabilities.	NCGS 143-422.2	Human Resources Office for Equity & Diversity	<a href="https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByArticle/Chapter_143/Article_49A.html">https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByArticle/Chapter_143/Article_49A.html</a>
Personnel Files not subject to inspection under NCGS § 132-6		State Personnel Commission	State	Except as provided in NCGS §126-23 and §126-24, personnel files of State employees shall not be subject to inspection and examination as authorized by NCGS §132-6.	NCGS §132-6; NCGS §126-22 to §126-24	Human Resources Office of University Counsel All departments	<a href="https://law.onecle.com/north-carolina/126-state-personnel-system-%5bstate-human-resources-system%5d/126-22.html">https://law.onecle.com/north-carolina/126-state-personnel-system-%5bstate-human-resources-system%5d/126-22.html</a>
Job Openings and Labor Turnover Report	JOLT	U.S. Department of Labor, Bureau of Labor Statistics	Federal	A monthly report sent to the U.S. Dept of Labor providing information concerning the Total Employment for the month; Number of Job Openings on the last business day of the month; Hires and Recalls for the entire month; Quits, Layoffs and Discharges, and Other Separations.	29 U.S.C. § 2	Human Resources	<a href="http://www.bls.gov/jlt/jltover.htm">http://www.bls.gov/jlt/jltover.htm</a>
Current Employment Statistics Report	CES	U.S. Department of Labor, Bureau of Labor Statistics	Federal	A monthly report sent to the U.S. Department of Labor providing information concerning Employee Count, Female Employee Count, Faculty Member Count, and coded response to any reason for large changes.	29 U.S.C. § 2	Human Resources	<a href="http://www.bls.gov/ces/cesprog.htm">http://www.bls.gov/ces/cesprog.htm</a>

ECU Office of Internal Audit and Management Advisory Services  
 Regulatory Compliance Universe (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 1 - Equal Employment Opportunity</u> _Equal Employment Opportunity Policy _Equal Employment Opportunity Institute _EEO Program and Plan _Reasonable Accommodation _Unlawful Workplace Harassment _Acquired Immune Deficiency Syndrome (AIDS) in the Workplace	NCGS § 126-4; NCGS § 126-4(5), (10), (11); NCGS § 126-5(c)(1)-(4); NCGS §126-16; NCGS § 126-16.1; NCGS § 126-19; NCGS § 126-36; NCGS 126, Article 6; NCGS §168A-5(b)(3); 25 NCAC 01J.1100;  25 NCAC 01L.0100; 25 NCAC 01L.0300; 25 NCAC 01L.0401; Subchapter L	Human Resources Health Sciences HR Academic Affairs HR Office for Equity & Diversity Disability Support Services	<a href="https://oshr.nc.gov/policies-forms/separation/reduction-in-force-priority">https://oshr.nc.gov/policies-forms/separation/reduction-in-force-priority</a>
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 2 - Workforce Planning, Recruitment and Selection</u> _Immigration/Employment of Foreign Nationals _Reduction-In-Force Priority (for employees notified prior to 7/1/11) _Reduction-In-Force Priority (for employees notified 7/1/11 and after) _Priority Reemployment for Employees Removed for violation of G.S. 126-14.2 _Priority Reemployment for Policy-Making/Confidential & Exempt Managerial Employees _Priority Referral System _Promotional Priority _Recruitment and Posting of Vacancies _Selection of Applicants _Veteran's Preference _Workforce Planning _Recruitment and Selection Plans	NCGS § 126-1.1; NCGS § 126-4(3), (4), (6), (10); NCGS § 126-5; NCGS § 126-5(b), (e), (f), (g); NCGS § 126-7.1; NCGS § 126-14.2; NCGS § 126-14.3; NCGS § 126-14.4; NCGS § 126-14.4(g); NCGS § 126-15; NCGS § 126-15.1; NCGS § 126-30; 25 NCAC 01H.0600; 25 NCAC 01H.0634 - 0640; 25 NCAC 01H.0700; 25 NCAC 01H.0701;	Human Resources Payroll Health Sciences HR Academic Affairs HR	<a href="https://oshr.nc.gov/policies-forms/recruitment-selection-workforce-planning">https://oshr.nc.gov/policies-forms/recruitment-selection-workforce-planning</a>
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 3 - Employment and Records</u> _Types of Appointments - Appointment Types and Career Status _Creditable Service Policy _Dual Employment _Employment Contracts Employment Offers _Interchange of Governmental Employees _Limitation of Political Activity _Personnel Records _Probationary/Trainee/Permanent Appointment and Career Status _Secondary Employment _Teleworking Program Policy _Work Options _Work Schedule	NCGS § 94; NCGS § 96-29; NCGS § 126-4; NCGS § 126-4(5), (6); NCGS § 126-52; NCGS § 126, Article 5; NCGS § 126, Article 7; 2 NCAC 01C.0403, .0404, .0411, .0412 25 NCAC 01C.0215; 25 NCAC 01C.0300; 25 NCAC 01C.0400; 25 NCAC 01C.0700; 25 NCAC 01C.0800; 25 NCAC 01M.0100; S.L 1999-328(Sec.4.8)	Human Resources Health Sciences HR Academic Affairs HR	<a href="https://oshr.nc.gov/policies-forms/employment-records">https://oshr.nc.gov/policies-forms/employment-records</a>
				NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 4 - Salary Administration</u> _General Pay Policies _Career Banding Salary Administration	NCGS § 126-4; NCGS § 126-4(1), (2), (3), (6), (10)); NCGS § 126-7; 25 NCAC 01D.0115; 25 NCAC 01D.0100; 25 NCAC 01D.0200; 25 NCAC 01D.0300;	Payroll Human Resources  Health Sciences - Personnel Admin. Academic Affairs - Personnel Admin.	<a href="https://oshr.nc.gov/policies-forms/salary-administration">https://oshr.nc.gov/policies-forms/salary-administration</a>

ECU Office of Internal Audit and Management Advisory Services  
 Regulatory Compliance Universe (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Personnel Policies		Office of State Personnel	State	Agency Plan Banding Terms , Salary Determination New Hire Reinstatement Reassignment Revision Horizontal Transfer Career Progression Adjustment Adjustment, Transfer Reemployment Priority Management Responsibility Agency Responsibility Office of State Human Resources Responsibilities Resources Omission Responsibilities (This policy no longer supported by Statute or rules)	Career Pay Factors Promotion Band Reallocation Demotion Retention Grade Band Promotional and Effective Date 25 NCAC 01D.0400;		
				_Extended Duty for Medical Personnel _Compensation of Foreign Service Employees _Holiday Premium Pay _Hours of Work and Overtime Compensation _Longevity _On-Call Emergence/Call-Back Pay _Redeployment _Reinstatement _Salary Range Revision _Shift Premium Pay _Sign-On Bonus Policy	25 NCAC 01D.0600; 25 NCAC 01D.0700; 25 NCAC 01D.0800; 25 NCAC 01D.0900; 25 NCAC 01D.0912; 25 NCAC 01D.1000; 25 NCAC 01D.1200; 25 NCAC 01D.1300; 25 NCAC 01D.1400; 25 NCAC 01D.1500; 25 NCAC 01D.1600; 25 NCAC 01D.1800; 25 NCAC 01D.1900; 25 NCAC 01D.2100; 25 NCAC 01D.2500; 25 NCAC 01D.2600; FLSA; S.L. 2008-107, Sec. 26-12B(a)		<a href="https://oshr.nc.gov/policies-forms/salary-administration">https://oshr.nc.gov/policies-forms/salary-administration</a> <a href="https://oshr.nc.gov/policies-forms/salary-administration">https://oshr.nc.gov/policies-forms/salary-administration</a> <a href="https://oshr.nc.gov/policies-forms/salary-administration">https://oshr.nc.gov/policies-forms/salary-administration</a> <a href="https://oshr.nc.gov/policies-forms/salary-administration">https://oshr.nc.gov/policies-forms/salary-administration</a> <a href="https://oshr.nc.gov/policies-forms/salary-administration">https://oshr.nc.gov/policies-forms/salary-administration</a> <a href="https://oshr.nc.gov/policies-forms/benefits-awards">https://oshr.nc.gov/policies-forms/benefits-awards</a>
Personnel Policies		Office of State Personnel	State	governing Personnel issues: <u>Section 5 - Leave</u> _General Leave Policies _Adverse Weather and Emergency Closings _Civil Leave and Job Related Proceedings _Communicable Disease Emergency _Community Service Leave _Compensatory Leave Educational Leave _Family and Medical Leave _Family Illness Leave _Holidays _Incentive Leave _Leave Without Pay _Military Leave _Other Management Approved Leave Sick Leave _Transfer Leave _Vacation Leave Voluntary Shared Leave	NCGS § 126-4(5), (5a), (10); NCGS §127A-116; S.L. 2002-126, Sec. 28.3B; 25 NCAC 01E.0200; 25 NCAC 01E.0300; 25 NCAC 01E.0800; 25 NCAC 01E.0900; 25 NCAC 01E.1001, .1002; 25 NCAC 01E.1004, 1005, 1006; 25 NCAC 01E.1009 - .1011; 25 NCAC 01E.1100; 25 NCAC 01E.1300; 25 NCAC 01E.1400; 25 NCAC 01E.1412; 25 NCAC 01E.1601; 25 NCAC 01E.1801 - .1809; 25 NCAC 01N.0400;	Human Resources Health Sciences HR Academic Affairs HR	



ECU Office of Internal Audit and Management Advisory Services  
Regulatory Compliance Universe (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 6 - Flexible Benefits</u> _Governor's Awards for Excellence _Other Benefits (not administered by OSP) _Rewards and Recognition _Richard Caswell Award _Service Awards Program _Special Leave Awards _State Employee Memorial Program _Unemployment Insurance _Worker's Compensation Administration _Worker's Compensation Leave	NCGS § 96-8(6); NCGS § 97;  NCGS § 125-95; NCGS § 126-4(5), (15); 25 NCAC 01C.0900; 25 NCAC 01D.2000; 25 NCAC 01E.0700	Human Resources Health Sciences HR Academic Affairs HR Environmental Health & Safety	<a href="https://oshr.nc.gov/policies-forms/benefits-awards">https://oshr.nc.gov/policies-forms/benefits-awards</a>
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 7 - Discipline, Appeals and Grievances</u> _Disciplinary Action, Suspension or Dismissal _Employee Appeals or Grievances _Employee Mediation and Grievance Process _Final Administrative Grievance Review by State Personnel Commission _Internal Performance Pay Dispute Resolution Procedure _State Personnel Commission Review of Contested Cases/Remedies _State Personnel Commission contested Case Review Procedure	NCGS § 126-1.1; NCGS § 126-4; NCGS § 126-4(1), (9), (10), (17); NCGS § 126-7.2; NCGS § 126-14.2; NCGS § 126-16; NCGS § 126-25; NCGS § 126-34, 34.1, 34.2; NCGS § 126-35 - 39; NCGS § 150B-23; 25 NCAC 01J.0600;  25 NCAC 01J.0900; 25 NCAC 01J.1200; 25 NCAC 01J.1300; 25 NCAC 01J.1400;	Human Resources Health Sciences HR Academic Affairs HR	<a href="https://oshr.nc.gov/policies-forms/discipline-appeals-grievances">https://oshr.nc.gov/policies-forms/discipline-appeals-grievances</a>
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 8 - Workplace Environment, Health, Wellness and Work/Life</u> _Personal Protective Equipment _ID Badge _State Employees Workplace Requirements Program for Safety and Health _Unlawful Workplace Harassment _Workers' Compensation _Workplace Violence _Acquired Immune Deficiency Syndrome _Communicable Disease Emergency _Worksite Wellness Policy _Wellness Website _Lactation Support _Work/Life Website	NCGS § 95-148; NCGS § 126-4(5), (10);  NCGS § 143-580 through 143-584; Exec. Order No. 6 (1985); 25 NCAC 01N.0100; 25 NCAC 01N.0200; 25 NCAC 01N.0400	Human Resources  Health Sciences HR Academic Affairs HR Office for Equity & Diversity Environmental Health and Safety Campus Recreation & Wellness	<a href="https://oshr.nc.gov/policies-forms/wellness-work-life-balance">https://oshr.nc.gov/policies-forms/wellness-work-life-balance</a>
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 9 - Training</u> _Academic Assistance Program _Mentoring Program _Personnel Development and Training _Certified Public Manager Program	NCGS § 126-4; 25 NCAC 01K.0100; 25 NCAC 01K.0300; 25 NCAC 01K.0700; 25 NCAC 01K.0801 - .0805;	Human Resources Health Sciences HR Academic Affairs HR	<a href="https://oshr.nc.gov/policies-forms/training">https://oshr.nc.gov/policies-forms/training</a>
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 10 - Performance Management</u> _Internal Performance Pay Dispute Resolution Procedure _North Carolina Rating Scale _Performance Management	NCGS § 126-4; NCGS § 126-7; 25 NCAC 01O.0100, .0200	Human Resources Health Sciences HR Academic Affairs HR	<a href="https://oshr.nc.gov/policies-forms/performance-management">https://oshr.nc.gov/policies-forms/performance-management</a>
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 11 - Separation</u> _Reduction-In-Force Guidelines _Reduction-In-force Policy _Types of Separation _Severance Salary Continuation	NCGS § 126-4; NCGS § 126-4(2), (7a); NCGS § 126-8.5; 25 NCAC 01C.1000; 25 NCAC 01C.1004; 25 NCAC 01D.2700	Human Resources Health Sciences HR Academic Affairs HR	<a href="https://oshr.nc.gov/policies-forms/separation">https://oshr.nc.gov/policies-forms/separation</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 12 - Classification</u> _Classification Policy _Technical Adjustments to the Pay Plan	NCGS§ 126-4; 25 NCAC 01F.0100;	Human Resources Health Sciences HR Academic Affairs HR	<a href="https://oshr.nc.gov/policies-forms/classification">https://oshr.nc.gov/policies-forms/classification</a>
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 13 - State Personnel System</u> _Internal Performance Pay Dispute Resolution Procedure _State Personnel Commission _State Personnel System	NCGS § 126-4	Human Resources Health Sciences HR Academic Affairs HR	<a href="https://oshr.nc.gov/policies-forms/state-hr-system">https://oshr.nc.gov/policies-forms/state-hr-system</a>
Personnel Policies		Office of State Personnel	State	NC Statutory Authority and Office of State Personnel Administrative Codes governing Personnel issues: <u>Section 14 - Statutory Provisions</u> _State Personnel Act (G.S. 126) _Title VII of the Civil Rights Act _Federal Hatch of Political Activities _State Employee Workforce Requirements Program for Safety _Employment Preference for Veterans and Their Wives or Widows		Human Resources Health Sciences HR Academic Affairs HR	<a href="https://oshr.nc.gov/policies-forms/statutory-provisions">https://oshr.nc.gov/policies-forms/statutory-provisions</a>
Personnel Policies		UNC System Office UNC Board of Governors	State	Personnel policies that govern employees who are exempt from the State Human Resources Act (EHRA) as laid out in the UNC Policy Manual: Chapter 300 _Senior Academic and Administrative Officers _Employees Exempt from the State Human Resources Act _State Personnel _Improper Relations _Political Activities of Employees Retirement	UNC Policy Manual	Human Resources Division HR Offices	<a href="http://www.northcarolina.edu/apps/policy/index.php?pg=toc&amp;id=232&amp;added=&amp;return_url=%2Fapps%2Fpolicy%2Findex.php%3Fpg%3Dvs%26id%3D269">http://www.northcarolina.edu/apps/policy/index.php?pg=toc&amp;id=232&amp;added=&amp;return_url=%2Fapps%2Fpolicy%2Findex.php%3Fpg%3Dvs%26id%3D269</a>
Patient Protection and Affordable Care Act	PPACA, ACA	Internal Revenue Service	Federal	Title 26, Subtitle D, Chapter 43 requires that any applicable large employer offer its full-time employees and their dependents the opportunity to enroll in minimum essential health coverage under an eligible employer-sponsored plan	26 U.S.C. § 4980H	Human Resources UNC System Office	<a href="https://www.healthcare.gov/glossary/affordable-care-act/">https://www.healthcare.gov/glossary/affordable-care-act/</a>
Rehabilitation Act of 1973 (Sections 503 and 504) - Employees		Office of Civil Rights at the U.S. Department of Education	Federal	Section 503 requires most employers doing business with the federal government to take affirmative action to employ and advance in employment qualified individuals with a disability. Section 504 provides that no person, by reason of disability, shall be excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity receiving federal financial assistance.	29 U.S.C. § 793 et seq.; 34 C.F.R. § 104.1 et seq.; 41 C.F.R. § 60-741.1 et seq.; 29 U.S.C. § 794	Human Resources Office for Equity & Diversity Office of University Counsel Campus Operations	<a href="http://www.askearn.org/topics/laws-regulations/rehabilitation-act/">http://www.askearn.org/topics/laws-regulations/rehabilitation-act/</a>
<b>Environmental</b>							
General Environmental Compliance Information		U.S. Environmental Protection Agency	Federal	Incentives for Self-Policing: Discovery, Disclosure, Correction and Prevention of Violations, commonly referred to as the Audit Policy. Encourages regulated entities to voluntarily discover, promptly disclose and expeditiously correct violations of federal environmental requirements.	65 Fed. Reg. 19,617	Environmental Health & Safety Prospective Health Office of Institutional Integrity Office of Research Integrity and Compliance BSOM Risk Management Enterprise Risk Management	<a href="http://www.epa.gov/compliance/incentives/auditing/auditpolicy.html">http://www.epa.gov/compliance/incentives/auditing/auditpolicy.html</a>
Resource Conservation and Recovery Act of 1976	RCRA	U.S. Environmental Protection Agency	Federal	Regulates the generation, transportation, storage, and disposal of hazardous wastes. Could be criminal penalties for improper disposal of hazardous substances by a student or employee. Annual Hazardous Waste Report due March 1. Quarterly taxes due on 20th of month following end of each calendar quarter. Criminal penalties for improper disposal of hazardous substance by a student or an employee.	42 U.S.C. § 6901 et seq.; Public Law 94-580; 40 C.F.R. Parts 260.1 et seq.; 40 C.F.R. § 148.1 et seq.; 61 Fed. Reg. 15,566 (Apr. 8, 1996) 5 NYCRR 370-374	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="http://www.epa.gov/lawsregs/laws/rcra.html">http://www.epa.gov/lawsregs/laws/rcra.html</a>
Hazardous and Solid Waste			Federal	Underground storage tanks (USTs) and land-based disposal of hazardous	Public Law 98-616;	Environmental Health & Safety	

