

Compliance Documentation Review

Agency Requesting Certification:	
Compliance Matrix Functional Area:	

Purpose of Form:

Federal agencies occasionally require grantees/contractors to attest, certify or represent that they are aware of and follow federal regulations that impact awardees and subawardees. This form is used to allow USU personnel that serve as Responsible Executives, Policy Custodians and other Compliance Partners to collaborate to make certain that USU has adequate internal controls systems available to meet these certification requirements.

The review system relies on compliance personnel identified in USU’s Compliance Matrix to provide input when funding agencies request certifications related to their regulatory and policy requirements. University Compliance will manage this review system, and in general compliance certifications which are not related to specific contracts or grants will be signed by the Responsible Executive most closely associated with the regulatory requirement to which we are certifying. This process is closely aligned with USU’s Contract Review System, but should not be used to process contract or grant documents.

Step One: Reviewers indicated below have been selected by the Chief Compliance Officer or a designee within Legal Affairs. Reviewers will acknowledge by signing below their understanding of the requirements in the compliance certification request which is attached to the form. If additional compliance partners that have not been identified as reviewers are required to achieve compliance, reviewers may suggest that such partners be added as reviewers, with a note in the signer’s Comments box indicating how the suggested individual will be involved in complying with the subject regulation.

Reviewers	Comments
<div style="display: flex; justify-content: space-between; margin-bottom: 10px;"> < _____ > < _____ > </div> <div style="display: flex; justify-content: space-between; margin-bottom: 10px;"> Signature Date </div> <p>Name: Title:</p>	
<div style="display: flex; justify-content: space-between; margin-bottom: 10px;"> < _____ > < _____ > </div> <div style="display: flex; justify-content: space-between; margin-bottom: 10px;"> Signature Date </div> <p>Name: Title:</p>	

<p>< _____ > < _____ > Signature Date</p> <p>Name: Title:</p>	
<p>< _____ > < _____ > Signature Date</p> <p>Name: Title:</p>	
<p>< _____ > < _____ > Signature Date</p> <p>Name: Title:</p>	
<p>< _____ > < _____ > Signature Date</p> <p>Name: Title:</p>	

Step Two: Once all initial and added reviewers have signed the review form, the Responsible Executive, who will be among the reviewers, will work with Policy Custodians and University Compliance to establish any procedures and/or compliance programs necessary to meet the subject regulations and inform affected individuals of any changes to existing policies or procedures. The Compliance Certification provided by the agency will be provided to the Responsible Executive for signature, with copies distributed within USU as needed. When appropriate, University Compliance will add new requirements to the University Compliance Matrix.