

COMPLIANCE CHATTER

Manager Series



Providing monthly compliance reminders and resources for managers and supervisors.

This is a companion series to our Compliance Chatter, providing managers and supervisors guidance and resources to support our workforce.

This month's topic: Building a Culture of Compliance

What Influences a Culture of Compliance?

While the Office of University Compliance provides support and structure to the compliance program, creating a *culture of compliance* across the institution is a result of the actions and choices employees make daily. How we work and engage with institutional policies and procedures influences the effectiveness of UConn's compliance program.

As a manager or supervisor of others, you are in a position to uphold UConn's values and policies, and lead your team to operate with the highest standards of integrity in all aspects of their work.

How Can Managers Support a Culture of Compliance?

Review Policies and Keep Employees Updated

It is important to review relevant policies and procedures with employees regularly. Set aside time during a staff meeting or send an email with an overview of a policy and/or procedure to help maintain familiarity. Doing so may offer opportunities for your staff to engage in discussions and ask clarifying questions.



Encourage Employees to Engage with You

Communicating to your staff that you encourage them to ask questions is key. It signals that you are approachable and that they can seek clarity or express a concern regarding a policy or procedure when they arise. When employees feel comfortable discussing these topics with you, it often allows you to address potential compliance concerns proactively and effectively.

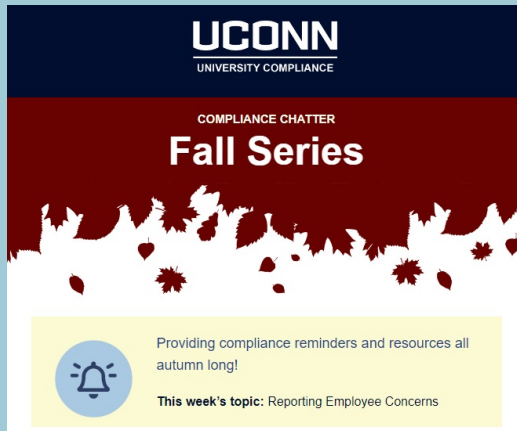
Ensure Employees Complete Required Trainings

Employees are required to complete trainings to ensure they

receive updated information on institutional policies. Following up with your team to ensure they complete the training and understand the concepts demonstrates its importance. Completing these trainings yourself and discussing the topics learned with your team shows your commitment to learning and sets an example for the entire department or unit.



Post and Share Resources for Employees



When you promote services that are available to employees, it conveys that you support your staff utilizing these resources. You can share methods for reporting compliance concerns and resources that provide confidential assistance by posting them in your office, in a conference room or shared space, or emailing them to your team. You can also encourage your staff to sign up for the Compliance Chatter listserv to ensure they receive timely updates on all things compliance.

Refer to the Compliance Chatter on **Employee Reporting Options**.

Lead By Example

Verbalizing the importance of compliance during daily operations, as well as during incidents of noncompliance, may influence how your staff emulate the University's values and follow policies. As a reminder, the University's core values include knowledge, honesty, respect, integrity, and professionalism. Integrating these values into your role can inspire your staff to do the same, and thereby successfully contribute to the culture of compliance at UConn and UConn Health.

Mark Your Calendar!

State of Compliance: Unwrapping the Gift Rules

Live WebEx Event
Thursday, December 7, 2023
12:30pm - 1:00pm

Register Here!



Join UConn and UConn Health's Ethics Liaison and Chief Compliance Officer, Kimberly Fearney, to learn about the gift rules for UConn and UConn Health employees.

UConn

UNIVERSITY COMPLIANCE

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