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Amendments of 1984		U.S. Environmental Protection Agency	Federal	substances are regulated under this law. Requires reporting of installation of tanks, suspected releases, and confirmed releases to authorities. Recordkeeping and insurance required.	40 U.S.C. § 6924 et seq.; 40 C.F.R. § 260.1 et seq.; 40 C.F.R. § 280.10 et seq.	Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="http://www.epa.gov/aboutepa/history/topics/rcra/04.html">http://www.epa.gov/aboutepa/history/topics/rcra/04.html</a>
Comprehensive Environmental Response Compensation and Liability Act of 1980 (amended by the Superfund Amendments and Reauthorization Act)	CERLA, SARA	U.S. Environmental Protection Agency	Federal	Deals with the clean-up of hazardous waste sites. The generator, transporter, and owner are all jointly and severally liable for the clean-up costs. The strict liability policies of CERCLA and SARA make it important for universities to have an environmental assessment done before taking title to property either by purchase or by gift.	Public Law 96-510; Public Law 99499; 42 U.S.C. § 9601	Facilities/Campus Operations Environmental Health & Safety Foundations BSOM Risk Management Enterprise Risk Management	<a href="http://www.epa.gov/lawsregs/laws/cercla.html">http://www.epa.gov/lawsregs/laws/cercla.html</a>
Emergency Planning and Community Right to Know Act	EPCRA	U.S. Environmental Protection Agency	Federal	This law, Title III of Superfund Amendments and Reauthorization Act, requires the disclosure of all toxic chemicals used or stored and also requires emergency planning. National legislation on community safety; law was designed to help local communities protect public health, safety, and the environment from chemical hazards. By March 1 of each year, an emergency hazardous chemical inventory form must be submitted for any facility which is required to prepare or have available a material safety data sheet for a hazardous chemical.	42 U.S.C. § 11001-11050; 40 CFR § 370.1-370.41, § 372.25, § 372.27; 48 C.F.R. § 52.223-13; 40 C.F.R. Part 355; Exec. Order No. 12,969 (60 Fed. Reg. 40,989, Aug. 8, 1995)	Environmental Health & Safety Facilities Services Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="http://www.epa.gov/lawsregs/laws/epcra.html">http://www.epa.gov/lawsregs/laws/epcra.html</a>
Hazardous Materials Transportation Act of 1994, as amended by Sec. 1711 of the Homeland Security Act of 2002	HMTA	U.S. Environmental Protection Agency	Federal	Law regulates the transportation of hazardous material in interstate, intrastate, and foreign commerce. Each institution which transports or causes to be transported hazardous material shall file annually a complete and accurate registration statement on DOT Form F 5800.2 not later than June 30 for each registration year.	49 USC § 5101 et seq.; 49 C.F.R. § 107.601-620; 49 C.F.R. § 172.704; 49 C.F.R. § 172.800, 802, 804	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="https://www.rit.edu/fa/compliance/statutes/hazardousmaterialtransportationact.html">https://www.rit.edu/fa/compliance/statutes/hazardousmaterialtransportationact.html</a>
Toxic Substances Control Act of 1976	TSCA	U.S. Environmental Protection Agency	Federal	Regulates the use and disposal of certain chemicals, including PCBs used in electrical transformers. The Act requires the identification, inventory, marking and quarterly inspection of PCB transformers. A written annual document log of the disposition of polychlorinated biphenyls (PCBs) and PCB items must be kept. A written annual report summarizing the records and annual document must be submitted to the EPA Regional Administrator by July 15 for the previous calendar year.	Public Law 94-469; 15 U.S.C. § 2607; 40 C.F.R. § 761.180	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="http://www.epa.gov/lawsregs/laws/tsc.html">http://www.epa.gov/lawsregs/laws/tsc.html</a>
Public Health Security and Bioterrorism Preparedness Response Act of 2002	PHSBPRA	U.S. Environmental Protection Agency U.S. Department of Health and Human Services, U.S. Department of Agriculture, Food and Drug Administration	Federal	Requires that the U.S. improve its ability to prevent, prepare for, and respond to bioterrorism and other public health emergencies. Facilities that transfer or receive certain biological agents must be registered with HHS/CDC and the USDA/APHIS. Prior to transfer of any covered agent, a CDC Form EA-101 must be completed for each transfer. The transferor must verify that the requester's faculty has a current registration, verify that the intended use of the agent is correctly indicated on CDC Form EA-101, and provide a copy of Form EA-101 to the registering agency. Act authorizes the Secretary of Health and Human Services, acting through the Food and Drug Administration (FDA), to issue regulations to protect the Nation's food and drug supplies against bioterrorism and food-borne illness.	42 U.S.C. § 264; 42 U.S.C. § 262; 42 C.F.R. Part 72; Public Law 107-188; H.R. 3448; 7 C.F.R. § 331	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="https://www.gpo.gov/fdsys/pkg/PLAW-107publ188/pdf/PLAW-107publ188.pdf">https://www.gpo.gov/fdsys/pkg/PLAW-107publ188/pdf/PLAW-107publ188.pdf</a>
Clear Air Act, Clean Air Act Amendment	CAA	U.S. Environmental Protection Agency	Federal	Regulates emissions into the air. HVAC systems must meet federal requirements for minimizing the release of ozone depleting substances. Printing and publication facilities that use solvent-based inks may be subject to federal regulation.	Public Law 95-95; Public Law 101-549; 42 U.S.C. § 7401 et seq.; 40 C.F.R. Part 50.1 et seq.; 48 C.F.R. § 52.223-2; Exec. Order No. 11,738	Environmental Health & Safety Prospective Health Campus Operations	<a href="https://www.epa.gov/laws-regulations/summary-clean-air-act">https://www.epa.gov/laws-regulations/summary-clean-air-act</a>
Clean Water Act and Federal Water Pollution control Amendments of 1972	CWA	U.S. Environmental Protection Agency	Federal	Prohibits the discharge of pollutants into navigable waters and also regulates discharge into storm sewers. Facilities are governed by local wastewater pretreatment standards issued by local wastewater treatment plants.	33 U.S.C. § 1251 et seq.; Public Law 92-500; Public Law 95-217; 40 C.F.R. § 104.1et seq.; 40 C.F.R. § 124.1 et seq.; 40 C.F.R. § 145.1 et seq.; Exec. Order No. 11,738	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="https://www.epa.gov/laws-regulations/summary-clean-water-act">https://www.epa.gov/laws-regulations/summary-clean-water-act</a>
Federal Insecticide, Fungicide and Rodenticide Act	FIFRA	U.S. Environmental Protection Agency	Federal	Provides for federal regulation of pesticide distribution, sale, and use. All pesticides distributed or sold in the U.S. must be registered (licensed) by EPA. The applicant must show, among other things, that using the pesticide according to specifications "will not generally cause unreasonable adverse effects on the environment."	Public Law 92-516; 7 U.S.C. § 136a-1; 40 C.F.R. § 152.1 et seq.	Environmental Health & Safety BSOM Risk Management Enterprise Risk Management Facilities Services Prospective Health	<a href="https://www.epa.gov/laws-regulations/summary-federal-insecticide-fungicide-and-rodenticide-act">https://www.epa.gov/laws-regulations/summary-federal-insecticide-fungicide-and-rodenticide-act</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Energy Reorganization Act of 1974, The Nuclear Regulatory Commission (NRC)	ERA	Nuclear Regulatory Commission	Federal	Governs the handling, storage, and disposal of radioactive materials.	42 U.S.C. § 5801 et seq.; 10 C.F.R. Chp. 1	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="https://www.nrc.gov/about-nrc/governing-laws.html">https://www.nrc.gov/about-nrc/governing-laws.html</a>
Low-Level Radioactive Waste Policy Amendments Act of 1985		Nuclear Regulatory Commission	Federal	Prohibits the disposal of low-level radioactive waste at current land disposal sites unless your state has taken steps to provide disposal of its low-level radioactive waste.	42 U.S.C. § 2021d et seq.	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="https://www.nrc.gov/about-nrc/governing-laws.html#llrwpaa-1985">https://www.nrc.gov/about-nrc/governing-laws.html#llrwpaa-1985</a>
Atomic Energy Act	AEA	U.S. Environmental Protection Agency	Federal	Provides for the development and the regulation of the uses of nuclear materials and facilities in the U.S. Requires that civilian uses of nuclear materials and facilities be licensed, and it empowers the NRC to establish by rule or order, and to enforce, such standards to govern these uses. Any institution that uses radionuclides for research, teaching, or medical applications is subject to this law.	42 U.S.C. § 2011 et seq.; 10 C.F.R. Part 20 et seq.; 10 C.F.R. Part 35	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="https://www.epa.gov/laws-regulations/summary-atomic-energy-act">https://www.epa.gov/laws-regulations/summary-atomic-energy-act</a>
Residential Lead-Based Paint Hazard Reduction Act of 1992		U.S. Department of Housing and Urban Development	Federal	Requires disclosure of any known information concerning lead-based paint or hazards on dwellings built prior to 1978. Dormitory rooms and fraternity/sorority houses are exempt if the units are "0-bedroom dwellings." Married student housing and university-owned apartments typically are not "0-bedroom dwellings." Dormitories are not exempt if they are receiving federal monies as a federally-assisted project.	42 U.S.C. § 4851 et seq.; 24 C.F.R. § 35.80 et seq.; 40 C.F.R. § 745.103 et seq.	Campus Living/Housing Environmental Health & Safety Facilities/Campus Operations	<a href="http://counsel.cua.edu/fedlaw/Lead.cfm">http://counsel.cua.edu/fedlaw/Lead.cfm</a>
Occupational Exposure to Hazardous Chemicals in Laboratories standard		U.S. Department of Labor, Occupational of Health and Safety	Federal	Referred to as the Laboratory standard, covers where chemical manipulation generally involves small amounts of a limited variety of chemicals. Standard applies to all hazardous chemicals meeting the definition of "laboratory use" and having the potential for worker exposure.	29 CFR 1910.1450	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="https://www.labor.nc.gov/safety-and-health/occupational-safety-and-health">https://www.labor.nc.gov/safety-and-health/occupational-safety-and-health</a>
Disclosure of Fire Safety Standards and Measures		U.S. Department of Education	Federal	Institutions participating in a Title IV federal student financial aid program and maintains on-campus student housing facilities must publish and distribute an annual fire safety report, or notice of the report, to all enrolled students and current employees by Oct. 1. Logs, recording all fires in on-campus student housing facilities, must be maintained.	20 U.S.C. § 1092(i);	Environmental Health & Safety Admissions Human Resources Campus Living Campus Operations BSOM Risk Management Enterprise Risk Management	<a href="https://www.law.cornell.edu/cfr/text/34/668.49">https://www.law.cornell.edu/cfr/text/34/668.49</a>
Hazardous Waste Minimization Report		NC Division of Environment and Natural Resources	State	Hazardous waste generators and hazardous waste treatment facilities must submit a written description of programs to minimize or reduce the volume and quantity or toxicity of hazardous waste at the time when fees are due.	NCGS 130A - 294(k)	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="http://portal.ncdenr.org/web/wm/hw">http://portal.ncdenr.org/web/wm/hw</a>
Safety and Health Programs and Committees		Occupational Safety and Health Division, NC Department of Labor	State	Except as provided in subsection (b), each employer with 11 or more employees and an experience rate modifier of 1.5 or greater shall provide for the establishment of safety and health committees and the selection of employee safety and health representatives in accordance with this section.	NCGS Chapter 95 Article 22 § 95-250. to § 95-256	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="https://www.labor.nc.gov/safety-and-health">https://www.labor.nc.gov/safety-and-health</a>
Hazardous Chemicals Right to Know Act		Occupational Safety and Health Division, NC Department of Labor	State	Intended for use by employers, employees, citizens and emergency responders to inform them of their rights and responsibilities regarding hazardous chemical storage.	NCGS Chapter 95 Article 18 § 95-173 to § 95-218	Environmental Health & Safety Prospective Health BSOM Risk Management Enterprise Risk Management	<a href="https://www.labor.nc.gov/safety-and-health/occupational-safety-and-health/occupational-safety-and-health-topic-pages/hazardous-chemicals-right-know-act">https://www.labor.nc.gov/safety-and-health/occupational-safety-and-health/occupational-safety-and-health-topic-pages/hazardous-chemicals-right-know-act</a>
Smoking Prohibited in Public Places and Places of		Department of Health and		Prohibits smoking in state government buildings and state owned motor	NCGS Chapter 130A Article 23 § 130A-491 to § 130A-498; NCGS Article 64 § 143-595 to § 143-	Environmental Health & Safety	<a href="https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByArticle/Chapter_130A/Artic">https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByArticle/Chapter_130A/Artic</a>

ECU Office of Internal Audit and Management Advisory Services  
Regulatory Compliance Universe (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
and Places of Employment		Human Services	State	vehicles.	601	All departments	
Virginia Graeme Baker Pool and Spa Safety Act		Consumer Product Safety Commission	Federal	Specifies that swimming pool and spa drain covers available for purchase in the U.S. must meet specific performance requirements. Effective 1 year after Dec. 19, 2007, each swimming pool or spa drain cover manufactured, distributed, or entered into commerce in the U.S. shall conform to the entrapment protection standards of the ASME/ANSI A112.19.8 performance standard.	15 U.S.C. 8001 et seq.	Environmental Health & Safety Campus Recreation & Wellness Athletics BSOM Risk Management Enterprise Risk Management	<a href="https://www.poolssafely.gov/wp-content/uploads/2016/04/pssa.pdf">https://www.poolssafely.gov/wp-content/uploads/2016/04/pssa.pdf</a>
Occupational Safety and Health Act of 1970	OSHA	U.S. Department of Health and Human Services, U.S. Department of Labor	Federal	The Act is the primary federal law which governs occupational health and safety in the U.S. to ensure that employers provide employees with an environment free from recognized hazards such as exposure to toxic chemicals, excessive noise levels, mechanical dangers, heat or cold stress, or unsanitary conditions. The Act created the Occupational Safety and Health Administration (OSHA) with the authority to set and enforce workplace health and safety standards. Employers with 11 or more employees must post, from Feb. 1 to Apr 30, a summary of the total number of job-related injuries and illnesses that occurred in the prior calendar year. By Dec. 31 of each year, employers must review the OSHA 300 "Log and Summary of Occupational Injuries and Illnesses" to verify entries, create an annual summary of injuries and illnesses, and certify the summary.	29 U.S.C. § 651 et seq.; 29 C.F.R. Part 1903.1 et seq.; 29 CFR 1910.32; Public Law 91-596; 29 U.S.C. § 654; 29 C.F.R. § 1904.32; 29 C.F.R. § 1910	Environmental Health & Safety BSOM Risk Management Enterprise Risk Management Student Health Services ECU-P/BSOM Campus Living/Dining	<a href="http://www.dol.gov/compliance/guide/osha.htm">http://www.dol.gov/compliance/guide/osha.htm</a>
<b>Academic</b>							
North Carolina Higher Education Data Collection Collection	NCHED	University of North Carolina System Office	State	All institutions of higher education in the state of NC, whether public or private, are required to complete surveys annually and submit to this database. Academic Library Survey (Odd Years), New Undergraduate Transfer Students, Student Financial Aid Summary, Student Tuition, Fees & Charges, and Type of Instruction (Supplement 3).		Registrar Institutional Planning, Assessment & Research Financial Services ITCS	<a href="https://nces.ed.gov/pubs92/92022.pdf">https://nces.ed.gov/pubs92/92022.pdf</a>
Higher Education Act of 1965 (HEA), as amended by the Higher Education Opportunity Act of 2008 (HEOA)	HEOA	U.S. Department of Education	Federal	Institutions are required to make information available to students, employees, and others. Institutions are required to submitted information to the USDE and or other agencies. <u>A. Availability of Institutional &amp; Financial Aid Information</u> _Notice of Availability of Institutional & Financial Aid Information _Contact Information for Assistance in Obtaining Institutional or Financial Aid Information <u>B. Student Financial Assistance</u> _Student Financial Aid Information _Notice of Federal Student Financial Aid Penalties for Drug Law Violations <u>C. General Institutional Information</u> _Privacy of Student Records (FERPA) _Consumer Information on College Navigator Website _Facilities & Services Available to Students with Disabilities _Student Body Diversity _Price of Attendance _Net Price Calculator _Refund Policy, Requirements for Withdrawal & for the Return of Title IV, HEA  Financial Aid _Textbook Information _Academic Program _Transfer of Credit Policies & Articulation Agreements _Institutional & Program Accreditation, Approval, or Licensure _Copyright Infringement Policies & Sanctions (Including Computer Use & File Sharing)	20 U.S.C. Chp 28; 20 U.S.C. Chp 31; Public Law 110-315; Public Law 111-39; 34 C.F.R. Chp VI; 34 C.F.R. Parts 86 and 99; HEA § 485 Part G; 20 U.S.C. § 1092(a); 20 U.S.C. § 1094; 34 C.F.R. § 668.41 - .49; 20 U.S.C. § 1001 et seq.; 20 U.S.C. § 1022d; 20 U.S.C. § 1027(f)	Registrar Disability Support Services Financial Aid Student Loans Office ECU Police Human Resources Office of Student Rights & Responsibilities Student Accounting Student Affairs Academic Affairs Institutional Planning, Assessment & Research ITCS College of Education Student Health Services Office of University Counsel Career Services	<a href="https://www2.ed.gov/policy/highered/leg/hea08/index.html">https://www2.ed.gov/policy/highered/leg/hea08/index.html</a>
continued		U.S. Department of Education	Federal	<u>E. Health &amp; Safety</u> _Drug & Alcohol Abuse Prevention Program _Vaccinations Policies _Security Report, Timely Warnings, & Crime Log _Security Report - Missing Person Notification Policy _Fire Safety Report & Fire Log _Information for Crime Victims About Disciplinary Hearings <u>F. Student Outcomes</u> _Retention Rates _Completion/Graduation & Transfer-out Rates _Completion/Graduation & Transfer-out Rates for Students Receiving Athletically Related Student Aid _Placement in Employment	20 U.S.C. Chp 28; 20 U.S.C. Chp 31; Public Law 110-315; Public Law 111-39; 34 C.F.R. Chp VI; 34 C.F.R. Parts 86 and 99; HEA § 485 Part G; 20 U.S.C. § 1092(a); 20 U.S.C. § 1094; 34 C.F.R. § 668.41 - .49; 20 U.S.C. § 1001 et seq.; 20 U.S.C. § 1022d; 20 U.S.C. § 1027(f)	Registrar Disability Support Services Financial Aid Student Loans Office ECU Police Human Resources Office of Student Rights & Responsibilities Student Accounting Student Affairs Academic Affairs Institutional Planning, Assessment & Research	<a href="https://www2.ed.gov/policy/highered/leg/hea08/index.html">https://www2.ed.gov/policy/highered/leg/hea08/index.html</a>

