

DePaul Corporate Compliance

Subpoenas Policy

Purpose:

A subpoena is an official demand for testimony or the disclosure of documents or other information. They may originate from law enforcement or administrative agencies. Every subpoena requires a careful legal review prior to response. In view of this and the serious legal implications of the receipt of a subpoena, DePaul (sometimes referred to as “Organization” or “the Organization”) has established standing policies and procedures to ensure that legal counsel reviews any subpoena immediately and coordinates DePaul’s response.

Policy:

It is the policy of DePaul to substantially comply with any lawful subpoena, subject to applicable waivers, exceptions, conditions, defenses, and other recommendations of legal counsel. Employees will remain courteous and professional when dealing with investigators or agents delivering a subpoena. No one is to impede in any way efforts to deliver a subpoena.

This Policy refers only to subpoenas related to DePaul business matters.

Procedures:

1. Employees will remain courteous and professional when dealing with investigators or agents delivering a subpoena. No one is to impede in any way efforts to deliver a subpoena.
2. If a subpoena related to DePaul business is received, either in person or via the mail, it must be delivered immediately to the Chief Legal Officer or Compliance Officer.
3. Employees will only provide the agent/investigator with direction or information so they may deliver the subpoena to the Chief Legal Officer or Compliance Officer. Do not volunteer information to an agent/investigator or submit to any form of questioning or interviewing.
4. The Chief Legal Officer or Compliance Officer shall be immediately notified of the receipt or delivery of a subpoena. The Chief Legal and the Compliance Officer will consult and determine who is most qualified and available to assist in responding to the subpoena.

Sanction Statement:

Non-compliance with this policy may result in disciplinary action, up to and including termination.

Compliance Statement:

As part of its ongoing auditing and monitoring process in its Compliance Program, DePaul will review this policy based on changes in the law or regulations, as DePaul's practices change, and, at minimum, on an annual basis. Additionally, this policy will be tested for effectiveness on an annual basis or more frequently as identified in accordance with DePaul's Compliance Program. Testing will include but is not limited to ensuring that the policy is appropriately followed; the policy is effective; the policy has been disseminated to all affected individuals, as well as notified of any updates or changes.

Tracking of the criteria above and results of this testing will be completed by the Compliance Officer, or designee. Additionally, results will be reported to the Compliance Committee and Governing Body on a regular basis.

Record Retention Statement:

DePaul will retain this policy and all subsequent revisions, and any related documentation will be retained for a period of, at minimum, six years.