

# Office of Compliance Services



## University of Vermont

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## WHAT WE DO:

We work closely with members of the University community to promote an institutional culture of compliance. Among other things, a culture of compliance allows us to prevent and effectively address violations of law, regulations, and University policy and protocols.

## SERVICES WE PROVIDE:

- Consultations
- Post-Incident Follow-Up
- Training
- Regulatory Updates
- Table-Top Exercises/Mock Inspections
- HelpLine Monitoring
- Policy Development, Review, Consultation
- Process Review/Compliance Tools

## When To Call Us:

- When you're having difficulty with or have questions about the process for complying with a regulatory requirement or policy.
- When you suspect wrongdoing but fear retaliation if you report it.
- When you have faced retaliation after you reported suspected wrongdoing.
- When you want to make an anonymous report.
- When you have reason to believe wrongdoing is occurring but feel you have nowhere else to go.
- When you're not sure if an activity is considered wrongdoing or not.
- When you suspect "wrongdoing". Examples of wrongdoing include, but are not limited to, breaking the law, not following University policy, committing fraud, behaving unethically or dishonestly and that behavior results in violations to the law or University policy.
- When you reported wrongdoing to a manager or supervisor and your reports are being ignored.

## EXAMPLES:



**CONSULTATIONS:** "I heard that \_\_\_\_\_ regulation just changed. Do we need to change our process or do any additional training?" OR "How will this affect us?"

**TABLE-TOP EXERCISES/MOCK INSPECTIONS:** "What would it be like if the Department of Education came in to look at our process for \_\_\_\_\_?"

**POST-INCIDENT FOLLOW-UP:** "As part of its routine review, the Environmental Protection Agency came in and they identified three findings. Can you review our response and help us develop our corrective action plan?"

**HELPLINE MONITORING:** "I'm not sure if we're violating a regulation or anything but \_\_\_\_\_ seems a little fishy. Can you look into this for me?" OR "I suspect that we're violating the \_\_\_\_\_ Act and would like someone to look into this further."

**TRAINING:** "We just learned that our professional licensing organization requires that we provide training to our staff. Can you help us develop something that will satisfy the regulatory requirement?"



**POLICY DEVELOPMENT, REVIEW, CONSULTATION:** "I was just at a conference and one of the presenters said that we'd be crazy not to have a policy addressing \_\_\_\_\_. I'm not sure if we actually need it. Can you help?" OR "These regulatory requirements are getting out of control. Just tell me what I have to do."

**PROCESS REVIEW:** "There are a lot of steps to this process. Is all of this really required or can we just do it differently?" OR "I need some help. Can you provide some tools and resources to make compliance easier?"