ECU Office of Internal Audit and Management Advisory Services  
 Regulatory Compliance Universe (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
				Job Placement Rates Types of Graduate & Professional Education In Which the Institution's Graduates Enroll <u>G. Intercollegiate Athletic Program Participation Rates &amp; Financial Support Data</u> <u>H. Voter Registration Forms</u> <u>I. Disclosure Requirements Relating to Education Loans</u> State Grant Assistance Student Loan Information Published by Dept of Education National Student Loan Data System Entrance Counseling for Student Borrowers Exit Counseling for Student Borrowers Private Education Loan Disclosures Code of Conduct for Education Loans Preferred Lender Lists Preferred Lender Arrangements		ITCS College of Education Student Health Services Office of University Counsel Career Services	
<b>Privacy/Data Security</b>							
Financial Services Modernization Act of 1999 (the Gramm-Leach-Bliley Act)	GLBA	Federal Trade Commission	Federal	The Act requires financial institutions, including colleges and universities, to develop, implement, and maintain a comprehensive written information security program. Institutions of higher education, while not exempt from the definition of "financial institutions," are generally excluded from the requirement to comply with the requirements of the privacy policy regulations.	Public Law 106 - 102; 113 Stat 1338; 15 U.S.C. § 6801 et seq.; 16 C.F.R. § 313.1 et seq.; 16 C.F.R. § 314.1 et seq.	Data Owners and Stewards Financial Services Enrollment Management Office of University Counsel ITCS security	<a href="https://www.investopedia.com/terms/g/gilba.asp">https://www.investopedia.com/terms/g/gilba.asp</a>
North Carolina Identity Theft Protection Act of 2005		North Carolina Attorney General's Office	State	The Act focuses on protecting financial information and personal information that can be used to gain access to financial information. Agencies of the State shall evaluate and report annually by Jan. 1 to the General Assembly about the agency's efforts to reduce the dissemination of personal identifying information. The evaluation includes the review of public forms, the use of random personal identification numbers, restriction of access to personal identifying information, and reduction of use of personal identifying information when it is not necessary.	NCGS § 75-60; NCGS § 120-270; NCGS § 14-113.20(b)	Data Owners and Stewards Office of University Counsel Registrar Financial Services ITCS Security Financial Aid All divisions & departments	<a href="http://infosecstuff.com/a-business-guide-to-north-carolinas-identity-theft-protection-act/">http://infosecstuff.com/a-business-guide-to-north-carolinas-identity-theft-protection-act/</a>
The Patient Safety and Quality Improvement Act of 2005 Patient Safety Rule	PSQIA	Secretary of Health and Human Services	Federal	Act amends title IX of the Public Health Service Act to provide for the improvement of patient safety and to reduce the incidence of events that adversely affect patient safety. Patient Safety Rule protects identifiable information being used to analyze patient safety events and improve patient safety.	42 U.S.C. Part C § 299b-21 to 299b-26; Public Law 109-41	Health Sciences Student Health Services BSOM Risk Management	<a href="http://www.hhs.gov/ocr/hipaa">http://www.hhs.gov/ocr/hipaa</a>
Food and Drug Administration, Part 11	FDA Part 11	U.S. Department of Health and Human Services, U.S. Food and Drug Administration	Federal	Title 21 CFR Part 11 of the Code of Federal Regulations deals with the Food and Drug Administration (FDA) guidelines for electronic records and electronic signatures. Part 11 defines the criteria under which electronic records and electronic signatures are considered to be trustworthy, reliable and equivalent to paper records. Part 11 requires drug makers, medical device manufacturers, biotech companies, biologics developers, and other FDA-regulated industries, with some specific exceptions, to implement controls, including audits, system validations, audit trails, electronic signatures, and documentation for software and systems involved in processing electronic data. If your protocol is a partnership with a pharmaceutical/biotech company, that organization may take ownership/management/security of the computing devices used at the university. Compliance may only be required if the university's computing devices or storage media are used. There may be requirements for certification that the EHR (Electronic Health Record) application you are using is compliant.	21 C.F.R. Part 11	Office of Research Administration Office of Research Integrity and Compliance ECU-P/BSOM	<a href="https://www.fda.gov/RegulatoryInformation/Guidances/ucm125067.htm">https://www.fda.gov/RegulatoryInformation/Guidances/ucm125067.htm</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Payment Card Industry Data Security Standards	PCI DSS	PCI Security Standards Council	N/A	Guidance for organizations that process, store, or transmit credit card numbers. Includes preventing credit card fraud, hacking and other security issues. Although PCI DSS must be implemented by all entities that process, store or transmit cardholder data, formal validation of PCI DSS compliance is not mandatory for all entities. Currently both Visa and MasterCard require Merchants and Service Providers to be validated according to the PCI DSS. As part of the Statewide Electronic Commerce Program, the NC Office of the State Controller requires all participants in the Master Service Agreement (MSA) to comply with rules pertaining to the PCI DSS.		Financial Services ITCS PCI Compliance Committee Multiple departments	<a href="http://www.pcisecuritystandards.org/">http://www.pcisecuritystandards.org/</a>
Federal Information Security Modernization Act	FISMA	U.S Department of Defense	Federal	Requirements for security controls to be in place when federally regulated information is stored.	44 U.S.C. § 3541 et seq.	ITCS Multiple departments	<a href="https://www.dhs.gov/fisma">https://www.dhs.gov/fisma</a>
Information Technology - Security Technology		NC Office of the State Chief Information Officer	State	Provides best practices recommendations on information security management for use by those responsible for initiating, implementing or maintaining Information Security Management Systems. The Statewide Information Security Manual is the foundation for information technology security in NC. The Manual is based on industry best practices and follows the ISO-27002 for information technology security framework.	18 U.S.C. § 1030; NCGS § 147-33.110 - .113; NCGS § 1-539.2a NCGS § 114-15.1; NCGS § 132-1; NCGS § 14.196; NCGS § 14-196.3; NCGS § 14-277.1; NCGS § 14-453; NCGS § 14-453.2; NCGS§ 14-454; NCGS § 14-455; NCGS § 14-457; NCGS § 14-458	ITCS All departments	<a href="https://www.scio.nc.gov/mission/itPoliciesStandards.aspx">https://www.scio.nc.gov/mission/itPoliciesStandards.aspx</a>
The Family Education Rights and Privacy Act of 1974 (also known as the Buckley Amendment)	FERPA	Family Policy Compliance Office, U.S. Department of Education	Federal	The Act protects the privacy of student education records and applies to all schools that receive funds under an applicable program of the US Dept of Ed. Also known as the Buckley Amendment.	20 U.S.C. §1232g; 34 C.F.R. § 99.1 et seq.	Admissions Chief Information Officer Disability Support Services Office of University Counsel Registrar Student Conflict Financial Aid ITCS Security Alumni Relations Multiple departments	<a href="https://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html">https://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html</a>
European Union General Data Protection Regulation	GDPR	European Data Protection Supervisor	International	The aim of the GDPR is to protect all EU citizens from privacy and data breaches in today's data-driven world. The regulation provides numerous rights to data subjects. The GDPR not only applies to organizations located within the EU but also applies to organizations located outside of the EU if they offer goods or services to, or monitor the behavior of, EU data subjects. It applies to all companies processing and holding the personal data of data subjects residing in the European Union, regardless of the company's location.		Chief Information Officer Chief Information Security Officer ("Data Protection Officer" per GDPR)	<a href="https://eugdpr.org/">https://eugdpr.org/</a>
<b>Harassment</b>							
Civil Rights Act of 1964 (Title VI and Title VII)		Office of Civil Rights at the U.S. Department of Education	Federal	Title VI prohibits discrimination on the basis of race, color or national origin under any program or activity receiving federal financial assistance. Title VII prohibits discrimination in employment on the basis of race, color, religion, sex or national origin. Sexual harassment is also prohibited under this law.	42 U.S.C. 2000d; 42 U.S.C. § 2000e; 28 C.F.R. § 42.101 et seq.; 34 C.F.R. Part 100; 45 C.F.R. Part 80; 29 C.F.R. Part 1600; 41 C.F.R. § 60-1.1 et seq.	Human Resources Health Sciences HR Academic Affairs HR Office for Equity & Diversity Institutional Planning, Assessment & Research	<a href="http://www.dol.gov/oasam/regs/statutes/titlevi.htm">http://www.dol.gov/oasam/regs/statutes/titlevi.htm</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Title IX of the Education Amendments of 1972		U.S. Department of Labor, U.S. Department of Education	Federal	Prohibits gender discrimination in any educational program or activity that receives federal funds. Independent undergraduate programs may be single-sex programs, and an exemption is contained for religiously affiliated colleges if a conflict exists between Title IX and their religious tenets. Sexual harassment of students is also prohibited.	20 U.S.C. § 1681 et seq.; 28 C.F.R. § 42.201 et seq.; 34 C.F.R. § 106.1 et seq.; 45 C.F.R. § 86.1 et seq.	Admissions Enrollment Management Office for Equity & Diversity Athletics Registrar	<a href="http://www.doi.gov/oasam/regs/statutes/titleix.htm">http://www.doi.gov/oasam/regs/statutes/titleix.htm</a>
<b>Immigration</b>							
Employment Based Non-Immigration Classifications		U.S. Citizenship and Immigration Services	Federal	Established worker classifications for academic institutions that sponsor foreign nationals of non-immigrant status.	8 U.S.C. § 1101 et seq.; 20 C.F.R. Part 655; 22 U.S.C. § 2451 et seq.; 22 C.F.R. § 62.1 et seq.	Human Resources Global Affairs Office of Export Controls Payroll	<a href="http://counsel.cua.edu/fedlaw/immClass.cfm">http://counsel.cua.edu/fedlaw/immClass.cfm</a>
Immigration and Nationality Act (non-discrimination provisions) (as amended by the Immigration Reform and Control Act of 1986)	IRCA	U.S. Citizenship and Immigration Services	Federal	Requires employers to document legal working status of all new hires. Prohibits discrimination because of national origin against U.S. Citizens, U.S. Nationals, and authorized aliens. Prohibits discrimination because of citizenship status against U.S. Citizens, U.S. nationals, and the following classes of aliens with work authorization: permanent residents, temporary residents, refugees, and asylees.	8 U.S.C. § 1324b	Human Resources Global Affairs Office of Export Controls Payroll	<a href="https://www.uscis.gov/tools/glossary/immigration-reform-and-control-act-1986-irca">https://www.uscis.gov/tools/glossary/immigration-reform-and-control-act-1986-irca</a>
Immigration and Nationality Act of 1952 (as amended) - employment		U.S. Citizenship and Immigration Services	Federal	As amended, sets forth the laws governing the admission and employment of foreign nationals in the U.S.	8 U.S.C. § 1101 et seq.	Human Resources Global Affairs Office of Export Controls	<a href="https://www.uscis.gov/laws/immigration-and-nationality-act">https://www.uscis.gov/laws/immigration-and-nationality-act</a>
Immigrant Employment Based Classifications		U.S. Citizenship and Immigration Services	Federal	Established 5 employment-based permanent residency classifications, each with specific eligibility criteria and application procedures: Aliens of Extraordinary Ability, Outstanding Professor/Researcher, Labor Certification.	8 U.S.C. § 1101 et seq.; 20 C.F.R. Part 655; 22 U.S.C. § 2451 et seq.; 22 C.F.R. § 62.1 et seq.	Human Resources Global Affairs Office of Export Controls Payroll	<a href="http://counsel.cua.edu/fedlaw/lpr.cfm">http://counsel.cua.edu/fedlaw/lpr.cfm</a>
Exchange Visitor Program (Inviting and Paying International Scholars and Visiting Faculty)		U.S. Citizenship and Immigration Services	Federal	Addresses issues with inviting and paying international scholars and visiting faculty; Honoria, Visa Waiver Program, Tax Issues, Employment Status. All J-1 program sponsors must submit an annual report generated from SEVIS along with a narrative of the year including an evaluation of program effectiveness, reciprocity, cross-cultural activities and new directions for the coming year.	8 U.S.C. § 1101 et seq.; 20 C.F.R. Part 655; 22 U.S.C. § 2451 et seq.; 22 C.F.R. § 62.1 et seq.	Human Resources Global Affairs Office of Export Controls Payroll	<a href="https://www.uscis.gov/working-united-states/students-and-exchange-visitors/exchange-visitors">https://www.uscis.gov/working-united-states/students-and-exchange-visitors/exchange-visitors</a>
Mutual Educational and Cultural Exchange Act of 1961 - Students		Department of State	Federal	Regulates foreign exchange students and scholars with regard to establishing procedures for Exchange Visitor Program sponsors and addresses overall Program administration.	22 U.S.C. § 2451 et seq.; 22 C.F.R. § 62.1 et seq.	Global Affairs Office of Export Controls	<a href="http://uscode.house.gov/view.xhtml?path=/prelim@title22/chapter33&amp;edition=prelim">http://uscode.house.gov/view.xhtml?path=/prelim@title22/chapter33&amp;edition=prelim</a>
Verification of Employment Eligibility		U.S. Citizenship and Immigration Services	Federal	Requires to verify that individuals hired after Nov. 7, 1986 are legally entitled to work in the U.S. Prohibits employers from knowingly hiring undocumented aliens and authorizes fines of up to \$2,000 for each illegal hire.	8 U.S.C. § 1101 et seq.; 8 C.F.R. 274a	Human Resources Payroll	<a href="https://www.uscis.gov/i-9">https://www.uscis.gov/i-9</a>
Illegal Immigration Reform and Immigrant Responsibility Act of 1996	IIRIRA	U.S. Citizenship and Immigration Services, U.S. Immigration and Customs Enforcement (ICE), U.S. Department of Homeland Security	Federal	Federally mandated reporting requirements regarding individual students and scholars - based either on a calendar/semester cycle or if a certain action/condition occurs. Institutions are required to register each SEVIS student (F-1 or J-1) at the beginning of their program and each semester thereafter, as well as every time they change address, major, name, employment type, get suspended, withdraw, transfer out, etc.	Public Law 104-208, § 641; 8 C.F.R. § 214.3	Academic Affairs Human Resources Global Affairs Office of Export Controls Payroll	<a href="http://1visa.state.gov/sponsors/current/sevis/">http://1visa.state.gov/sponsors/current/sevis/</a>
<b>Research and Patents</b>							
The National Science Foundation Act of 1950		National Science Foundation	Federal	Institutions receiving research money from the National Science Foundation (NSF) must maintain and enforce a written conflict of interest policy and take steps to prevent scientific misconduct. An awardee institution must have a policy for investigating and acting on suspected or alleged misconduct. The institution must also set up an Institutional Review Board (IRB) for all research involving human subjects.	42 U.S.C. § 1861 et seq.; 45 C.F.R. § 617.1 et seq. (non-discrimination); 45 C.F.R. § 689.1 et seq. (misconduct); 45 C.F.R. § 690.101 et seq. (protection of human subjects)	UMCIRB Office of Research Integrity and Compliance Office of Institutional Integrity Office of Research Administration	<a href="http://www.nsf.gov/od/ogc/leg.jsp">http://www.nsf.gov/od/ogc/leg.jsp</a>
The Controlled Substances Act of 1970		U.S. Department of Justice, Drug Enforcement Administration	Federal	Use of controlled substances for the purpose of research is, under federal law, subject to extensive licensing, registration, storage, security, use, and disposal requirements. Researchers are also subject to state registration and other regulatory requirements.	21 U.S.C. § 801 et seq.; 21 C.F.R. Part 1304.33	Environmental Health & Safety Office of Research Integrity and Compliance Office of Institutional Integrity Office of Research Administration	<a href="https://www.deadiversion.usdoj.gov/21cfr/21usc/">https://www.deadiversion.usdoj.gov/21cfr/21usc/</a>



