



GLBA Safeguards Rule Certification Form

Purpose

This form should be completed annually by directors of colleges/administrative units that possess or handle customer information as defined in the Information Security Program (ISP). This form is intended to demonstrate compliance with the ISP and provide the ISP Coordinator or designee with sufficient information to determine whether the college/administrative unit is protecting customer information in accordance with applicable provisions of the GLBA Safeguards Rule ([16 CFR 314](#)). Please return the completed form to the Compliance Office for Finance & Administration.

College/Administrative Unit Name _____

Please initial all of the following:

- _____ The college/administrative unit has reviewed the ISP and reference materials to become familiar with the requirements for compliance, the types of information covered, and the types of activities covered by the GLBA Safeguards Rule.
- _____ Necessary employees have been informed of the importance of protecting such information and the associated procedures for ensuring the protection of customer information in accordance with the GLBA Safeguards Rule.
- _____ The college/administrative unit has completed an annual review of the risks posed to customer information as defined in the ISP and taken appropriate steps to implement safeguards designed to protect such information. Based on this review, any required changes have been made to procedures and practices to ensure information is protected.

And initial one of the following:

- _____ The college/administrative unit **does not** have a relationship with a third-party service provider(s) who obtains, maintains, and/or processes customer information for or on behalf of the University as defined in the ISP.
- _____ The college/administrative unit **does** have a relationship with a third-party service provider who obtains, maintains, and/or processes customer information for or on behalf of the University as defined in the ISP. The service provider(s) is bound through contractual obligation to safeguard University customer information. Note: If using a service provider selected through the University Purchasing Office bid process, select this option. Please list the service provider(s) and briefly describe the service(s) provided in the comments.

Comments:

Print Name _____

Title _____

Signature _____

Date _____