The Office of the General Counsel provides support to advance the university mission.
WHY THE OGC?
WHEN YOU INCLUDE US EARLY AND OFTEN, WE HELP

Achieve goals and priorities
Ensure legal compliance
Mitigate legal risk
Deliver mission-oriented business advice
Identify appropriate internal and external resources

Provide a "broader lens"/global view
Manage risk and insurance coverage
Resolve claims
Manage conflicts of interest and commitment

YOU CAN EXPECT LEGAL, STRATEGIC AND BUSINESS ADVICE THAT IS

Flexible
Clear/Concise
Timely
Responsive
Excellent
THE OGC FUNCTIONS AS A COLLABORATOR WITH THE GREAT TEAMS ACROSS THE UNIVERSITY
THE FOUR TEAMS OF THE OGC

LEGAL

RISK and INSURANCE MANAGEMENT (RIM)

OPERATIONS

COMPLIANCE
LEGAL SERVICES
LEGAL SERVICES

- Business partners with legal expertise
- Strategic advice and counsel
- University-wide/cross functional knowledge
- Anticipation of business needs
- Focus on simplicity and scalability
- Advice supported by technology and metrics
- Risk assessment
RESOURCING

New Matter Assigned to OGC Attorney (Determined by Matter Type)

Assign to Outside Counsel?

Does not meet criteria

No Handle Internally

Meets one/more of criteria:
- Litigation Matter
- Regulatory Matter
- Expertise Need
- Overflow Work

Yes Outside Counsel Needed

Outside Counsel
(Assignment determined by Matter Type)

To whom should the matter be assigned?

LAW FIRM NETWORK
OGC’s preferred network of outside counsel partners

EXTENDED LAW FIRM NETWORK
OGC’s preferred partners for specialty matters, such as Real Estate or Investments

SPECIALTY & EXCEPTIONAL FIRMS
Law firms outside of OGC’s network

ALTERNATIVE LEGAL SERVICE PROVIDERS
Low-cost alternatives to law firms, offering flexible legal services and solutions
TRAININGS OFFERED BY LEGAL

GENERAL
- Attorney client privilege
- Email pitfalls
- How to better help us help you

SUBJECT-MATTER SPECIFIC
- New developments in areas of law
- Recent legislation or regulation
- Custom training upon request

MANAGEMENT/SUPERVISOR-TARGETED
- Avoiding the top ten mistakes supervisors make

AUDIENCE-TARGETED FOR A SPECIFIC NEED
- Faculty disciplinary committees
- Research misconduct investigations
- Outside agency audits
Inside counsel is not charged to a department.

Operational or project outside counsel costs for a school or department will now be part of the project cost or operational budget.

The first $175,000 of litigation or pre-litigation costs are still paid by the OGC.

This is the average of the cost of single plaintiff cases over the past two years.

If the costs exceed $175,000, then the school or department will pay the remaining amount until a deductible is reached if insured ($500k - $1M deductible).
METRICS & ANALYSIS

Quarterly metrics and analysis provided to the Chancellor and all Vice Chancellors

Tracking university spending, diversity data, matter types, and law firm spend
RISK and INSURANCE MANAGEMENT (RIM)
RISK and INSURANCE MANAGEMENT SERVICES (RIM)

**CONTRACT NEGOTIATION**
- Insight/ support on contract terms
- Help avoiding common pitfalls
- Protect department/university from increased operational risk

**RISK IDENTIFICATION AND MITIGATION**
- Partner to identify areas that may pose risk to University
- Provide strategic and practical ways to mitigate risks
- Thoughtful and strategic thought leadership and project management

**INTERNAL AUDIT AND RISK ASSURANCE**
- Internal Audit and Advisory Services
- Resources and Best Practice Advising
- Risk Assurance Services

**CLAIM MANAGEMENT**
- Supportive resources when things go wrong
- Defend and protect institution, its people, and our assets
- Uninsured claims, subrogation recovery, non-litigated claims management

**INSURANCE PLACEMENT**
- 22 policies
- Protect institution, its people and assets from loss

**TRAINING**
- Risk transfer
- Risk mitigation matters
- Safe Driver
- Origami
- Incident Reporting
We want you to get the most out of your time with us, so our trainings are approachable, using layman’s terms.

RIM provides a suite of training on insurance and risk related topics in:

- Incident Management
- Insurance Coverage Reviews
- Risk Assurance Advisory
- Contract Management
- Risk Identification
- Hazard Mitigation
To communicate thoughts on existing or emerging enterprise-level risks, or if you have questions, please contact the ERM team!

Kelsey Bahadursingh  
Director, Enterprise Risk Management  
kelsey.bahadursingh@vanderbilt.edu

Jessie Napier  
Specialist, Enterprise Risk Management  
jessie.d.napier@vanderbilt.edu

Survey distributed as part of the Annual Risk Assessment to gain insight on risks and ongoing initiatives from university leaders and stakeholders. This provides a benchmark for ongoing assessment and response throughout the year.

ERM Program goal is to add value through supporting university leadership, rather than duplicating existing operational efforts.

Support management to identify and proactively manage enterprise-level risks.