**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Cooperative Research and Technology Enhancement Act of 2004	CREATE Act	Department of Commerce	Federal	Amends the Patent Act to provide that sharing of confidential information under a joint research agreement that was in effect on or before the date the claimed invention was made will not be the basis of an obvious determination under patent law. Removes an impediment to patentability of inventions resulting from collaborative research between universities and businesses.	35 U.S.C § 103; Public Law 108-453; 118 Stat. 3596 (2004)	Office of Research Integrity and Compliance Office of Research Administration Office of Technology Transfer	<a href="https://www.uspto.gov/patent/laws-and-regulations/examination-policy/35-usc-103c-amended-cooperative-research-and">https://www.uspto.gov/patent/laws-and-regulations/examination-policy/35-usc-103c-amended-cooperative-research-and</a>
Regulations on Research Misconduct		Office of Research Integrity, U.S. Department of Health and Human Services	Federal	Each institution which receives or applies for a PHS research-related grant or cooperative agreement must have an established administrative policy for responding to allegations of research misconduct. Once established, institutions maintain their assurance by filing the Annual Report on Possible Misconduct (between Jan.1 and Mar. 1 each year), submitting their policy for responding to allegations of research misconduct for review when requested by ORI, revising their policy when requested by ORO to bring the policy into compliance with the PHS regulation, and complying with the PHS regulation. Form PHS-6349 is filed annually to document the policy and findings from the past year.	42 C.F.R. Part 93.302(b); 70 Fed. Reg. 28369 (May 17, 2005)	Office of Research Integrity and Compliance  BSOM Research & Graduate Studies OHRI/UMCIRB Office of Institutional Integrity BSOM Risk Management Enterprise Risk Management Office of University Counsel	<a href="https://ori.hhs.gov/federal-research-misconduct-policy">https://ori.hhs.gov/federal-research-misconduct-policy</a>
The Public Health Security and Bioterrorism Preparedness and Response Act of 2002	PHSBPRA	U.S. Environmental Protection Agency, U.S. Department of Health and Human Services, U.S. Department of Agriculture, Food and Drug Administration	Federal	Requires all colleges and universities that possess select agents, which are certain biological agents and toxins, to register with the Secretary of the U.S. Department of Health and Human Services. Universities must keep comprehensive inventories of select agents. Prompt notification of the release of a select agent outside of the biocontainment area, or theft or loss of a select agent, is required.	HR 3448; Public Law 107-188; 18 U.S.C. 175b	Environmental Health & Safety Office of Research Admin Integrity and Compliance Office of Research Administration Campus Police Office of Institutional Integrity BSOM Risk Management Enterprise Risk Management	<a href="https://www.fda.gov/Food/GuidanceResulation/GuidanceDocumentsRegulatoryInformation">https://www.fda.gov/Food/GuidanceResulation/GuidanceDocumentsRegulatoryInformation</a>
Institutional Review Boards (Federal and International Policies for the Protection of Human Subjects)	IRB	Office for Human Research Protections (OHRP) Food and Drug Administration FDA International Council on Harmonisation Council of the European Union For General Data Protection Regulations (GDPR)	Federal  International  European Nations and their Business Associates	Requires any institution that engages in federally funded research involving human subjects must have an Institutional Review Board (IRB). Any institution engaged in research covered by this law must provide written assurance to each department of agency head that it will comply with the Federal Policy for the Protection of Human Subjects (Common Rule)  Requires any human research that involves drugs, devices, biologics, diagnostic substance, human tissue, human cells and cellular or tissue based products (regardless of funding and regardless of whether the agent is investigational) must be reviewed by a duly constituted institutional review board or ethics committee  Requires application of an international ethical and scientific quality standard for designing, conducting, recording, and reporting trials that involve the participation of human subjects. ICH provides a unified standard for the European Union, Japan, United States as well as Australia, Canada, the Nordic countries and the World Health Organization.  GDPR applies directly to, and will directly regulate, research-based data and the attributable processing of that personal data that have been collected for clinical and other research purposes.	42 USC § 289; 45 CFR § 46.101 et seq.; 21 CFR § Part 11: Electronic Records; 21 CFR § Parts 50 & 56: Protection of Human Subjects and IRB; 21 CFR § Part 54: Financial Disclosure by Clinical Investigators; 21 CFR § Part 164, Subpart E: HIPAA Privacy and Research 21 CFR § Part 312: Investigational New Drug Application; 21 CFR § Part 600: Biological Products; 21 CFR § Part 812: Use of Medical Devices and Products; 21 CFR § Part 1270: Human tissue intended for transplantation; and 21 CFR § Part 1271: Human cells, tissues, and cellular and tissue-based products  Sections adopted by FDA: ICH E6 Good Clinical Practice; and ICH E2A Clinical Safety Data Management; ICH E8 General Consideration for Clinical Trials; Chapter 2, Articles 5-11 Chapter 3, Section 1 (Article 12); Section 2 (Articles 13-15); Section 3, (Articles 16-200); Section 4 (Articles 21, 22); Chapter 4, Section 1, (Article 29); and Section 2 (Article 33)	Office of Research Integrity & Compliance; UMCIRB; Office of Institutional Integrity; Institutional Biosafety Committee; BSOM Risk Management; HIPAA Steering Committee; and Office of Research Administration.	<a href="http://www.hhs.gov/ohrp">http://www.hhs.gov/ohrp</a>  <a href="http://www.fda.gov">http://www.fda.gov</a>  Published in the <i>Federal Register</i> , March 1, 1995 (60FR 11284)  <a href="http://www.eugdpr.org">http://www.eugdpr.org</a>
Federal Policy on Recombinant DNA (NIH Guidelines for Research)		U.S. Department of Health and Human Services, Office of Science Policy -		Any institution that sponsors recombinant DNA research that is covered by the NIH guidelines must make sure that the appropriate level of review occurs by the Institutional Biosafety Committee, and that any require petitions are		Office of Research Integrity and Compliance Office of Research Admin	<a href="http://counsel.cua.edu/fedlaw/Dna.cfm">http://counsel.cua.edu/fedlaw/Dna.cfm</a>

ECU Office of Internal Audit and Management Advisory Services  
Regulatory Compliance Universe (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Involving DNA Molecules)		National Institutes of Health	Federal	submitted to the NIH.	NIH Guidelines	Office of Institutional Integrity	
Animal Welfare Act		Public Health Services, U.S. Department of Agriculture	Federal	Law that governs the treatment of animals used for research; dogs, cats, monkeys, guinea pigs, hamsters, and other warm blooded animals. Institutions are required to use the "8th edition of the Guide for the Care and Use of Laboratory Animals" as a basis for developing and implementing an institutional program for activities involving animals. Each facility that uses or intends to use live animals in research, tests, experiments, or for teaching must submit an annual report by June 20 regarding the appropriate use and care for the animals. (IACUC - Institutional Animal Care and Use committee reporting)	7 U.S.C. § 2131 - 2159;  9 C.F.R. § 2.36;  9 C.F.R. § 2.7; 9 C.F.R. § 2.31	Office of Research Integrity and Compliance Dept of Comparative Medicine  Animal Care & Use  Committee Office of Research Admin	<a href="https://www.nal.usda.gov/awic/animal-welfare-act">https://www.nal.usda.gov/awic/animal-welfare-act</a>
Marine Mammal Act		Department of Commerce, Department of Interior, Marine Mammal Commission, NOAA Fisheries Office of Protected Resources	Federal	Established a Federal responsibility to conserve marine mammals. With specified exceptions, the Act established a moratorium on the taking and importation of marine mammals. Organizations wishing to use marine mammals in research must apply for and receive a permit specifying the number and kind of animals to be used and the period of time for which the permit is requested.	16 U.S.C. § 1361 et seq.; Public Law 92-522 (as amended)	Office of Research Integrity and Compliance Office of Research Administration Institutional Animal Care and Use Committee	<a href="http://www.nmfs.noaa.gov/pr/laws/mmpa/">http://www.nmfs.noaa.gov/pr/laws/mmpa/</a>
Patent and Trademark Law Amendment Act of 1980 (The Bayh- Dole Act)		U.S. Patent and Trademark Office	Federal	Established a uniform policy for the disposition and licensing of rights to patentable inventions discovered in the course of federally-funded research. The Act gives the grantee organization first rights to title of a subject invention stemming from federally-funded research. Provides the legal framework for transfer of university generated, federally-funded inventions to the commercial marketplace.	35 U.S.C. §200-212; 37 C.F.R. Part 401	Office of Technology Transfer Office of Research Integrity and Compliance Office of Research Admin	<a href="https://www.upcounsel.com/bayh-dole-act">https://www.upcounsel.com/bayh-dole-act</a>
Export Administration Act (EAA), the Arms Export Control Act (AECA), the Export Administration Regulations (EAR)	EAA AECA EAR	Department of Energy, National Nuclear Security Administration, Department of Commerce, Bureau of Industry and Security	Federal	These laws must be complied with when non-U.S. persons or foreign nationals are granted access to regulated products or technology by a company or institution of higher education in the U.S. The EAA and EAR control the export of dual-use goods and technology (for both commercial and military purposes). The ACEA controls the export of products and technology with primarily military, intelligence or defense-oriented purposes.	50 U.S.C. § 2401 et seq. (Nuclear Security); 22 U.S.C. § 2751 et seq. (Foreign & National Security Policy); 22 U.S.C § 6701 et seq. (Arms Export Control); 15 C.F.R. 730 et seq. (Export Administration Regulations)	Office of Research Integrity and Compliance Office of Technology Transfer Office of University Counsel Office of Export Controls	<a href="http://counsel.cua.edu/fedlaw/EAA_cfm">http://counsel.cua.edu/fedlaw/EAA_cfm</a>
Foreign Assets Control Regulations	FACR	Office of Foreign Assets Control	Federal	The FACR controls the import and export of goods and services from or to sanctioned countries, individuals, and entities.	31 C.F.R 500 et seq.	Office of Technology Transfer Office of University Counsel Office of Export Controls	<a href="https://www.treasury.gov/about/organizational-structure/offices/Pages/Office-of-Foreign-Assets-Control.aspx">https://www.treasury.gov/about/organizational-structure/offices/Pages/Office-of-Foreign-Assets-Control.aspx</a>
DHS: Security of High Risk Chemical Facilities		U.S. Department of Homeland Security	Federal	Requires DHS to establish risk-based performance standards for security of chemical facilities.	Public Law 109-295; 6 C.F.R. Part 27	Environmental Health & Safety Campus Police BSOM Risk Management Enterprise Risk Management	<a href="https://www.dhs.gov/efats-covered-chemical-facilities">https://www.dhs.gov/efats-covered-chemical-facilities</a>
Education Department General Administrative Regulations	EDGAR		Federal	Established uniform administrative requirements for federal grants and agreements awarded to institutions of higher education, hospitals, and other non-profit organizations.	34 C.F.R. Parts 74-86, 97-99	Office of Sponsored Programs Clinical Trials Office Office of Research Administration	<a href="https://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html">https://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html</a>
Protection of Human Subjects		U.S. Department of Health and Human Services, U.S. Department of Education	Federal	Regulations governing the use of humans in research. Regulations (Common Rule) designed based on established, internationally recognized ethical principles. Regulations classify certain categories of research as exempt. Regulations required that all covered research projects be reviewed and approved by an Institutional Review Board before research takes place.	34 C.F.R. Part 97; 45 C.F.R. Part 46, Parts A,B,C,D	OHRI/UMCIRB Office of Institutional Integrity Office of Research Integrity and Compliance Office of Research Administration	<a href="https://www.hhs.gov/ohrp/regulations-and-policy/regulations/common-rule/index.html">https://www.hhs.gov/ohrp/regulations-and-policy/regulations/common-rule/index.html</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Uniform administrative requirements for awards and subawards		U.S. Department of Health and Human Services	Federal	Established uniform administrative requirements governing all DHHS grants and agreements awarded to institutions of higher education.	45 C.F.R. Part 74	Office of Research Integrity and Compliance Office of Research Admin	<a href="https://www.hhs.gov/opa/grants-and-funding/forms-and-references/index.html">https://www.hhs.gov/opa/grants-and-funding/forms-and-references/index.html</a>
Responsible prospective contractors		Public Health Services, U.S. Department of Health and Human Services	Federal	Promotes objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct, and reporting of research performed under PHS contracts will be free from bias resulting from Investigator financial conflicts of interest. Is applicable to each Institution that submits a proposal, or that receives, Public Health Service (PHS) research funding by means of a contract and, through the implementation of this part by the Institution, to each Investigator who is planning to participate in, or is participating in such research.	45 C.F.R. Part 94 45 C.F.R. Part 50	Office of Research Integrity and Compliance Office of Research Admin	<a href="https://www.law.cornell.edu/cfr/text/45/part-94">https://www.law.cornell.edu/cfr/text/45/part-94</a>
OMB Circular A-21 "Cost Principles for Educational Institutions"		Office of Management and Budget	Federal	Established principles for determining costs applicable to grants, contracts, and other agreements with educational institutions. The principles deal with the subject of cost determination so that the federal government bears its fair share of total cost. Circular A-21 sets forth standards that must be met by the institution to avoid consequences of noncompliance under other statutes and regulations	OMB Circular A-21, Part 220	Office of Research Integrity and Compliance Office of Research Admin	<a href="https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A21/a21_2004.pdf">https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A21/a21_2004.pdf</a>
OMB Circular A-133 "Audits of State, Local Government, and Non-Profit Organizations"		Office of Management and Budget	Federal	Entities that receive federal funds are subject to audit requirements that are commonly referred to as Single Audits. Among other things, the Single Audit Act Amendments of 1996 are intended to promote sound financial management, including effective internal control, with respect to federal awards administered by state and local governments and not-for-profit organizations.	OMB Circular A-133	Office of Research Integrity and Compliance Office of Research Admin	<a href="https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A133/a133_revised_2007.pdf">https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A133/a133_revised_2007.pdf</a>
OMB Circular A-110 "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"		Office of Management and Budget	Federal	Established uniform administrative requirements for federal grants and agreements awarded to institutions of higher education, hospitals, and other non-profit organizations.	OMB Circular A-110, Part 215	Office of Research Integrity and Compliance Office of Research Admin	<a href="https://www.whitehouse.gov/wp-content/uploads/2017/11/Circular-110.pdf">https://www.whitehouse.gov/wp-content/uploads/2017/11/Circular-110.pdf</a>
Federal Food, Drug and Cosmetic Act	FFDCA	Food and Drug Administration	Federal	Law applies to research on any product under its regulatory purview.	Public Law 75-717; 21 U.S.C. § 301 et seq.; 21 C.F.R. § 50.1, §56.101, § 312.1, § 600.3 et seq., § 812.1 et seq.; 61 Fed. Reg. 51,498 (Oct. 2, 1996)	Office of Research Integrity and Compliance Office of Research Admin OHRI/UMCIRB Office of Institutional Integrity IACUC	<a href="https://www.fda.gov/regulatoryinformation/lawsenforcedbyfda/federalfooddrugandcosmeticeact/ffca/default.htm">https://www.fda.gov/regulatoryinformation/lawsenforcedbyfda/federalfooddrugandcosmeticeact/ffca/default.htm</a>
Drug-Free Work Place Act of 1988		U.S. Department of Labor	Federal	Requires institutions that receive grants and certain contracts from any federal agency to certify that it will provide a drug-free work place by complying with the requirements set forth in Section 706(2) of the Act. The employer must establish an ongoing drug-free awareness program.	41 U.S.C. § 701 et seq.; 34 C.F.R. Part 85; 34 C.F.R. § 85.605, § 85.610; 45 C.F.R. § 630.100 et seq.; 48 C.F.R. § 52.223-6; 48 C.F.R. § 23.504; 48 C.F.R. 252.223-7004	Human Resources Office of Research Integrity and Compliance Office of Research Admin Office of Institutional Integrity BSOM Risk Management Enterprise Risk Management	<a href="https://definitions.uslegal.com/d/drug-free-workplace-act-of-1988/">https://definitions.uslegal.com/d/drug-free-workplace-act-of-1988/</a>
Use of drugs, devices, and biological articles in humans for research purposes		Food and Drug Administration	Federal	FDA regulates clinical investigations (research) "that support applications for research or marketing permits for products regulated by the Food and Drug Administration, including foods, dietary supplements that bear a nutrient content claim or a health claim, infant formulas, food and color additives, drugs for human use, medical devices for human use, biological products for human use, and electronic products."	21 C.F.R. Part 50; 21 C.F.R. Part 56; 21 C.F.R. Part 312; 21 C.F.R. Part 812	OHRI/UMCIRB Office of Institutional Integrity Office of Research Integrity and Compliance Office of Research Admin	<a href="https://www.fda.gov/ScienceResearch/SpecialTopics/RunningClinicalTrials/ucm118893.htm">https://www.fda.gov/ScienceResearch/SpecialTopics/RunningClinicalTrials/ucm118893.htm</a>
Higher Education Act of 1965 and Higher Education Amendments of 1998	HEA	U.S. Department of Education	Federal	By January 31 or July 31 of each year, whichever is sooner depending on the time of the gift, a postsecondary institution must file a disclosure report about ownership or control by, or contacts with or gifts from foreign sources. The institution shall file a disclosure report with the U.S. Dept. of Education for gifts and contracts of \$250,000 or more received within a calendar year.	20 U.S.C. § 1011f	Foundations University Advancement Office of Research Admin	<a href="https://www2.ed.gov/policy/highered/leg/hea98/index.html">https://www2.ed.gov/policy/highered/leg/hea98/index.html</a>
<b>Non-Discrimination with Respect to Students</b>							

