

EXTERNAL INVESTIGATIONS, AUDITS AND REQUESTS FOR INFORMATION PROTOCOL

Background and Reasons for the Protocol: Under certain circumstances, representatives of the Federal or State government or other external auditors or inspectors, including accrediting organizations, may arrive without advanced notice at the University to perform investigations into possible violations of laws and regulations or to conduct certain audits. It is the University's policy that employees fully comply with all such audit and inspection rights.

Applicability of Protocol: This protocol applies to all University faculty, staff and administrators.

Protocol Procedures: All administrators, faculty members and staff have the responsibility to assist the University by cooperating with external investigations or audits. Employees must not obstruct or impede an investigation or audit in any way. The following procedures are meant to guide employees in responding to requests by external investigators, auditors or accreditation personnel:

- Anyone receiving contact should first obtain as much information from the government agency or accrediting organization representative about who they are and what they are looking for, and provide that information to their supervisor and/or on-call administrator as soon as possible.
- The supervisor and/or on-call administrator should in turn immediately provide this information to his or her department or division head.
- The department or division head should then immediately contact the Office of the General Counsel at (860) 486-5796. The Office of the General Counsel will advise how to proceed.
- The same individual should also contact, the Office of Audit, Compliance & Ethics (OACE). The OACE, in coordination with the Office of the General Counsel, will ensure all appropriate University officials are notified.
- If an individual cannot reach his/her supervisor directly, the individual should leave his/her supervisor an appropriate message, and make contact with the Office of the General Counsel and the OACE himself/herself.
- Should the external auditor or investigator request immediate access to records, the auditor or investigator should politely be informed that legal counsel (the Office of the General Counsel) must be contacted before access to any records can be provided. Please do not release any records before speaking with the Office of the General Counsel or the OACE.

Please note: this protocol does not apply to planned audits and reviews that the department coordinates with an external agency on an occurring basis. Any questions regarding this protocol should be directed to the Office of Audit, Compliance & Ethics at (860) 486-4526.

Reviewed: August 13, 2008; July 11, 2011

Revised: August 15, 2014