



OFFICE OF COMPLIANCE SERVICES
UVM.EDU/POLICIES

UNIVERSITY OPERATING PROCEDURE

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Title: 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.

Applicability of the Procedure

This UOP applies to responsible officials and those involved in regulatory reporting.

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.

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.

Contacts

Questions concerning the daily operational interpretation of this UOP should be directed to the following:	
Title(s)/Department(s):	Contact Information:
Director of Compliance Services and Chief Privacy Officer	(802) 656-0847 Tessa.Lucey@uvm.edu

Forms/Flowcharts/Diagrams

- None

Related Documents/Policies

- Unit-Specific Compliance Calendars

Training/Education

Training will be provided on an as-needed basis as determined by the Approval Authority or the Responsible Official.

About This Procedure

Responsible Official:	Director of Compliance Services and Chief Privacy Officer	Approval Authority:	Director of Compliance Services and Chief Privacy Officer
Affiliated Policy Number(s):	None	Effective Date:	June 27, 2016
Revision History:	<ul style="list-style-type: none"> • Reaffirmed June 14, 2021 • Responsible official officially changed from the Chief Internal Auditor to the Director of Compliance Services and Chief Privacy Officer November 11, 2021 		

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