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Equity in Athletics Disclosure Act of 1994	EADA	U.S. Department of Education	Federal	Each co-educational institutions of higher education that participates in a Title IV programs, and has an intercollegiate athletic programs, must no later than Oct. 15 of each year, make available on request to enrolled students, prospective students, and the public, the report required to be produced under this law. Within 15 days of making the report available, the school must submit the report to the Secretary of Education.	20 U.S.C. § 1092; 34 C.F.R. § 668.41; 34 C.F.R. § 668.47; 60 Fed. Reg. 61,424 (Nov. 29, 1995); 64 Fed. Reg. 43,581 (Aug. 10, 1999); 64 Fed. Reg. 59,090 (Nov. 1, 1999)	Athletics Office for Equity & Diversity Institutional Planning, Assessment & Research	<a href="https://www2.ed.gov/finaid/prof/resources/athletics/eada.html">https://www2.ed.gov/finaid/prof/resources/athletics/eada.html</a>
Age Discrimination Act of 1975		U.S. Department of Labor	Federal	Federal law that "prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance. The [Age Discrimination] Act permits federally assisted programs or activities, and recipients of Federal funds, to continue to use age distinctions and factors other than age that meet the requirements of the Act."	42 U.S.C. § 6101 et seq.; 34 C.F.R. Part 110.1 et seq.; 45 C.F.R. Part 90.1 et seq.; 45 C.F.R. Part 617	Admissions Campus Living Office for Equity & Diversity	<a href="https://www.dol.gov/oasam/regs/statutes/age_act.htm">https://www.dol.gov/oasam/regs/statutes/age_act.htm</a>
Fair Housing Act Amendments of 1988		U.S. Department of Housing and Urban Development	Federal	The 1988 amendments prohibit discrimination in housing based on disability. The Fair Housing Act prohibits discrimination based upon race, color, national origin, religion, sex, familial status or disability.	42 U.S.C. § 3601 et seq.	Campus Living	<a href="https://www.justice.gov/crt/fair-housing-act-2">https://www.justice.gov/crt/fair-housing-act-2</a>
Title VI of the Civil Rights Act of 1964		Office of Civil Rights	Federal	Prohibits discrimination based on race, color or national origin at any program or activity receiving federal financial assistance. Records must be maintained on racial and ethnic composition. Grievance procedures must be adopted and published, and the policy on nondiscrimination must be prominently included in announcement bulletins, catalogs, and application forms.	42 U.S.C. § 2000d; 28 C.F.R. § 42.101 et seq.; 34 C.F.R. Part 100; 45 C.F.R. Part 80	Enrollment Management Office for Equity & Diversity	<a href="http://www.dol.gov/oasam/regs/statutes/titlevi.htm">http://www.dol.gov/oasam/regs/statutes/titlevi.htm</a>
Americans with Disabilities Act of 1990 (as amended by the ADA Amendments Act of 2008) - Students	ADA	Department of Justice Department of Labor Equal Employment Opportunity Commission Office of Civil Rights	Federal	Title III of the ADA prohibits discrimination on the basis of disability by public accommodations and requires places of public accommodations and commercial facilities to be designed, constructed, and altered in compliance with the accessibility standards established by this part and allow a person with a disability to participate fully in the programs and activities of the university.	42 U.S.C. § 12101 et seq.; 28 C.F.R. § 36.101 et seq.; Public Law 110-325	Office for Equity & Diversity Disability Support Services Office of University Counsel Campus Operations	<a href="http://www.ada.gov/pubs/ada.htm">http://www.ada.gov/pubs/ada.htm</a>
Civil Rights Act of 1866		Office of Civil Rights at the U.S. Department of Education; Department of Justice	Federal	A post-Civil War statute, this law guarantee the right to make and enforce contracts regardless of one's race. Courts have read this statute to prohibit employment discrimination based upon race.	42 U.S.C. § 1981	Enrollment Management Human Resources Health Sciences HR Academic Affairs HR	<a href="http://counsel.cua.edu/fedlaw/Cr1866.cfm">http://counsel.cua.edu/fedlaw/Cr1866.cfm</a>
The Rehabilitation Act of 1973 (Section 504)		Office of Civil Rights at the U.S. Department of Education	Federal	Section 504 provides that no person, by reason of disability, shall be excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity receiving federal financial assistance.	29 U.S.C. § 793 et seq.; 34 C.F.R. § 104.1 et seq.; 41 C.F.R. § 60-741.1 et seq.; 29 U.S.C. § 794	Office for Equity & Diversity Disability Support Services Office of University Counsel Campus Operations	<a href="https://www.dol.gov/oasam/regs/statutes/sec504.htm">https://www.dol.gov/oasam/regs/statutes/sec504.htm</a>
Title IX of the Education Amendments of 1972		U.S. Department of Education	Federal	Prohibits gender discrimination in any educational program or activity that receives federal funds. Independent undergraduate programs may be single- sex programs, and an exemption is contained for religiously affiliated colleges if a conflict exists between Title IX and their religious tenets. Sexual harassment of students is also prohibited.	20 U.S.C. § 1681 et seq.; 28 C.F.R. § 42.201 et seq.; 34 C.F.R. § 106.1 et seq.; 45 C.F.R. § 86.1 et seq.	Office for Equity & Diversity Athletics Admissions	<a href="http://www.dol.gov/oasam/regs/statutes/titleix.htm">http://www.dol.gov/oasam/regs/statutes/titleix.htm</a>
<b>Campus Safety and Security</b>							
Campus Security Act of 1990 (The Jeanne Clery Act)		U.S. Department of Education	Federal	The Act requires colleges to report campus crime and statistics and security measures to all students and employees by Oct. 1 of each year. Institutions are required to disclose emergency response policies and evacuation procedures. The annual security report must also be submitted to the Secretary of Education by Oct. 15. Records on crime statistics must be retained for 3 years following the last year the information was included in the annual report.	20 U.S.C. § 1092(a)(1)(O); 20 U.S.C. § 1092(f); 34 C.F.R. § 668.46; 34 C.F.R. § 668.41	Student Affairs Campus Living ECU Police Title IX Coordinator	<a href="https://safecampuses.biz/clery-act/">https://safecampuses.biz/clery-act/</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
The Campus Sexual Assault Victim Bill or Rights (amends the Campus Security Act of 1990)		U.S. Department of Education	Federal	The Act requires each institution of higher education to distribute as part of the Campus Security Report, a statement regarding the campus sexual assault prevention programs, procedures following sex offenses, education programs, possible sanctions imposed, on-campus disciplinary action, notification of counseling, mental health or other student services, change of victim's academic and living situations.	20 U.S.C. § 1092(f)(8); 34 C.F.R. § 668.46(b)(11)	Student Affairs ECU Police	<a href="http://counsel.cua.edu/fedlaw/Csavybr.cfm">http://counsel.cua.edu/fedlaw/Csavybr.cfm</a>
Campus Sex Crimes Prevention Act		U.S. Department of Education	Federal	The Act requires sex offenders, who must register under state law, to provide notice of enrollment or employment at any institution of higher education in that state where the offender resides, as well as notice of each change of enrollment or employment status at the school. School must issue a statement advising the campus community as to where information concerning registered sex offenders can be obtained.	Pub. L. No. 106-386; 42 U.S.C. §14071j; 20 U.S.C. § 1092(f)(1)(I); 20 U.S.C. § 1232g(b)(7)(A)	ECU Police	<a href="http://counsel.cua.edu/FEDLAW/CSCPA.cfm">http://counsel.cua.edu/FEDLAW/CSCPA.cfm</a>
Drug-Free Schools and Communities Act Amendments of 1989 (amends the Higher Education Act)		U.S. Department of Education	Federal	Requires that institutions receiving federal financial assistance to establish drug and alcohol abuse prevention programs for students and employees. Annual distribution to students and employees the institution's standards of conduct with respect to illegal drugs and alcohol, a description of the applicable legal sanctions and health risks; as well as availability of drug and alcohol counseling available to employees and students. Must include a statement on sanctions the institution will impose for violation of the standards of conduct. No mandate of a particular date for distribution , but suggested date of Oct. 1 of each year.	20 U.S.C. § 1011i; 34 CFR §86.100; 55 Fed. Reg. 33,580 (Aug. 16, 1990)	Student Affairs Human Resources Counseling Center Office of Student Rights & Responsibilities	<a href="https://audit.uconn.edu/drug-free-schools-communities-act-amendments-of-1989/#">https://audit.uconn.edu/drug-free-schools-communities-act-amendments-of-1989/#</a>
Missing Student Notification Policy and procedures		U.S. Department of Education	Federal	Any institution participating in a Title IV federal student financial aid program that maintains on campus housing facilities must establish a missing student notification policy and related procedures for those students who live in on- campus housing and who have been missing for 24 hours.	20 U.S.C. § 1092(j)	Campus Living ECU Police Environmental Health & Safety	<a href="https://facilities.med.wustl.edu/security/missing-student-notification-policy-and-procedure/">https://facilities.med.wustl.edu/security/missing-student-notification-policy-and-procedure/</a>
Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001	U.S.A Patriot Act	Financial Crimes Enforcement Network, U.S. Department of the Treasury	Federal	A broad reaching law that amends many areas of U.S. law, with specific focus on enhancing the ability of law enforcement to combat terrorism. Areas of higher education law affected: (1) FERPA - permits educational agencies an institutions to disclose, without the consent or knowledge of the student, personally identifiable information from the student's education records to the Attorney General of the U.S. or his designed, but only in response to an ex parte order in connection with the investigation or prosecution of terrorism crimes. (2) Implementation by the Dept of Justice to fully implement the foreign student visa monitoring program known as SEVIS. (3) Makes it a crime punishable by fine or up to 10 years in prison to knowingly possess a biological agent, toxin, or delivery system of a type or in a quantity not "reasonably justified" by research or other peaceful purposes. (4) Changes made to ECPA - the manner in which government authorities can compel disclosure, and whether or not an organization can make a voluntary disclosure to government authorities.	HR 3162; Public Law 107-56; 115 Stat. 272	ECU Police All departments	<a href="https://t.ojp.gov/PrivacyLiberty/authorities/statutes/1281">https://t.ojp.gov/PrivacyLiberty/authorities/statutes/1281</a>
<b>Miscellaneous Laws Affecting Students</b>							
The Student Right to Know Law and disclosures Required with Respect to Athletically Related Student Aid		U.S. Department of Education	Federal	Law requires an institution that participates in federal student aid programs to disclose graduation rates for the student body. The disclosure date is July 1 following 150% of the normal time for completion/graduation from its programs. Completion of the Graduation Rate Survey (GRS) under IPEDS meets the reporting requirement of the Student Right-to-Know Law.	20 U.S.C. § 1092; 34 CFR § 668.41, § 668.45, § 668.48	Registrar Institutional Planning, Assessment, & Research	<a href="https://www.rit.edu/fa/grms/compliance/statutes/thestudentrighttoknowlaw.html">https://www.rit.edu/fa/grms/compliance/statutes/thestudentrighttoknowlaw.html</a>
Voter Registration Provision in Higher Education Amendments of 1998			Federal	Requires institutions to make a good faith effort to distribute voter registration forms to each student in attendance. This law does not apply in states without a voter registration requirement, or if the voter can register at the time of voting. The institution requests and receives the forms from the state and must make the forms "widely available" to each student enrolled in a degree or certificate program and physically in attendance at the institution.	Public Law 105-244; 112 State 1581 (1998); 20 U.S.C. § 1094(a)(23)(A)	Registrar	<a href="http://counsel.cua.edu/fedlaw/voter.cfm">http://counsel.cua.edu/fedlaw/voter.cfm</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
The Family Education Rights and Privacy Act of 1974 (also known as the Buckley Amendment)	FERPA	U.S. Department of Education	Federal	The Act protects the privacy of student education records and applies to all schools that receive funds under an applicable program of the US Dept of Ed. Also known as the Buckley Amendment. Each institution must annually notify students of their rights under FERPA. Students must be told what information will appear in the university's directory so that the student can place a hold on the release of the information.	20 U.S.C. §1232g; 34 C.F.R. § 99.1 et seq.	Registrar	<a href="https://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html">https://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html</a>
Mutual Educational and Cultural Exchange Act of 1961 - Students		Department of State	Federal	Regulates foreign exchange students and scholars with regard to establishing procedures for Exchange Visitor Program sponsors and addresses overall Program administration.	22 U.S.C. § 2451 et seq.; 22 C.F.R. § 62.1 et seq.	Global Affairs	<a href="http://uscode.house.gov/view.xhtml?path=/prelim@title22/chapter33&amp;edition=prelim">http://uscode.house.gov/view.xhtml?path=/prelim@title22/chapter33&amp;edition=prelim</a>
<b>Employment-related Tax Issues</b>							
Wages		Internal Revenue Service	Federal	Employers must file Form W-2 for wages paid to each employee from whom income, social security or Medicare Taxes were withheld or income tax would have been withheld if the employee had claimed no more than one withholding allowance or had not claimed exemption from withholding on Form W-4. Anyone required to file Form W-2 must file Form W-3 to transmit Copy A of Form W-2. The employer must file these forms with the IRS by Feb. 28, or March 31 if file electronically. Deadline for reporting to employees is Jan. 31.	26 U.S.C. § 3401; 26 CFR § 31.6051-1; 26 C.F.R. § 1.6041-2	Payroll	<a href="https://www.irs.gov/payments">https://www.irs.gov/payments</a>
Withholding		Internal Revenue Service	Federal	Any organization which withholds federal income tax (including backup withholding) from nonpayroll payments must file Form 945, Annual Return of Withheld Federal Income Tax. Deadline for filing is Jan. 31 of the year following the calendar year being reported on.	26 U.S.C. § 3402; 26 C.F.R. § 31.3401; 26 C.F.R. § 31.6011(a)-4	Payroll	<a href="https://www.irs.gov/payments/tax-withholding">https://www.irs.gov/payments/tax-withholding</a>
Withholding		North Carolina Department of Revenue	State	Quarterly reporting is required for NC income tax withholding, showing NC income tax liability minus income tax deposits. North Carolina annual Withholding Reconciliation Form NC-3 must be completed annually. It serves to balance the tax withheld on W-2 and 1099 statements with the amount required to be withheld. Also serves as a transmittal form for the North Carolina copies of Forms W-2 and 1099.	NCGS § 105.163.2; NCGS § 105-163.6	Payroll	<a href="https://www.ncdor.gov/file-pay">https://www.ncdor.gov/file-pay</a>
Independent Contractor		Internal Revenue Service	Federal	Annual reporting is required for payments of \$600 or more made for non- payroll purposes, of \$10 or more made for royalties, made to attorneys not performing services under a contract with the university. Reporting is done on Form 1099-MISC. Deadline for reporting payments to recipients is Jan. 31. Deadline for reporting to the IRS is Feb. 28.	26 U.S.C. § 3401(a); 26 U.S.C. § 3402(a)(1); 26 U.S.C. § 6041; 26 U.S.C. § 6050N	Payroll Accounts Payable	<a href="https://www.irs.gov/businesses/small-businesses-self-employed/independent-contractor-defined">https://www.irs.gov/businesses/small-businesses-self-employed/independent-contractor-defined</a>
Cafeteria Plans		Internal Revenue Service	Federal	A written plan document that allows employees to exclude gross income certain types of employer provided benefits, such as accident and health insurance, group term and life insurance, and dependent care assistance. Nondiscrimination rules apply and an annual return for the plan must be filed.	26 U.S.C. § 125; 26 C.F.R. § 1.125	Human Resources/Benefits	<a href="https://www.irs.gov/government-entities/federal-state-local-governments/faqs-for-government-entities-regarding-cafeteria-plans">https://www.irs.gov/government-entities/federal-state-local-governments/faqs-for-government-entities-regarding-cafeteria-plans</a>
Fringe Benefits		Internal Revenue Service	Federal	Any property or service provided to an employee in addition to or in lieu of regular wages will be a taxable fringe benefit to the employee, unless specifically excluded by statute. Employers must report taxable fringe benefits to employees on Form W-2, and taxable fringe benefits to independent contractors on Form 1099-MISC.	26 U.S.C. § 132; 26 U.S.C. 280F; 26 C.F.R. 1.274-5T; 26 C.F.R. § 1.132	Human Resources/Benefits Payroll Financial Services	<a href="http://www.irs.gov/publications/p15b/ar02.html#en_US_2012_publink1000193630">http://www.irs.gov/publications/p15b/ar02.html#en_US_2012_publink1000193630</a>
Taxpayer Identifying Numbers and Requirements to Furnish to the IRS	TIN	Internal Revenue Service	Federal	If an organization does not have a record of an individual's correct Taxpayer Identification Number (TIN), then it must solicit the TIN on or before Dec. 31.	26 C.F.R. § 301.6109	Payroll Accounts Payable	<a href="https://www.irs.gov/individuals/international-taxpayers/taxpayer-identification-numbers-tin">https://www.irs.gov/individuals/international-taxpayers/taxpayer-identification-numbers-tin</a>
Retirement and Other Deferred Compensation Arrangements		Internal Revenue Service	Federal	Governs qualified pension, profit-sharing, and stock bonus plans, annuities and deferred compensation arrangements (either qualified or non-qualified).	26 U.S.C. § 401; 26 U.S.C. § 403; 26 U.S.C. § 457; 26 U.S.C. § 409A	Human Resources/Benefits	<a href="https://www.irs.gov/retirement-plans/irc-457b-deferred-compensation-plans">https://www.irs.gov/retirement-plans/irc-457b-deferred-compensation-plans</a>
The Social Security Act (The Federal Old Age and Survivors Insurance Trust Fund and Federal Disability and Insurance Trust Fund, and the Federal Insurance Contributions Act (FICA))	FICA	Internal Revenue Service	Federal	Sets forth requirements for eligibility on benefits. FICA defines which employers and employees are subject to taxation and levies the tax. An employer must pay social security taxes on employees but an exemption exists for most students also working for the university.	I.R.C. § 3101 et seq.; 42 U.S.C. § 401 et seq.; 20 C.F.R. § 404.1028(c); 26 C.F.R. § 31.6011(b)-2; 26 C.F.R. § 31.6302.1 et seq.	Payroll	<a href="https://www.ssa.gov/OACT/ProgData/describecoasi.html">https://www.ssa.gov/OACT/ProgData/describecoasi.html</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Federal Unemployment Tax Act	FUTA	Internal Revenue Service	Federal	Sets up a provision for unemployment compensation taxes to be paid through the states. Exempted from coverage are the services of regularly enrolled students who are employed by the institutions they attend, the services of certain students in cooperative work-study programs, and the services of certain student nurse and medical interns.	I.R.C. § 3301 et seq.; 26 C.F.R. § 31.3301-1 et seq.	Payroll	<a href="https://www.irs.gov/individuals/international-taxpayers/federal-unemployment-tax">https://www.irs.gov/individuals/international-taxpayers/federal-unemployment-tax</a>
State Unemployment Tax Act	SUTA	NC Department of Commerce, Division of Employment Security	State	Part of a national system designed to provide temporary economic benefits to eligible workers. All benefits and administrative costs of the unemployment insurance program are paid by employers. The Social Security Act of 1935 and Chapter 96 of the NC General Statutes provide the basic framework for administering the program in NC.	NCGS Article 2 § 96-8	Payroll	<a href="https://www.nolo.com/legal-encyclopedia/how-pay-unemployment-insurance-employees-north-carolina.html">https://www.nolo.com/legal-encyclopedia/how-pay-unemployment-insurance-employees-north-carolina.html</a>
Royalty Payments to Faculty		Internal Revenue Service	Federal	Annual reporting is required for payments of \$600 or more made for non- payroll purposes, of \$10 or more made for royalties, made to attorneys not performing services under a contract with the university. Reporting is done on Form 1099-MISC. Deadline for reporting payments to recipients is Jan. 31. Deadline for reporting to the IRS is Feb. 28.	26 U.S.C. § 6050N; 26 U.S.C. § 1235	Accounts Payable	<a href="https://ualr.edu/financialservices/financial-services/accounts payable/royalty-payments-to-faculty/">https://ualr.edu/financialservices/financial-services/accounts payable/royalty-payments-to-faculty/</a>
<b>Student-related Tax Issues</b>							
Tuition Payment Credit Reporting Requirements		Internal Revenue Service	Federal	Tuition payment information is reported to students on Form 1098-T. Deadline for reporting to students is Jan. 31. Deadline for reporting to the IRS is Feb. 28 for paper filers and Mar. 31 for electronic filers.	26 U.S.C. § 6050S; 26 C.F.R. 1.6050S-1 et seq.; 26 C.F.R. § 1.6050S-2T 26 C.F.R. § 1.6050S-4T;	Student Accounting	<a href="http://www.irs.gov/publications/p970/index.html">http://www.irs.gov/publications/p970/index.html</a>
Student Loan Interest Reporting		Internal Revenue Service	Federal	Lenders, including universities that participate in the Perkins Loan Program or operate institutional loan programs, must report student loan interest payments to the IRS. This is done by filing Form 1098-E; deadline for reporting to payors is Jan. 31. Deadline for reporting to the IRS is Feb. 28 for paper filers and Mar. 31 for electronic filers.	26 U.S.C. § 6050S; 26 CFR § 1.6050S-3; 26 C.F.R. 1.6050S-4T	Student Accounting Financial Aid Office Student Loans Office	<a href="http://www.irs.gov/publications/p970/index.html">http://www.irs.gov/publications/p970/index.html</a>
Scholarships and Fellowships		Internal Revenue Service	Federal	Institutions must determine what its tax reporting and/or tax withholding requirements are with respect to scholarship and fellowship grants. Institutions are not required to withhold income tax or file any information returns when 2 qualifications are met: (1) the recipient of the grant must be a U.S. citizen or a U.S. resident alien for tax purposes, (2) the payments must be a true scholarship or fellowship, and not disguised compensation for services rendered. Otherwise, the institution must file a return of information under IRC § 6041, withhold income taxes using a W-2 form, and report wages to employees under IRC § 6051.	26 U.S.C. § 117; 26 C.F.R. § 1.117; I.R.C. § 6041; I.R.C. § 6051	Payroll Foundations Student Accounting	<a href="http://www.irs.gov/publications/p970/index.html">http://www.irs.gov/publications/p970/index.html</a>
Scholarships and Fellowships Paid to Foreign Students and Scholars		Internal Revenue Service	Federal	The IRC requires a determination as to whether or not a foreign person is a nonresident alien or a resident alien. Resident aliens are subject to the same withholding and filing requirements as U.S. Citizens. Institutions are required to withhold U.S. tax and report to the IRS payments made to nonresident aliens.	26 U.S.C. § 1441; 26 C.F.R. § 1.1441-1	Payroll Foundations Student Accounting	<a href="http://www.irs.gov/publications/p970/index.html">http://www.irs.gov/publications/p970/index.html</a>
<b>Contributions/Donations-related Tax Issues</b>							
Substantiation and Disclosure Provisions		Internal Revenue Service	Federal	IRC requires substantiation and disclosures for contributions made to tax exempt organizations. For charitable contributions of \$250 or more, the donor needs to receive a contemporaneous written acknowledgment from the 501(c)(3) organization of the gift. the acknowledgement should note the amount of any cash contribution and if, the donation is in the form of property, a description is required.	26 U.S.C. § 170; 26 C.F.R. § 1.170a-15-17	Foundations	<a href="https://www.irs.gov/pub/irs-pdf/p1771.pdf">https://www.irs.gov/pub/irs-pdf/p1771.pdf</a>
Quid Pro Quo Rules		Internal Revenue Service	Federal	For quid pro quo contributions, the charity must furnish disclosure statements when the donation is in excess of \$75. This requirement is separate from the written substantiation required for deductibility purposes. Where the organization has provided goods or services to the donor in exchange for making the contribution, the written acknowledgement must include a good faith estimate of the value of such goods or services.	26 U.S.C. § 6115; 26 C.F.R. § 1.6115-1	Foundations	<a href="https://www.irs.gov/charities-non-profits/private-foundations/life-cycle-of-a-private-foundation-quid-pro-quo-contributions">https://www.irs.gov/charities-non-profits/private-foundations/life-cycle-of-a-private-foundation-quid-pro-quo-contributions</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Donee Responsibilities with Respect to Charitable Contributions		Internal Revenue Service	Federal	1) A charitable organization must provide a written disclosure statement to donors of a quid pro quo contribution in excess of \$75. 2) The charitable organization must furnish the disclosure statement in connection with either the solicitation or the receipt of the quid pro quo contribution. 3) Section B of Form 8283 (Appraisal Summary) must be completed for non-cash donations of \$5,000 or more. The donee needs to complete Part IV to indicate its receipt of the donated property as described by the donor in Section B, Part I. The donee also affirms that if it sells, exchanges, or otherwise disposes of the property received in this category within 3 years after the date of receipt, the donee will file Form 8282 with the IRS and give the donor a copy of that form.	26 U.S.C. § 170	Foundations	<a href="https://www.irs.gov/charities-non-profits/substantiating-charitable-contributions">https://www.irs.gov/charities-non-profits/substantiating-charitable-contributions</a>
Intellectual Property Donations: American Jobs Creation Act of 2004		Internal Revenue Service	Federal	Donations of intellectual property can be made to 501(c)(3) organizations. If the charitable organization earns money from the property during a certain time period after the donation, the donor can claim a tax deduction. Does not apply to donations of intellectual property to private foundations operated by colleges and universities.	Public Law 108-357; 26 U.S.C. § 170	Office of Technology Transfer Foundations	<a href="http://compliance.cua.edu/Tax/DirectorPlannedGiving.cfm">http://compliance.cua.edu/Tax/DirectorPlannedGiving.cfm</a>
<b>Miscellaneous Tax Issues</b>							
Legislative and Political Activities		Internal Revenue Service	Federal	A 501(c)(3) organization is prohibited from intervening in political campaigns. This prohibition is absolute. Current tax authority is that it is a risk for a university to endorse any committee or student group that has one of its purposes the support of a particular candidate. This includes granting official status to the group, funneling student fee money to the group, accepting money on behalf of such a group, or allowing the university to in some way function as a conduit for the group.	26 U.S.C. § 501(C)(3); 26 U.S.C. § 501(h); 26 U.S.C. § 4911; 26 C.F.R. § 1.501(c)(3)-1; 26 C.F.R. § 1.501(h)-1 to (h)-3	Foundations	<a href="https://www.irs.gov/charities-non-profits/charitable-organizations/political-and-lobbying-activities-private-foundations">https://www.irs.gov/charities-non-profits/charitable-organizations/political-and-lobbying-activities-private-foundations</a>
Intermediate Sanctions For Excess Benefits		Internal Revenue Service	Federal	The IRS will consider certain factors in determining whether a tax-exempt organization [ 501(c)(3)] retains its status after engaging in repeated "excess benefit transactions." The factors will determine whether the tax-exempt organization serves as a public rather than private entity.	26 U.S.C. § 4958; 26 C.F.R. Part 53; 26 C.F.R. Part 301; 26 C.F.R. Part 602	Financial Services Payroll	<a href="https://www.irs.gov/charities-non-profits/charitable-organizations/intermediate-sanctions-excess-benefit-transactions">https://www.irs.gov/charities-non-profits/charitable-organizations/intermediate-sanctions-excess-benefit-transactions</a>
Tax exempt organizations with gross income from an unrelated trade or business (UBIT)		Internal Revenue Service	Federal	Tax exempt organizations are required to file Form 990-T, Exempt Organization Business Income Tax Return, if they have gross income of \$1,000 or more from an unrelated trade or business.	26 U.S.C. § 6033; 26 C.F.R. § 1.6033-2; 26 U.S.C. § 511(a)(2); 26 C.F.R. § 1.511-1 to 1.513-4	Financial Services	<a href="https://www.irs.gov/charities-non-profits/unrelated-business-income-tax">https://www.irs.gov/charities-non-profits/unrelated-business-income-tax</a>
Tax exempt organizations with gross income from an unrelated trade or business		North Carolina Department of Revenue	State	Annual filing of NC Income Tax Return on Form CD-405 of income or loss from activities performed which are classified as unrelated to exempt purpose of the university. This return is due the 15th day of the 5th month following the close of the reporting year.	NCGS § 105.130.11(b), (c)	Financial Services Foundations	<a href="https://www.ncdor.gov/taxes-forms/corporate-income-and-franchise-tax">https://www.ncdor.gov/taxes-forms/corporate-income-and-franchise-tax</a>
Debt Structure/Unrelated Use of Bond Financed Facilities		Internal Revenue Service	Federal	The IRS will look at the type of bond issued for the university's benefit, and whether the funds are being used for exempt purpose or private activity. The general rule is that if a bond financed facility is used by an exempt organization for purposes not related to its exempt purpose, the use is treated as impermissible private use. If the use were to be found to be a private use, the bonds used to finance the facility might become taxable.	26 U.S.C. § 141 et seq.	Financial Services	<a href="https://www.irs.gov/tax-exempt-bonds/irs-launches-compliance-check-on-governmental-bond-financings">https://www.irs.gov/tax-exempt-bonds/irs-launches-compliance-check-on-governmental-bond-financings</a>
Form 990 and Public Disclosure Requirements		Internal Revenue Service	Federal	Form 990 is an annual information return required to be filed with the IRS by most organizations exempt from income tax under IRC § 501(a). The Taxpayer Bill of Rights requires public disclosure of certain tax documents filed by tax-exempt organizations; (1) copies of the application for tax exemption, (2) copies of the organization's 3 most recent annual information returns.	26 U.S.C. § 6104(d); 26 C.F.R. § 301.6104(a)-1 et seq.; 64 Fed. Reg. 17,279 (Apr. 9, 1999)	Foundations	<a href="https://www.irs.gov/charities-non-profits/charitable-organizations/public-inspection-and-disclosure-of-form-990-t">https://www.irs.gov/charities-non-profits/charitable-organizations/public-inspection-and-disclosure-of-form-990-t</a>
Reporting of Payments Made to Attorneys		Internal Revenue Service	Federal	Requires those who make payments to attorneys aggregating \$600 or more per calendar year in connection with legal services must file an information return for such payments, whether the services were performed for the payor or not. The filer must also provide to the attorney a written statement of the information required to be included on the return.	26 C.F.R. § 1.6045-5; 26 C.F.R. § 1.6041-6; 71 Fed. Reg. 39548 (July 13, 2006)	Financial Services	<a href="https://www.irs.gov/businesses/small-businesses-self-employed/reporting-payments-to-independent-contractors">https://www.irs.gov/businesses/small-businesses-self-employed/reporting-payments-to-independent-contractors</a>



