The University’s Code of Conduct serves to guide the daily operations of the entire University. This summer we are featuring one of the Campus-Wide Standards found in the Code—Civility.

- The University values an environment that promotes a spirit of civility and collegiality, while fostering open and constructive intellectual debate.
- All members of the University community have a responsibility to treat each other with consideration and respect. Managers and supervisors have an elevated responsibility to demonstrate these behaviors and support their expression in the workplace.
- Engaging in behaviors that harass, intimidate, bully, threaten or harm another member of the University community does not support a respectful and civil work environment.

Whether you new or long time employee, please read the document carefully, and take all steps necessary to apply its standards. The Code of Conduct can be found here or a paper copy can be requested by contacting 860-486-4526.

Internal Controls: Policies and Procedures

An evaluation of the effectiveness of a department’s internal controls is one of the key areas of focus during the audit process and is used to identify specific audit risks. The lack of written departmental policies and procedures is the most common “red flag” indicating weak internal controls encountered by the audit staff.

Written policies and procedures illustrate that managers are aware of a department’s mission and goals and knowledgeable about the department’s financial operations.

Written procedures should include:
- A brief description of the flow of major transactions that are processed, from their beginning to their recording in the accounts.
- Staff responsibility for initiating transactions and controlling the movements of assets.
- The identification of "control points" (i.e., the safeguard functions that staff perform to minimize risk of error, theft, or loss).

Departments might use a detailed description or flowchart to describe the operation of the internal control system, identify the control procedures in place and the staff that perform relevant tasks.

The Compliance Courier is a quarterly newsletter issued by the Office of Audit, Compliance & Ethics. Each newsletter will provide updates on important compliance issues. For questions or concerns or to suggest future articles, please contact Kimberly Fearney at (860) 486-6195 or Kim.Fearney@uconn.edu.
Facilities Operations & Building Services Guideline

The University recently approved The Facilities Operations & Building Services Guideline for Maintenance and Repair Services, used to determine who pays for maintenance and repair services in different situations.

Read the entire policy at http://policy.uconn.edu/?p=3423 or contact Facilities Operations & Building Services at 860-486-3138.

New to UConn? Don’t Forget Diversity & Sexual Harassment Prevention Training

Connecticut law mandates Diversity and Sexual Harassment Prevention training for all University of Connecticut employees on a one-time basis. The Office of Diversity & Equity (ODE) in partnership with the Cultural Centers periodically offers these mandatory trainings throughout the academic year. The scheduled dates for the 2014 – 2015 academic year are September 5, November 18, January 23, April 2 and June 5. You can register for any of these sessions by logging into https://web2.uconn.edu/hrtraining/training/. Reminders will be posted in the Daily Digest as the dates approach and information is available at ode.uconn.edu. All sessions take place in the Dodd Center’s Konover Auditorium.

Contact ODE with questions at 860-486-8709.

Official Personnel Records Centralization

In collaboration with the Office of Audit, Compliance & Ethics (OACE), and as part of the University’s Records Management Initiative, the Department of Human Resources (HR) has launched a University-wide effort to consolidate and centralize Official Personnel Records. This effort will enhance compliance with the State’s Record Retention Policy as well as create consistency and efficiency of personnel file maintenance across the University. The project will take place between August 15, 2014 through November 30, 2014.

Learn more by visiting the Official Personnel Records Centralization Project website. Please contact Melody Williamson of Human Resources with any questions.

Guide to UConn’s Freedom of Information Process

The Freedom of Information Act affords the public the right to inspect or request copies of records of state and local agencies. As a public university and state agency, UConn is subject to the requirements of the Connecticut Freedom of Information Act. In collaboration with University Communications, OACE now has a quick reference guide to UConn’s Freedom of Information Process, including FAQs, and step-by-step instructions available online:


To request a paper copy, please contact OACE at 860-486-4526.