Maintain a proactive approach by tracking and addressing areas of emerging risk.
**INTERNAL AUDIT**

**VU engages a global accounting firm to conduct internal audit services**

- Core team comprises of individuals with varying backgrounds and experience levels
- Global network of resources and subject matter professionals available with expertise on an array of topics

**Risk Based Approach**

- **Annual Risk Assessment** provides insight on risks and focus areas to support the annual audit plan
- Ad hoc requests and projects are added throughout the year to be responsive to the needs of the university
- IA adds value by maintaining a focus on process optimization, operational and compliance risks as well as areas of emerging risks to support overall risk reduction

**Services available:** Advisory Services | Consulting Projects | Operational and Foundational Audits & Reviews

To request a review, share input regarding risks in your area, or submit questions, please send email to:

`INTERNALAUDIT@VANDERBILT.EDU`
OFFICE OF THE GENERAL COUNSEL

COMPLIANCE
Mission

Create an effective service-focused compliance program which is aligned with the university’s strategic vision to prevent illegal and unethical behavior and reasonably respond to adverse events.
MISSION

Create an effective service-focused compliance program which is aligned with the university’s strategic vision to prevent illegal and unethical behavior and reasonably respond to adverse events.

PERFORMANCE EXPECTATIONS

- Have ongoing conversations with campuswide compliance risk leaders to ensure that all significant compliance risks are identified.
- Communicate compliance risks and mitigation activities to Vanderbilt’s leaders truthfully, accurately, and completely in a timely, appropriate manner.
- Ensure that all significant compliance risks are identified, prioritized, mitigated, tracked, and documented.
- Maintain focus on Vanderbilt’s mission and align compliance program activities with the Chancellor’s vision, strategy, and action plans.
- Live and encourage Vanderbilt’s values.

NO GAPS. NO WASTE. NO SURPRISES.
**COMPLIANCE HOTLINE**

**Background**

The Compliance Hotline was established to provide individuals with an avenue to voice ethical, integrity, safety, security, and compliance concerns anonymously.

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<th>FUNCTIONS</th>
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<tr>
<td>✔️ May be used by anyone including, but not limited to, students, faculty, researchers, staff, patients, alumni, suppliers and contractors</td>
</tr>
<tr>
<td>✔️ Operated 24 hours a day, seven days a week by an independent, third-party provider</td>
</tr>
<tr>
<td>✔️ May be used via toll-free telephone call or by submitting a report online</td>
</tr>
<tr>
<td>✔️ University Compliance Services facilitates the case management process to its conclusion, engaging other University parties with a legitimate need to know</td>
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www.vanderbiltcompliancehotline.ethicspoint.com
(844) 814-5935
## Compliance Hotline

### Background

The Compliance Hotline was established to provide individuals with an avenue to voice ethical, integrity, safety, security, and compliance concerns anonymously.

### Benefits

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<td>Signals Vanderbilt's commitment to ethical conduct and cultivates a culture of integrity</td>
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<td>Protecting the identity of the reporter increases reporting by lowering the barriers for reporting violations or concerns</td>
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<td>Gathers valuable information about potential risks that can be used when engaging in enterprise risk management</td>
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<tr>
<td>Leads to earlier detection of issues as it provides an avenue to raise potential issues before they escalate into a serious problem</td>
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www.vanderbiltcompliancehotline.ethicspoint.com  
(844) 814-5935
Questions? Email coi@vanderbilt.edu
Background

The federally mandated Clery Act is named for Jeanne Clery who was raped and murdered while a student at Lehigh University. It requires information regarding crime incidents, resources for victims of crimes, crime statistics, and the safety and security policies of VU to be disclosed to current and prospective students, faculty, and staff.

Responsibilities

- Collection and classification of crime reports from police and other Vanderbilt Campus Security Authorities (CSAs).
- Training of Campus Security Authorities
- Issuing Security Notices to the campus community to raise awareness of safety and security concerns.
- Annual Security Report which includes three years of crime statistics, University safety and security policies, and victim resources and support.

View the 2023 Annual Security Report
The Protection of Minors culture of safety starts with compliance, best practices and reporting concerns when engaging with youth in any VU operation.

To achieve the culture of youth safety, we collectively:

- Follow our policies
- Are child protectors
- Report occurrences and concerns
- Understand 90% of perpetrators are individuals known to the child
- Routinely talk about safety and prevention
- Hold each other accountable
- Understand and address behavior red flags

Contact Us
protectionofminors@vanderbilt.edu
YOUTH PROTECTION

Background

The Protection of Minors culture of safety starts with compliance, best practices and reporting concerns when engaging with youth in any VU operation.

OUR PRESENT

One of the first institutions to institute a Protection of Minors policy in 2013 and allocate a dedicated position to implement the policy oversight. Added a second position in 2023 to focus on increased program monitoring and direct operations.

Operates an in-house integrated compliance Web Application tracking tool for required youth program registration and individual compliance.

Active compliance management and consultation to over 150 university and student organization programs serving youth, estimating engagement with over 50,000 youth annually.

Incident management for reported child abuse and any safety concern to a child.

Contact Us

protectionofminors@vanderbilt.edu
YOUTH PROTECTION

Background

The Protection of Minors culture of safety starts with compliance, best practices and reporting concerns when engaging with youth in any VU operation.

OUR PRESENT

- In partnership with the Office of Health and Wellness, Summer 2024 roll out of a standardized medication management and oversight policy for day and residential youth programs.

- FY25 enhancement in specialized training available to program personnel in youth mental health, effective supervision, and EDI.

- Annual Program Renewal project to forecast and support planning for programs.

- Improvement in youth-program focused campus emergency planning.

- Identify and empower leadership at the School and department level for POM Liaisons.

Contact Us

protectionofminors@vanderbilt.edu
OPERATIONS
OPERATIONS

PEOPLE
support a productive and happy team environment

PROCESS
document and continuous review for improvements

TECHNOLOGY
drive collaboration and efficiencies across the teams

DIVERSITY, INCLUSION AND BELONGING
drive diversity within the team, with outside counsel and in the OGC intern/clerk program
WE ARE HERE TO HELP!

WE LOOK FORWARD TO HEARING FROM YOU EARLY AND OFTEN

OGC@vanderbilt.edu  615.322.5155