**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Low Income Taxpayer Clinics		Internal Revenue Service	Federal	The IRS Restructuring and Reform Act of 1998 provides matching funds for the development, expansion, or continuation of qualified low-income taxpayer clinics. Educational institutions operate clinical programs through either a law or business school that may qualify as a low income taxpayer clinic. Tax return preparers and the tax-exempt institutions who host LITCS will not be regarded as "tax return preparers", thereby avoiding regulation and potential penalties for acts/omissions under IRC 7701(a).	26 U.S.C. § 7526; 26 U.S.C. § 7701(a)(36); 26 C.F.R. § 301.7701-15	College of Business	<a href="https://www.irs.gov/advocate/low-income-taxpayer-clinics">https://www.irs.gov/advocate/low-income-taxpayer-clinics</a>
Foreign Bank Accounts and Filing Requirements		Internal Revenue Service	Federal	US institutions and citizens that have an ownership interest in foreign bank accounts, or US citizens with signature authority over a foreign bank account have to file form TD F 90.22-1 (FBAR) by June 30 of the year following any year during which they possessed signature or other authority over, or had a financial interest in foreign financial accounts whose value exceeded \$10,000 at any time during the calendar year.	31 U.S.C. § 5314(a); 31 C.F.R. § 1010	Financial Services	<a href="https://www.irs.gov/newsroom/report-of-foreign-bank-and-financial-accounts-fbar-1">https://www.irs.gov/newsroom/report-of-foreign-bank-and-financial-accounts-fbar-1</a>
1099 Reporting Under the Patient Protection and Affordable Care Act		Internal Revenue Service	Federal	Information reporting requirements were expanded beginning with payments made after Dec. 31, 2011. Persons engaged in a trade or business who make payments of at least \$600 per year to another person must file an information return (Form 1099) with the IRS and provide a copy to the payee. Payments to corporations will no longer be automatically exempt from reporting requirements. The types of payments that trigger reporting are expanded to include amounts paid in consideration of property and other gross proceeds.	Public Law 111-148 Sec. 9006	Financial Services	<a href="https://www.irs.gov/affordable-care-act/affordable-care-act-tax-provisions">https://www.irs.gov/affordable-care-act/affordable-care-act-tax-provisions</a>
Filing and Information Returns		Internal Revenue Service	Federal	Form 1042-S is used to report all non-payroll-related payments made to non-resident aliens and payments to nonresident employees who claim exemptions from federal income taxes due to a tax treaty. Form 1042-S is sent to individuals receiving payments. Forms 1042 and 1042-T are sent to the IRS.	26 U.S.C. § 871; 26 C.F.R. § 1.146-1	Financial Services	<a href="https://www.irs.gov/government-entities/federal-state-local-governments/information-returns">https://www.irs.gov/government-entities/federal-state-local-governments/information-returns</a>
Sales and Use Tax Exemption		North Carolina Department of Revenue	State	Form E-585 must be completed for nonprofit and governmental entity claim for refund of state and county sales and use tax.	NCGS Article 5 §105.164.14(b), (c)	Financial Services	<a href="http://www.dornrc.com/downloads/sales.html">http://www.dornrc.com/downloads/sales.html</a>
Monthly Payment of Sales and Use Tax		North Carolina Department of Revenue	State	Monthly payment of Sales and Use tax collected on sales of tangible items to entities not exempt under state statute. Payment is transmitted by the 20th day of the month following the month the tax was collected. Form E-500 must be completed and filed with the NC Dept of Revenue as substantiation of the amount paid.	NCGS § 105-164.16	Financial Services Athletics	<a href="http://www.dornrc.com/downloads/sales.html">http://www.dornrc.com/downloads/sales.html</a>
Tax Withheld on Non-Resident Personal Services Payments		North Carolina Department of Revenue	State	Quarterly payment of 4% taxes withheld on Non-Resident Persona Services payments. Tax of 4% is withheld from personal service payments made to non- North Carolina payees who are not under a statutory exemption. Payment is transmitted by wire transfer to the NCDR by the last day of the first monthly following the end of a quarter. On Jan. 31, an annual reconciliation (Form NC-3) is filed with NCDR along with a listing of all vendors who had tax withheld from their payments the prior calendar year.	NCGS § 105-163.1(2); NCGS § 105-163.3	Financial Services	<a href="http://www.dornrc.com/faq/wh_nonres.html">http://www.dornrc.com/faq/wh_nonres.html</a>
<b>NCAA</b>							

