



The University of Vermont

Responsible Official: Chief Internal Auditor

Effective Date: June 20, 2016

University Operating Procedure

Compliance Calendars

Overview

The President customarily delegates to a senior institutional official (“responsible official”), typically a Vice President, responsibility for the oversight of specific compliance programs, activities, conduct or endeavors.

To assist responsible officials, the Office of Compliance Services has generated foundational unit-specific compliance calendars identifying the University’s regulatory reporting obligations primarily to federal agencies.

Procedures

Responsible officials are responsible for maintaining the accuracy and completeness of the compliance calendar(s) for their areas of responsibility and for updating the Office of Compliance Services whenever a change is identified and implemented on the calendar. Therefore, at least annually, responsible officials, in consultation with the Office of Compliance Services and the Office of General Counsel as appropriate, must review their compliance calendar(s) for accuracy and completeness.

The Office of Compliance Services will maintain official University records related to the initial development of the calendars, and the annual calendar review process, including any subsequent additions and revisions.

Definitions

Compliance Calendar: A comprehensive list of University reporting requirements, primarily federal, organized by organizational unit and identifying the legal requirements, oversight agencies, reporting timing and frequency, University assigned responsibility and existing processes.

Contacts/Responsible Official

Questions related to the daily operational interpretation of this procedure should be directed to:

Tessa Lucey, Director of Compliance Services, Office of Audit and Compliance Services
(802) 656-0847

Tessa.Lucey@uvm.edu

The Chief Internal Auditor is the official responsible for the interpretation and administration of this procedure.

Forms

None

Related Documents/Policies

Unit-Specific Compliance Calendars

Effective Date

Approved by the Chief Internal Auditor June 27, 2016