



OFFICE OF COMPLIANCE SERVICES  
UVM.EDU/POLICIES

## UNIVERSITY OPERATING PROCEDURE

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### **Title:** Subpoenas, Complaints, Warrants, and other Legal Documents

#### Overview

The attorneys of the Office of the General Counsel, or persons at their request or direction, are the sole University officials and employees authorized to accept subpoenas, complaints, notices of class action, warrants, or other legal documents addressed to the University; its President, Senior Vice President and Provost, or other institutional officers; its Trustees; or other persons named in their capacities as University officials or employees.

#### Applicability of the Procedure

This Operating Procedure applies to all employees of the University of Vermont.

#### Definitions

- Complaint:** a legal document stating a civil (non-criminal) claim against entities or individuals for the alleged violations of the rights of another entity or individual(s). A complaint and summons are the legal documents that initiate a lawsuit. Formal responses to complaints usually must be filed with the court within twenty days.
- Legal documents:** within the scope of this policy are documents such as a subpoena, summons, complaint, notice of class action, or warrant, directed to the University; its President, Senior Vice President and Provost, or other institutional officers; its Trustees; or any individual named in his or her capacity as an official or employee of the University.
- Normal business hours:** Monday through Friday, 8:00am to 4:30pm excluding holidays or administrative closures.
- Search warrants:** court orders authorizing law enforcement personnel to search a defined area and seize the property described in the warrant. Search warrants require immediate attention.
- Subpoenas:** court orders directing the testimony of an individual or the production of documents at a specified time and place. A subpoena usually requires a prompt, but not an immediate, response.

#### Procedures

##### **I. During Normal Business Hours:**

A. Unannounced Appearances by Law Enforcement or Regulatory Agency Personnel

If an individual from a law enforcement or governmental agency appears, ask the individual(s) to wait while you get assistance, then contact police services dispatch immediately at 802-656-3473. They will contact appropriate staff and detail an officer to assist and act as a liaison. Examples include, but are not limited to, agents from Immigration and Customs Enforcement (ICE), the Federal Bureau of Investigations (FBI), or the Drug Enforcement Agency (DEA), U.S. Customs and Border Protection officers (CBP), and the Vermont State Police. Unless the individual presents a valid search warrant, University personnel are not to release information, formally or informally, without consulting the Office of the General Counsel.

B. Presentation of Search Warrants

If an employee is presented with a search warrant, the employee should immediately contact Police Services at 802-656-3473.

Police Services will notify the Office of the General Counsel of the execution of the search warrant.

C. Attempted service or delivery of subpoena, complaint, notice of class action, or other legal documents

If service or delivery of a subpoena, complaint, notice of class action, or other legal document is attempted in person by a sheriff, process server, or other individual, the document should be politely declined and the individual referred to the Office of the General Counsel. If an officer or employee unknowingly or erroneously accepts such a document, they should immediately deliver the document to the Office of the General Counsel by e-mail, fax, hand delivery, or any expedient means, indicating their name and the date and time at which they accepted service.

If legal documents are delivered by mail or equivalent means to an officer or employee, the documents should be sent immediately to the Office of the General Counsel.

If there is any question as to whether a document or notice is a "legal document," the General Counsel's Office should be consulted without delay.

D. Other requests for information

Requests for written or oral information from external attorneys, agencies, or courts should be directed to the General Counsel's Office. No University employee should speak to an outside attorney, except for their own personal business, without the express consent of the General Counsel's Office.

**II. Outside of Normal Business Hours:**

If any situations listed in section II are attempted outside of normal business hours, immediately contact Police Services Dispatch for assistance by calling (802) 656-3473.

## Contacts

Questions concerning the daily operational interpretation of this UOP should be directed to the following:	
Title(s)/Department(s):	Contact Information:
Office of the General Counsel	(802) 656-8585
UVM Police Services (for external law enforcement contacts, warrants, or if the General Counsel or other University attorneys are unavailable)	(802) 656-3473 (802) 656-8077 fax

EMERGENCY PHONE	9-1-1
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## Forms/Flowcharts/Diagrams

- None

## Related Documents/Policies

- [Government Reviews Procedure](#)

## Training/Education

Training will be provided on an as-needed basis as determined by the Approval Authority or the Responsible Official.

## About This Procedure

<b>Responsible Official:</b>	General Counsel	<b>Approval Authority:</b>	General Counsel
<b>Affiliated Policy Number(s):</b>	None	<b>Effective Date:</b>	April 1, 2013
<b>Revision History:</b>	<ul style="list-style-type: none"> <li>• V. 8.o.1.1 effective October 3, 2006</li> <li>• Effective April 1, 2013. University Policy transitioned to a University Operating Procedure.</li> <li>• Reaffirmed March 20, 2023</li> <li>• Minor Revisions March 14, 2025</li> </ul>		

*University of Vermont Policies and Operating Procedures are subject to amendment. For the official, approved, and most recent version, please visit UVM's [Institutional Policies Website](#).*