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
National Collegiate Athletic Association		NCAA	N/A	Rules and regulations established to govern intercollegiate athletics participation. The Principle of Institutional Control and Responsibility is the principle on which compliance with all other principles, rules, and regulations depends. This principle defines each school's responsibility to monitor compliance with NCAA rules. _NCAA Academic Progress Rate - annual report _NCAA Certification of Compliance for Institution - annual _NCAA Certification of compliance for Staff Members of Athletics Departments _NCAA Drug Consent Form - annual _NCAA International Student-Athlete Eligibility Form - annual _NCAA Student-Athlete Employment Declaration Form - annual _NCAA Student-Athlete Vehicle Declaration Form - annual _NCAA Squad List - annual _Athletic Directors' Association Disclosure Report _NCAA Officiating, Rules Changes, and Video Certification for Men's and Women's Basketball - annual _Certification of Initial Eligibility - continuous throughout year _Violation Reports - continuous _Drug testing of athletes - continuous _NCAA Equity in Athletics Disclosure - annual _NCAA Financial Report - annual _NCAA Annual Certification/Test to Recruit Off-Campus - annual _NCAA Division I Institutions Sports sponsorship Report - annual _NCAA Graduate Success Rate Report - annual _NCAA Student Assistance Fund Report - annual _NCAA Academic Enhancement Fund Usage Report - annual _NCAA Sports Sponsorship Demographics Report - annual _NCAA Official Visits Records Report - annual _NCAA Midyear Certification - annual	NCAA Division I Manual	Athletics	<a href="http://www.ncaa.org/">http://www.ncaa.org/</a>
<b>Financial Aid</b>							
Program Participation Agreement	PPA	U.S. Department of Education	Federal	A school must first enter into a Program Participation Agreement (PPA) with the Dept. of Education before making any awards of FSA funds. The school's financial aid administrator is responsible for ensuring that eligible students at the school receive Campus-Based and other FSA program funds according to the provisions of the PPA. Federal Perkins Loan and Federal Work-Study programs have specific additional requirements that are part of the PPA.	20 U.S.C. § 1094; 34 C.F.R. § 668.14; 34 C.F.R. § 674.8; 34 C.F.R. § 675.8	Financial Aid Human Resources Registrar	<a href="https://ifap.ed.gov/qadocs/Sampling/BlankPPA.pdf">https://ifap.ed.gov/qadocs/Sampling/BlankPPA.pdf</a>
Fiscal Operations Reports and Applications to Participate	FISAP	U.S. Department of Education	Federal	To apply for and receive funds from the Department of Education for one or more of the Campus-Based programs, a school must submit a FISAP for each award year. FISAP represents fiscal operations and request for future funding for Title IV Federal Campus-Based Funds Report for the three Campus-Based programs: Federal Perkins Loan, Federal Supplemental Educational Opportunity Grant, and Federal Work-Study. Institutions with a PPA under title IV are required to complete an annual FISAP to the Department of Education by September 30 of each year.	34 C.F.R. § 673.3	Financial Aid	<a href="https://ifap.ed.gov/ifap/byAwardYear.jsp?type=fisapformandinst&amp;display=single">https://ifap.ed.gov/ifap/byAwardYear.jsp?type=fisapformandinst&amp;display=single</a>
Campus-Based Recordkeeping		U.S. Department of Education	Federal	A school must keep comprehensive, accurate program and fiscal records related to its use of FSA program funds. Specific records are required to be retained.	34 C.F.R. § 668.24; 34 C.F.R. § 674.19; 34 C.F.R. § 675.19; 34 C.F.R. § 676.19	Financial Aid	<a href="https://ifap.ed.gov/sfahandbooks/attachments/Vol2Ch90809.pdf">https://ifap.ed.gov/sfahandbooks/attachments/Vol2Ch90809.pdf</a>
Higher Education Act of 1965 and Higher Education Amendments of 1998	HEA	U.S. Department of Education	Federal	Law was intended to strengthen the educational resources of our colleges and universities and to provide financial assistance for the students in postsecondary and higher education. It increased federal money given to universities, created scholarships, gave low-interest loans for students, and established a National Teachers Corps. The Act has been reauthorized numerous times. Before each reauthorization, Congress amends additional programs, changes the language and policies of existing programs, or makes other changes.	Public Law 89-329; 20 U.S.C. § 1001 et seq.	Financial Aid	<a href="http://govinfo.library.unt.edu/npr/library/news/100798.html">http://govinfo.library.unt.edu/npr/library/news/100798.html</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
The Integrated Postsecondary Education Data System	IPEDS	National Center for Education Statistics, Institute for Education Sciences, U.S. Department of Education	Federal	IPEDS is the core postsecondary education data collection program for the National Center for Education Statistics. Data collected from primary providers of postsecondary education in the country include enrollments, program completions, graduation rates, faculty, staff, finance, institutional prices, and student financial aid. As part of the program participation agreements signed in connection with financial aid, an institution must complete surveys conducted as a part of the Integrated Postsecondary Education Data System or any other Federal postsecondary institution data collection effort, as designated by the Secretary, in a timely manner and to the satisfaction of the secretary. Filing the required IPEDS forms also fulfills certain reporting requirements under Titles VI and VII and the ADA.	20 U.S.C. § 1094(a)(17); 34 C.F.R. § 100.6; 29 C.F.R. § 1602.48-50	Institutional Planning, Assessment & Research Financial Services	<a href="https://nces.ed.gov/ipeds/">https://nces.ed.gov/ipeds/</a>
Higher Education Opportunity Act of 2008, (General Provisions Relating to Student Assistance Programs: Financial Aid and Institutional Information)	HEOA	U.S. Department of Education	Federal	Act reauthorized the amended version of the Higher Education Act of 1965. Made major changes in student loan discharges for disabled people, included many new reporting requirements for institutions, grant programs for colleges and students, and provisions designed to lower the cost of a college education. Each year institutions must distribute to all enrolled students a notice of the availability of the information it must provide in the following categories: (1) general disclosures for enrolled or prospective students, (2) annual security report and annual fire safety, (3) report on athletic program participation rates and financial support data (Equity in Athletics Data), (4) FERPA information. Information must be provided via US Postal Service, campus mail, or email. Also can be disclosure on the Web.	Public Law 110-315; HEA § 485 Part G; 20 U.S.C. § 1092(a); 20 U.S.C. § 1094; 34 C.F.R. § 668.41 - .49; 20 U.S.C. § 1001 et seq.	Financial Aid Student Accounting Student Affairs Academic Affairs Institutional Planning, Assessment & Research	<a href="https://www2.ed.gov/policy/highered/leg/hea08/index.html">https://www2.ed.gov/policy/highered/leg/hea08/index.html</a>
Veteran's Educational Assistance Act/ Post 9/11 or Forever GI Bill.		U.S. Department of Veterans Affairs	Federal	Created new veterans education benefit for those persons on active duty on or after Sept. 11, 2001 and served 36 months or more. The program allows schools to enter into agreements with Veterans Affairs to share the cost of tuition and fees that exceed the cap, which is the cost of in-state tuition and fees for full time undergraduates at the most expensive public institution in the state where the beneficiary is enrolled.	Public Law 110-252, Chp 33; Post-9/11 GI Bill; Final Rule, 74 Fed. Reg. 14653 (March 31, 2009)	Admissions Registrar Financial Aid Student Accounting	<a href="https://www.govtrack.us/congress/bills/115/hr3218/summary">https://www.govtrack.us/congress/bills/115/hr3218/summary</a>
Veteran's Readmission		U.S. Department of Veterans Affairs	Federal	As part of the Higher Education Opportunity Act of 2008, schools are required to readmit students who left in order to join the military. The student must be readmitted in the same academic status.	HEA Title IV, § 484C	Admissions Registrar Veteran's Affairs Graduate School	<a href="https://www.benefits.va.gov/gibill/">https://www.benefits.va.gov/gibill/</a>
The Military Selective Service Act		National Archives and Records Administration	Federal	Requires every male citizen of the U.S. and all male immigrants residing in the U.S. to register for selective service within 30 days of their 18th birthday. Failure to register will affect eligibility to receive federal financial aid. In order to receive any grant, loan, or work assistance under Title IV of the Higher Education Act of 1965, the student must file a statement of compliance with the registration requirements.	50 U.S.C. Appendix § 453 et seq.; 34 C.F.R. § 668.37	Financial Aid Student Accounting	<a href="http://www.sss.gov/default.htm">http://www.sss.gov/default.htm</a>
Federal Work-Study Program		U.S. Department of Education	Federal	Requirements that universities must follow when participating in the federal grants for work-study programs. Prohibits using the funds for "sectarian" or religious purposes, partisan or nonpartisan political activity, or lobbying at the federal, state, or local level.	42 U.S.C. § 2751-2756b; 34 C.F.R. § 675.1 et seq.	Financial Aid Student Accounting Human Resources	<a href="http://www2.ed.gov/programs/fws/index.html">http://www2.ed.gov/programs/fws/index.html</a>
General Provisions Relating to Student Assistance Programs		U.S. Department of Education	Federal	The institution must publish and make readily available to current and prospective students information on the entire Federal, State, local, private and institutional financial assistance programs available to students who enroll at the institution. Institutional information must also be made available as well. No deadline specifically enumerated, but Sept. 1 is suggested. See extensive list.	20 U.S.C. § 1092; 20 U.S.C. § 1094; 34 C.F.R. § 668.1 et seq.	Financial Aid Student Accounting Registrar Student Health Services	<a href="https://www.federalregister.gov/documents/2017/01/19/2017-00972/student-assistance-general-provisions">https://www.federalregister.gov/documents/2017/01/19/2017-00972/student-assistance-general-provisions</a>
IDEA Grants		U.S. Department of Education, Office of Special Education and Rehabilitative Services	Federal	An institution of higher education that receives IDEA grants must ensure that any scholar who receives a scholarship signs and dates a "repayment" agreement as required in the regulations prior to the initial disbursement of the scholarship funds, including the payment or crediting of tuition. Specific conditions must be met by the grantee.	20 U.S.C. § 1462; 34 C.F.R. § 304.1 et seq.	Financial Aid Student Accounting	<a href="https://sites.ed.gov/idea/">https://sites.ed.gov/idea/</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Electronic Signatures in Global and National Commerce Act		Federal Trade Commission	Federal	Provides that a signature, contract or other record may not be denied legal effect, validity or enforceability solely because it is in electronic form or because an electronic signature was used in its formation. The statute defines electronic signature to include electronic sounds, symbols or processes, attached to or logically associated with something executed and adopted by a person with the intent to sign the record.	Public Law 106-229; 114 Stat. 464	Financial Aid Student Accounting	<a href="http://www.ftc.gov/os/2001/06/esign7.htm">http://www.ftc.gov/os/2001/06/esign7.htm</a>
Service members' Civil Relief Act of 2003	SCRA	U.S. Department of Veterans Affairs	Federal	For higher education institutions, an obligation or liability bearing interest at a rate in excess of 6% per year that is incurred by a service member or the service member and spouse jointly, before the service member enters military service shall not bear interest at a rate in excess of 6% during the period of military service.	50 U.S.C. app. 502 et seq.	Financial Aid Student Accounting	<a href="https://www.benefits.va.gov/HOMELOANS/scra.asp">https://www.benefits.va.gov/HOMELOANS/scra.asp</a>
Financial Services Modernization Act of 1999 (the Gramm-Leach-Bliley Act)		Federal Trade Commission	Federal	Law is applicable to colleges and universities participating in the Perkins Loan Program, an institutionally-based student loan program, or the federal Direct Student Loan Program. The institution is required to provide borrowers with an initial and annual privacy notice that includes school-specific information on disclosure practices. The notices must also explain the right to opt out of disclosures of nonpublic personal information to nonaffiliated third parties, including the methods available to exercise that right.	Public Law 106-102; 15 U.S.C. § 6801 et seq.	Financial Aid Student Accounting Student Loans Office	<a href="http://business.ftc.gov/privacy-and-security/gramm-leach-bliley-act">http://business.ftc.gov/privacy-and-security/gramm-leach-bliley-act</a>
Bankruptcy Reform Act of 1978 and 1990 Amendments		U.S. Department of Education	Federal	Student Loan debt is non-dischargeable in bankruptcy when the loans were obtained from the government or non-profit higher educational institution. There is an exception for undue hardship. Institutions may be affected by automatic stays while the bankruptcy action is proceeding, and this prohibits the withholding of student transcripts to obtain payment.	11 U.S.C. § 101 et seq.; 11 U.S.C. § 523(a)(8); 11 U.S.C. 362(d)(1)	Financial Aid Student Accounting Student Loans Office	<a href="http://studentaid.ed.gov/node/87">http://studentaid.ed.gov/node/87</a>
Wm. D. Ford Federal Direct Loan Program		U.S. Department of Education	Federal	Provides low-interest loans to students. The U.S. Dept. of Education is the sole lender and borrowers repay the Dept. This is the umbrella name for 4 programs: the Federal Direct Stafford/Ford Loan; the Federal Direct Unsubsidized Stafford/Ford Loan; the Federal PLUS Loan; and the Federal Direct Consolidation Loan.	20 U.S.C. § 1087a; 34 C.F.R. § 685.100 et seq.	Financial Aid Student Accounting	<a href="https://www2.ed.gov/programs/wdfdl/index.html">https://www2.ed.gov/programs/wdfdl/index.html</a>
Federal Pell Grant Program	PELL	U.S. Department of Education	Federal	Provides grants to eligible undergraduate students who have not received degrees to help meet the costs of college. Students may not receive Federal Pell Grant funds from more than one school at a time.	20 U.S.C. § 1070a; 34 C.F.R. § 690.1 et seq.	Financial Aid Student Accounting	<a href="http://www2.ed.gov/programs/fpg/index.html">http://www2.ed.gov/programs/fpg/index.html</a>
Federal Supplemental Educational Opportunity Grant	FSEOG	U.S. Department of Education	Federal	Provides supplemental grants to assist students who show exceptional financial need and who have not received first undergraduate degrees. Priority is given to Federal Pell Grant students. Institutional financial aid administrators at participating institutions have substantial flexibility in determining the amount of FSEOG awards to provide students who are enrolled or accepted for enrollment.	20 U.S.C. § 1070b-1070b-3; 34 C.F.R. § 676.1 et seq.	Financial Aid Student Accounting	<a href="http://www2.ed.gov/programs/fseog/index.html">http://www2.ed.gov/programs/fseog/index.html</a>
Federal Perkins Loan Program		U.S. Department of Education	Federal	Provides low-interest rate need based loans to undergraduate and graduate students. The government and participating colleges contribute money to a pool of funds from which the colleges make loans. The institution must maintain specific record retention requirements.	20 U.S.C. § 1087a et seq.; 34 C.F.R. § 673.1 et seq.	Financial Aid Student Accounting	<a href="http://www2.ed.gov/programs/fpl/index.html">http://www2.ed.gov/programs/fpl/index.html</a>
Federal Family Education Loan Program	FFEL	U.S. Department of Education	Federal	This is the umbrella name for 4 loan programs in which money comes from banks rather than the federal government (Federal Stafford Loan, Federal Unsubsidized Stafford Loan, and Federal PLUS Loan Programs)	20 U.S.C. 1071; 34 C.F.R. § 682.100 et seq.	Financial Aid Student Accounting	<a href="http://www2.ed.gov/programs/ffel/index.html">http://www2.ed.gov/programs/ffel/index.html</a>
Federal Stafford Loan		U.S. Department of Education	Federal	Provides low-interest, variable-rate loans made by a lender such as a bank, credit union, savings and loan association and, sometimes a school. Loans are insured by a guaranty agency and reinsured by the federal government. The federal government pays the interest while the student is in school and during certain grace and deferment periods. Both the FFEL and Direct Loan programs consist of what are generally known as Stafford Loans (for students) and PLUS Loans for parents and graduate and professional degree students.	20 U.S.C. § 1071	Financial Aid Student Accounting	<a href="https://studentaid.ed.gov/sa/types/loans/subsidized-unsubsidized">https://studentaid.ed.gov/sa/types/loans/subsidized-unsubsidized</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Federal Unsubsidized Stafford Loan		U.S. Department of Education	Federal	Provides loans to undergraduate and graduate students regardless of financial need. The federal government does not provide interest benefits during in- school, grace or deferment periods. The interest rate is variable, changing annually on July 1, and is the same rate offered under the Federal Stafford Loan.	20 U.S.C. § 1078-8	Financial Aid Student Accounting	<a href="http://studentaid.ed.gov/node/49">http://studentaid.ed.gov/node/49</a>
Federal PLUS Loan Program	PLUS	U.S. Department of Education	Federal	Provides low-interest loans to enable parents with good credit histories to borrow for each child enrolled at least half-time in participating schools. PLUS Loans are available through the Federal Family Education Loan (FFEL) Program and the William D. Ford Federal Direct Loan Program.	20 U.S.C. § 1078-2	Financial Aid Student Accounting	<a href="http://studentaid.ed.gov/types/loans/plus">http://studentaid.ed.gov/types/loans/plus</a>
Fire Safety Standards Disclosure		U.S. Department of Education	Federal	As required by the Higher Education Opportunity Act, any institution participating in a Title IV federal student financial aid program that maintains on-campus housing facilities must track fire safety statistics and report the statistics to the Secretary of Education on an annual basis. The statistics must also be reported on the campus safety site.	20 U.S.C. § 1092(i); 34 C.F.R. § 668.49	Financial Aid Student Accounting ECU Police Environmental Health & Safety	<a href="https://www.usfa.fema.gov/prevention/">https://www.usfa.fema.gov/prevention/</a>
State Student Incentive Grants	SSIG	U.S. Department of Education	Federal	Assists states in providing grants to students attending institutions of higher education, including certain programs of study abroad and grants to students for campus-based community service work study.	20 U.S.C. § 1070c - 1070c-4	Financial Aid Student Accounting	<a href="https://ifap.ed.gov/regcomps/attachments/692.pdf">https://ifap.ed.gov/regcomps/attachments/692.pdf</a>
Health Education Assistance Loan Program	HEAL	U.S. Department of Health & Human Services	Federal	The Health Education Assistance Loan (HEAL) Program facilitates educational loans to graduate students in the health care field. The Secretary of the Department of Education insures the lenders for loss.	42 U.S.C. § 294 et seq.; 42 C.F.R. § 60.1 et seq.	Financial Aid Student Accounting	<a href="https://ifap.ed.gov/HEAL/Info/HEAL.Info.html">https://ifap.ed.gov/HEAL/Info/HEAL.Info.html</a>
Student Loan Default Prevention Initiative Act of 1990			Federal	Renders institutions with high default rates on student loans ineligible to participate in certain student loan programs.	Public Law 101-508; 104 Stat. 1388 (1970); 20 U.S.C. § 1001 et seq.; 34 C.F.R. § 675.1 et seq.; 34 C.F.R. § 676.1 et seq.; 34 C.F.R. § 668.15	Financial Aid Student Accounting	<a href="https://www.law.cornell.edu/topn/student_loan_default_prevention_initiative_act_of_1990">https://www.law.cornell.edu/topn/student_loan_default_prevention_initiative_act_of_1990</a>
Truth in Lending Act		Federal Deposit Insurance Corporation	Federal	Requires disclosures for loans and credit plans, but exempts Perkins Loans and Federal Family Education Loans. Loans made, insured or guaranteed pursuant to programs authorized by Title IV are exempt. If Regulation Z applies to any private education loans made by the school, the school must comply with the disclosure requirements of the law (annual percentage rate and finance charges terms).	15 U.S.C. § 1601 et seq.; 12 C.F.R. § 226.1 et seq.	Financial Aid Student Accounting	<a href="https://www.occ.treas.gov/topics/consumer-protection/truth-in-lending/index-truth-in-lending.html">https://www.occ.treas.gov/topics/consumer-protection/truth-in-lending/index-truth-in-lending.html</a>
Program Integrity Triad		U.S. Department of Education	Federal	Authorized under Title IV, Part H of the Higher Education Act of 1965, as amended. The 3 components of the TRIAD are State Postsecondary Review Agencies (SPREs), Accrediting Agencies, and the U.S. Department of Education. Each of these plays a role in ensuring the integrity of federal student financial Aid programs. The triad is intended to provide balance in assuring the eligibility of institutions for Title IV. The state role is primarily one of consumer protection, while the accrediting agencies are intended to function as a quality assurance mechanism. These two legs of the triad were developed independently of the federal government. The federal government has historically relied on them to avoid generating concerns about federal interference in educational decision-making. ED is responsible for oversight of compliance, the third leg of the triad; that is, protecting the administrative and fiscal integrity of the federal student aid programs.	20 U.S.C. § 1099a	Financial Aid Student Accounting	<a href="https://www2.ed.gov/offices/OPE/PPI/Reauthor/legislation/reaut1.sxs.html">https://www2.ed.gov/offices/OPE/PPI/Reauthor/legislation/reaut1.sxs.html</a>
Veterans' Readjustment Benefits of 1944 (As amended in 2010)	GI Bill	U.S. Department of Defense	Federal	Law applies to educational institutions that accept financial aid for veterans, reservists, service members and other eligible persons. Eligible persons include children and spouses of deceased veterans or disabled veterans. There are reporting requirements and recordkeeping requirements to be met and forwarded to the Secretary of Veterans Affairs.	38 U.S.C. § 3001 et seq.; 38 U.S.C. § 3676; 38 U.S.C. § 3684; 38 C.F.R. § 21.4203; 38 C.F.R. § 21.4209; 38 C.F.R. § 21.7656; 38 C.F.R. § 21.7156; 38 C.F.R. § 21.7807	Registrar Veteran's Affairs Financial Aid Student Accounting	<a href="https://themilitarywallet.com/veterans-benefits-act-of-2010/">https://themilitarywallet.com/veterans-benefits-act-of-2010/</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Missing Student Notification Policy and Procedures		U.S. Department of Education	Federal	Any institution participating in a Title IV federal student financial aid program that maintains on campus housing facilities must establish a missing student notification policy and related procedures for those students who live in campus housing and who have been missing for 24 hours. There are specific policy and procedural requirements.	20 U.S.C. § 1092(j); 34 C.F.R. § 668.46(h)	Financial Aid ECU Police Environmental Health & Safety Student Accounting	<a href="https://ifap.ed.gov/fsahandbook/attachments/1314FSAHbkVol2Ch8.pdf">https://ifap.ed.gov/fsahandbook/attachments/1314FSAHbkVol2Ch8.pdf</a>
<b>Financial</b>							
Uniform North Carolina Accounting System		North Carolina Office of the State	State	The accounting procedures, policies, subsidiary accounts, records, and data in each agency's	NCGS § 143B-426.39	Financial Services	<a href="http://www.ncosc.net/sigdocs/sig_docs/index.html">http://www.ncosc.net/sigdocs/sig_docs/index.html</a>
State Financial Reporting		North Carolina Office of the State Controller	State	Agencies and component units that interface to NCAS will report for 12 accounting periods on the budgetary (i.e. cash) basis; 12 months of the fiscal year. The NCAS GL also has 13th and 14th accounting periods available for posting. Agencies and interface component units must develop adequate documentation to support their 13th period entries in order to provide a clear audit trail back to the agency files. The 14th period is for specialized life-to-date reporting situations used primarily in grant accounting.	NCGS § 143B-426.39	Financial Services	<a href="http://www.ncosc.net/sigdocs/sig_docs/index.html">http://www.ncosc.net/sigdocs/sig_docs/index.html</a>
Enhancing Accountability in Government through Leadership and Education	EAGLE	North Carolina Office of the State Controller	State	Program established to provide adequate internal controls and increase fiscal accountability within state government . Each agency is required to perform an annual assessment of internal control over financial reporting and compliance.	NCGS § 143D	UNC System is currently exempt	<a href="http://www.ncosc.net/eagle/index.html">http://www.ncosc.net/eagle/index.html</a>
Accounts Receivable		North Carolina Office of the State Controller	State	Agencies and institutions are responsible for: _Developing systems that are adequate to properly account for and report their receivables _Reporting to the OSC the required data from its receivable systems that satisfy the State's reporting requirements, including the type receivables, their age, collection statutes, collection	NCGS § 147-86.20 through .27	Financial Services Clinical Financial Services Multiple departments Health Sciences	<a href="http://www.ncosc.net/programs/accounts_receivable.html">http://www.ncosc.net/programs/accounts_receivable.html</a>
Cash Management		North Carolina Office of the State Controller	State	All agencies and institutions of the State shall devise techniques and procedures for the receipt, deposit, and disbursement of moneys coming into their control and custody which are designed to maximize interest-bearing investment of cash and to minimize idle and nonproductive cash balances. Each agency or institution must identify an individual who will have cash management responsibility. Plans must be submitted to OSC for approval.	NCGS § 147-86.10 through .14; NCGS § 25-3-506	Financial Services University Cashier	<a href="http://www.ncosc.net/programs/cash_management.html">http://www.ncosc.net/programs/cash_management.html</a>
Uniform Prudent Management of Institutional Funds Act	UPMIFA	North Carolina Office of the State Controller	State	Governs the management and spending of endowment funds.	1985, c. 98, s. 1; 2009-8, s. 2.	Financial Services	<a href="https://www.ncleg.net/EnactedLegislation/Statutes/PDF/ByChapter/Chapter_36E.pdf">https://www.ncleg.net/EnactedLegislation/Statutes/PDF/ByChapter/Chapter_36E.pdf</a>
Statewide Electronic Commerce Program		North Carolina Office of the State Controller	State	All entities subject to the State's Cash Management Law and all entities that participate in one or both of the Master Services Agreements (EFT and Merchant Cards) are subject to the policies. Specifically: _Maximization of Electronic Payment Methods		Financial Services University Cashier	<a href="http://www.ncosc.net/SECP/index.html">http://www.ncosc.net/SECP/index.html</a>
<b>Other Regulations</b>							

