



Standard Title: Compliance Program Documentation Requirements Standard
Standard Number: IS-S101
Responsible Office: Information Security Office

Scope

This standard applies to all University of Arizona *units* that have a legal, regulatory or contractual obligation related to any compliance program, i.e., Export Control, FERPA, FISMA, HIPAA, PCI DSS, or any compliance area.

Units that are part of compliance programs shall maintain documentation, written or electronic, on implemented policies and procedures regarding regulatory compliance. Additionally, if an action, activity or assessment is required, this also shall be documented and maintained. *Units* shall retain the documentation according to specific compliance requirements from the date of creation or the date when last in effect, whichever is later.

Units shall make documentation available to those persons responsible for implementing and maintaining compliance programs.

Additional guidance on regulatory documentation requirements can be found in the Compliance Program Documentation Guideline (IS-G101).

Related Guidance

- Compliance Program Documentation Guideline (IS-G101)
- Information Security Policy (IS-100)
- Information Security Terms Guideline (IS-G100)
- Information Security Policy Page
- NIST FISMA Implementation Webpage
- UA Office of the Registrar FERPA Webpage
- US HHS Guide on HIPAA Documentation Requirements
- UA Office for the Responsible Conduct of Research Export Control Compliance Webpage

All *italicized terms* used in this standard are defined in the Information Security Terms Guideline (IS-G100).

Revision History

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| Initial Draft | 8/22/12 |
| Effective Date | 11/1/12 |