

Compliance Worksheet

Date of Compliance Review:

Compliance Area:

Cognizant Policy Officer:

Compliance Partner(s):

Source of Compliance Obligations (statute/regulation/other):

Responsible Federal/State Agency or other Body:

Enforcement and Risk Exposure/Sanctions:

Key Compliance Obligations:

(Cite to policies, procedures, practices, training, reporting, etc. in place as required)

Gaps or Issues to be Addressed/Followed:

Other Campus Offices Affected/Coordination Needed:

Resources (e.g., compliance calendar, templates, etc.)

Date for Follow Up to Address Gaps or Issues:

Date of Next Regular Review (whether mandated by law or institutional practice):