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
False Claims Act		Department of Justice	Federal	Imposes liability on person and companies who defraud governmental programs. Includes a "qui tam" provision that allows for whistleblowing and potential recovery of damages.	31 U.S.C. § 3729 - 3733	Patient Billing Office of Institutional Integrity University Counsel	<a href="https://www.law.cornell.edu/uscode/text/31/3729">https://www.law.cornell.edu/uscode/text/31/3729</a>
NC False Claims Act	NC FCA	NC Attorney General	State	Act deters and punishes persons who make false or fraudulent claims for payment by the State and provides remedies in the form of treble damages and civil penalties when money is obtained from the State by reason of such claims. Act allows whistleblowers to bring suit in the	NCGS Article 51 § 1-605 to 1-618; State Law 2009-554	Patient Billing Office of Institutional Integrity University Counsel	<a href="https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByArticle/Chapter_1/Article_51.html">https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByArticle/Chapter_1/Article_51.html</a>
Protection for Reporting Improper Government Activities		Commission of Labor, Superior Court	State	NC employees are encouraged to report verbally or in writing to their supervisor, department head, or other appropriate authority, evidence of activity by a State agency or State employee constituting (1) a violation of State or federal law, rule or regulation, (2) fraud, (3) misappropriation of State resources, (4) substantial and specific danger to the public health and safety, (5) gross mismanagement, a gross waste of monies, or gross abuse of authority. Discharge or retaliation against state employees who report violations is prohibited.	NCGS Article 14, Chp 126; NCGS § 126-84; NCGS § 126-85; NCGS § 126-86	Internal Audit Office of University Counsel Human Resources	<a href="https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByArticle/Chapter_126/Article_14.html">https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByArticle/Chapter_126/Article_14.html</a>
Lobbying Disclosure Act of 1995 as amended by the Honest Leadership and Open Government Act of 2007		Office of the Clerk, U.S. House of Representatives	Federal	Requires institutions to register if they employ individuals who make at least two lobbying contracts each 6 months and devote 20% of their time to lobbying activities and incur expenses for lobbying of \$20,000 or more in a 6 month period. Permits tax exempt charitable organization's required to report lobbying expenses by the IRC to report, under this law, only good faith estimates of such expenses in order to meet reporting requirements.	2 U.S.C. § 1601 et seq.	Human Resources Office of University Counsel	<a href="http://counsel.cua.edu/fedlaw/Lobby.cfm">http://counsel.cua.edu/fedlaw/Lobby.cfm</a>
North Carolina Project Green		NC DENR, Division of Environmental Assistance and Outreach	State	State agencies are directed to use products containing recycled materials. An annual report is filed summarizing purchasing for the prior year.	NCGS 143-58.2(a), Executive Order 156	Environmental Health and Safety Materials Management	<a href="http://ncprojectgreen.com/aboutNCPG.asp">http://ncprojectgreen.com/aboutNCPG.asp</a>
North Carolina Unclaimed Property Act		NC Department of the Treasurer	State	Under this Act, an annual form must be completed by every person and organization in the possession of unclaimed property.	NCGS 116B	Financial Services	<a href="https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByArticle/Chapter_116B/Article_4.html">https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByArticle/Chapter_116B/Article_4.html</a>
North Carolina Public Records Law			State	Guarantees that the public has access to the public records of governmental bodies in North Carolina. People may obtain copies of their public records and public information free or at minimal cost unless otherwise specifically provided by law.	NCGS 132	Office of University Counsel	<a href="https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByChapter/Chapter_132.html">https://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByChapter/Chapter_132.html</a>
The Solomon Amendment		Secretary of Defense	Federal	Allows federal funding for an educational institution to be cut if that institution has a policy or practice that prohibits military recruiting on campus, or prohibits access to student directory information for the same purpose, or maintains an anti-ROTC policy	10 U.S.C. § 983; 32 C.F.R. § 216.1 et seq.	ROTC Programs Office of Research Admin Registrar	<a href="https://legal-dictionary.thefreedictionary.com/Solomon+Amendment">https://legal-dictionary.thefreedictionary.com/Solomon+Amendment</a>
Controlling the Assault of Non-Solicited Pornography and Marketing Act of 2003	CAN-SPAM	Federal Trade Commission	Federal	Law criminalizes the sending of certain types commercial email. Preempts any state regulation of commercial email except for those local laws prohibiting false or deceptive statements.	Public Law 109-187; 15 U.S.C. §7701-7713; 18 U.S.C. §1001; 28 U.S.C. §994; 47 U.S.C. §227	ITCS ECU Police Office of University Counsel	<a href="https://www.ftc.gov/enforcement/statutes/controlling-assault-non-solicited-pornography-marketing-act-2003-can-spam-act">https://www.ftc.gov/enforcement/statutes/controlling-assault-non-solicited-pornography-marketing-act-2003-can-spam-act</a>
Electronic Communications Privacy Act of 1986	ECPA	U.S. Department of Justice	Federal	EOCA amended Title III of the Omnibus Crime Control and Safe Streets Act of 1968 (The Wire Tap Statute) to encompass transmissions of electronic data by computer and prohibits both the interception of electronic communications and access to stored electronic communications.	18 U.S.C. § 2510-2522; 18 U.S.C. § 2701-2711; Public Law 99-508	ITCS	<a href="https://it.ojp.gov/PrivacyLiberty/authorities/statutes/1285">https://it.ojp.gov/PrivacyLiberty/authorities/statutes/1285</a>
Community Improvement Volunteers Act of 1994			Federal	Exempts volunteers from the requirements of the Davis-Bacon Act.	40 U.S.C. § 3162	Volunteer Services Human Resources	<a href="http://counsel.cua.edu/fedlaw/Civa.cfm">http://counsel.cua.edu/fedlaw/Civa.cfm</a>
Higher Education Opportunity Act of 2008 and ISBN Textbook Provision		U.S. Department of Education	Federal	Effective July 1, 2010 each school shall disclose the International Standards Book Number (ISBN) and retail price for required and recommended textbooks and supplemental materials	Public Law 110-315; 20 U.S.C. § 1015b	Student Stores	<a href="https://www2.ed.gov/policy/highered/leg/hea08/index.html">https://www2.ed.gov/policy/highered/leg/hea08/index.html</a>

**ECU Office of Internal Audit and Management Advisory Services**  
**Regulatory Compliance Universe** (Last updated on 1/3/19)

Title/Subject	Acronym	Enforcement Agency	Federal or State Law	Description	Governing document(s) stored in binder	Compliance Partners	Quick Links
Higher Education Act of 1965 and Higher Education Amendments of 1998		U.S. Department of Education	Federal	By Jan. or July 31 of each year, whichever is sooner depending on the time of the gift, a postsecondary institution must file a disclosure report about ownership or control by, or contracts with or gifts from foreign sources. The institution shall file a disclosure report with the Dept. of Education for gifts and contracts of \$250,000 or more received within a calendar year.	20 U.S.C. § 1011f; Public Law 105-244	All departments	<a href="https://www2.ed.gov/policy/highered/leg/hea98/index.html">https://www2.ed.gov/policy/highered/leg/hea98/index.html</a>
<b>Healthcare</b>							
Exclusion of certain individuals and entities from participation in Medicare and State health care programs.		U.S. Department of Health and Human Services, Office of Inspector General	Federal	Provides for the mandatory exclusion of individuals and entities from participation in any Federal health care program. List of 16 specific exclusions.	42 U.S.C. § 1320a-7	Health Sciences Office of Research Integrity and Compliance Office of Institutional Integrity	<a href="https://www.law.cornell.edu/uscode/text/42/1320a-7">https://www.law.cornell.edu/uscode/text/42/1320a-7</a>
Civil Monetary Penalties		U.S. Department of Health and Human Services, Office of Inspector General	Federal	Provides for penalties for improperly filed claims and payments to induce reduction or limitation of services.	42 U.S.C. § 1320a-7a	Health Sciences Office of Institutional Integrity Office of University Counsel	<a href="http://www.law.cornell.edu/uscode/text/42/1320a-7a">http://www.law.cornell.edu/uscode/text/42/1320a-7a</a>
Criminal penalties for acts involving Federal health care programs		U.S. Department of Health and Human Services, Office of Inspector General	Federal	Provides for criminal penalties for (a) making or causing to be made false statements or representations, and (b) solicitation or receipt of illegal remunerations (including kickbacks, bribes, rebates).	42 U.S.C. § 1320a-7b	Health Sciences Office of Institutional Integrity Office of University Counsel	<a href="https://www.law.cornell.edu/uscode/text/42/1320a-7b">https://www.law.cornell.edu/uscode/text/42/1320a-7b</a>
Program Integrity - Medicare and State Health Care Programs - Exceptions		U.S. Department of Health and Human Services	Federal	States the payment practices not to be treated as a criminal offense under § 1128B of the Social Security Act.	42 U.S.C. § 1001.952	Health Sciences Office of Institutional Integrity ECUP Clinical Financial Services	<a href="https://www.law.cornell.edu/cfr/text/42/1001.952">https://www.law.cornell.edu/cfr/text/42/1001.952</a>
The Stark Act		U.S. Department of Health & Human Services Office of the Inspector General	Federal	The Act prohibits physicians from making referrals to (and laboratories from billing) Medicare for services ordered by physicians who have a financial interest in the laboratory.	42 U.S.C. § 1395nn, § 411.350 - 411.389; Sec. Sec. Act § 1877 [42 U.S.C. 1395]	Health Sciences Office of Institutional Integrity BSOM Risk Management Office of University	<a href="http://starklaw.org/stark_law.htm">http://starklaw.org/stark_law.htm</a>
The Anti-Kickback Act of 1986		U.S. Department of Justice	Federal	Prohibits any payment or gratuity made for the purpose of inducing award of a subcontract or prime contract with the federal government. Imposes criminal penalties on any person who knowingly and willfully engages in the prohibited conduct.	41 U.S.C. § 8701 - 8707; 48 C.F.R. 3.502-2 et seq.	Health Sciences Office of Institutional Integrity BSOM Risk Management Office of University Counsel	<a href="https://www.justice.gov/usam/criminal-resource-manual-927-anti-kickback-act-1986">https://www.justice.gov/usam/criminal-resource-manual-927-anti-kickback-act-1986</a>

United States Code of Federal Regulations      U.S.C.  
Code of Federal Regulations                      C.F.R.  
North Carolina General Statute                  NCGS