***Compliance Discussion Topics***

**Scenario 1**

The University of Minnesota, along with other companies, is sponsoring a concert to support a worthy cause. The concert organizer offers you box seats and dinner at the event. What should you do?

**Tell the concert organizer that you will have to check with the University policy to see if you can accept this gift.**

The University is looking to make a large order of pencils. Your brother is in the pencil business and has asked you for any hints and tips you can provide to help him win the bid. What should you do?

**Tell your brother that you really can’t give him inside information because it would violate your duty in getting a fair bidding process. If you are involved in the purchase decision, let your manager know that your brother is bidding on the tender. Your manager may decide to recuse you from the purchase process.**

**Scenario 2**

**Scenario 3**

You happen to be surfing a social website and you come across a negative comment about the University of Minnesota that you believe is false. You want to respond and set the record straight. What should you do?

**Unless you are authorized to speak on behalf of the University, you should not respond. However, you should note the item and report it to University Relations or OGC. They will decide how best to respond.**

A coworker tells you she needs to leave work a few minutes early to catch her son’s high school game. She asks if you could punch out her timecard when you leave at the end of the shift. What should you do?

**Be completely honest with her explaining not only are you uncomfortable with her request to falsify her time card and risk both of you getting fired, but if she needs to leave early she should do so with the supervisor’s knowledge and approval. It’s never right to lie regardless of the circumstances.**

**Scenario 4**

**Scenario 5**

A finance senior leader directs you to short cut your analysis and file a report that understates a financial statement. He says that no one really reads these, and the University has lost money on other projects, and all this does is even things out. What should you do?

**Contact the Compliance Officer and let them know what you’ve been asked to do. Never file a false report.**

**Scenario 6**

Your direct manager says she is too busy to complete her annual compliance training. She knows the topic well, and even taught you something about it. She gives you her sign-in credentials and tells you to take the training for her. What should you do?

**Since all employees are required to take training, you cannot take the training for her. Tell her you can’t do that. If she insists, let the Compliance Office know what is happening.**

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