

Wilmington University Compliance Program

Wilmington University has established the University Compliance Office, reporting to the Vice President for Administrative & Legal Affairs. This office monitors and coordinates the university's many existing compliance efforts, assesses university-wide performance and provides university leadership with an independent, comprehensive view of the university's compliance activities.

What is the University Compliance Program?

The Wilmington University Compliance Program is the expression of a commitment by the University to maintain compliance with all relevant laws and regulations and to maintain the highest level of integrity.

According to federal government guidelines, an adequate compliance program includes:

- A resolution establishing high standards of corporate integrity;
- A code of conduct informing employees of laws and regulations applicable to their activities and setting forth the institution's specific compliance expectations of its employees;
- Specific employee training and compliance monitoring operations;
- Protocols and resources for investigating instances of potentially unlawful conduct.

A code of conduct has been developed for all university community members.

Code of Conduct

As members of the Wilmington University community, we are all responsible for maintaining the highest ethical standards in our community and our professions, and for complying with all relevant laws and regulations.

As part of the University Compliance Office a code of conduct has been created. The code of conduct is not a list of rules. It is a statement of the ethical and legal standards we use as the basis for our decisions and actions. All members of the university community should integrate these standards into their daily university activities.

The code of conduct will consist of this message, a Statement of General Principles, Procedures for Reporting Violations or Concerns and Questions and Answers.

The code of conduct may be revised from time to time.

Statement of General Principles

This code of conduct applies to the following members of the Wilmington University community:

- Individuals who are paid by the University when they are working for the university—this category includes: faculty and staff;
- Consultants, vendors and contractors when they are doing business with the university; and
- Individuals who perform services for the university as volunteers.

The code of conduct refers to all these persons collectively as “members of the university community” or “community members.”

Integrity and Ethical Conduct

Wilmington University is committed to the highest ethical and professional standards of conduct as an integral part of its mission. To achieve this goal, the university relies on each community member’s ethical behavior, honesty, integrity and good judgment. Each community member should demonstrate respect for the rights of others. Each community member is accountable for his/her actions.

This code of conduct describes standards to guide us in our daily university activities, standards we believe are already being followed.

Compliance with Laws and University Policies

The university and each community member must transact university business in compliance with all laws, regulations and university policies related to their positions and areas of responsibility. Managers and supervisors are responsible for teaching and monitoring compliance in their areas.

Procedures for Reporting Violations or Concerns

The university’s compliance effort focuses mainly on teaching members of the university community the appropriate compliance standards for the areas in which they work. Nevertheless, violations may occur. In addition, members of the university community may have concerns about matters that they are not sure represent violations. This section describes community members’ responsibilities for reporting violations or concerns, and how these responsibilities may be carried out.

Reporting Violations or Concerns

As stated in the university’s code of conduct, each university community member is expected to report actual or suspected violations of laws, regulations, or university policies or procedures, or other suspected wrongdoings that come to their attention, including violations of ethical and professional standards. Managers have a special duty to recognize violations.

Wilmington University is committed to the highest ethical and professional standards of conduct and maintains a University Compliance Office to provide members of the university community a means to confidentially and anonymously, if desired, report concerns or suspected violations of the university's code of conduct that come to their attention.

The code of conduct states the ethical and legal standards that must guide decisions and actions of university community members. Examples of violations that should be reported include suspected cases of fraud, theft, violations of governmental regulations, violations of university policies and ethics violations.

There are different ways to report a violation or discuss a concern:

- You may report violations or concerns to your immediate supervisor or department head, if appropriate.
- You may call the University **Compliance Office at 302-356-6844**. Calls will be handled and investigated by the University Compliance Office, with assistance from other areas as needed.