



## State Code of Ethics Enforcement Update

The Office of State Ethics announced a former state employee agreed to pay \$5,000 to settle Ethics Code Violations. According to the Office of State Ethics' press release, the individual operated a private business using state time and resources including use of his work computer, e-mail account, and his state-provided office space. The former employee also accepted clients into his private practice that were referred to him by another employee.

According to the State Code of Ethics, public officials and state employees are prohibited from using their positions to obtain personal financial gain. Additionally, the decision to accept clients into his personal practice could have affected the clients' access to state funds and services and impaired the employee's judgment as to his state responsibilities.

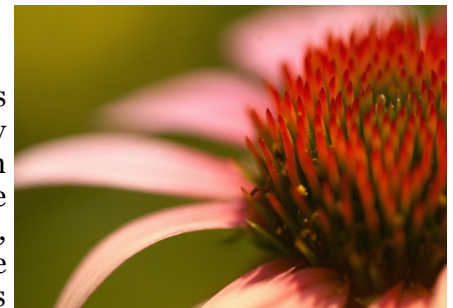
This situation demonstrates the real-life consequences associated with violating the State Code of Ethics. All employees of the university are expected to be familiar with the Code of Ethics and comply with all of its provisions. In an effort to assist employees in determining what conduct is prohibited so that it may be avoided, the University also maintains a Guide to the State Code of Ethics at <http://policy.uconn.edu/?p=387>. Faculty members should also be aware of the University's Consulting Policy and Procedures, as it specifically addresses consulting, private professional practice, teaching, and other outside employment situations.

## Non-Retaliation Reminder

The University's Non-Retaliation Policy defines how the University provides protection for any person or group within its community, who, in good faith, reports or participates in the investigation of alleged violations of policies, laws, rules or regulations applicable to the University. The University encourages individuals to bring forward information and/or complaints about the types of violations noted above as well as violations of state and/or federal law. The policy does not protect an individual who files a false report, provides false information as part of an investigation, files a bad faith retaliation claim, or who participates in illegal conduct.

Please review the full policy at: <http://policy.uconn.edu/?p=415>.

If you believe you have been subjected to retaliation, you should contact the office to which the initial complaint was filed, or any of the specific University offices noted in the policy.



UConn  
Office of Audit, Compliance & Ethics

9 Walter's Avenue, Unit 5084  
Storrs, Connecticut, 06269-5084  
Telephone: (860) 486-4526  
Facsimile: (860) 486-4527

Web: [www.audit.uconn.edu](http://www.audit.uconn.edu)  
REPORTLINE

Phone: 1-888-685-2637  
<https://uconncares.alertline.com/gcs/welcome>

## *Minor Protection Program: Q & A*

Each year, the University of Connecticut offers a wide range of opportunities for non-matriculated minors (individuals under the age of 18) to participate in University-sponsored activities. As we prepare to enter the peak season for these type of activities, we wanted to make you aware of some of the initiatives underway for University-sponsored activities involving minors.

### **Overview of Program**



#### **What is the purpose of the Minor Protection Program?**

The Minor Protection Program establishes consistent standards intended to support the University in meeting its commitments to promote the protection of minors who participate in activities sponsored by the University and to inform all members of the University community of their obligation to report any instances of known or suspected child abuse or neglect.

#### **What does the program entail and who is required to participate?**

The program incorporates training and education, a centralized system for registering youth programs, guidance on reporting child abuse and neglect, background checks for individuals supervising minors, and other requirements and resources. Program participation is mandatory for University-sponsored activities involving minors.

#### **What is a “University Sponsored Activity Involving Minors”?**

A program or activity open to the participation of minors that is sponsored, operated, or supported by the University and where minors, who are not enrolled or accepted for enrollment in credit-granting courses at the University or who are not an employee of the University, are under the supervision of the University or its representatives.

#### **Is there a policy? If so where can I find it?**

The President’s Cabinet approved an institution-wide Policy on the Protection of Minors and Reporting of Child Abuse and Neglect on March 23rd, with an effective date of April 1st. The full policy is available at: <http://minorprotection.uconn.edu/policy/>.

### **Important Reminders?**



#### **How is the term “minor” defined?**

Any individual under the age of 18, who has not been legally emancipated.

#### **If I have any concerns about a minor, who do I contact?**

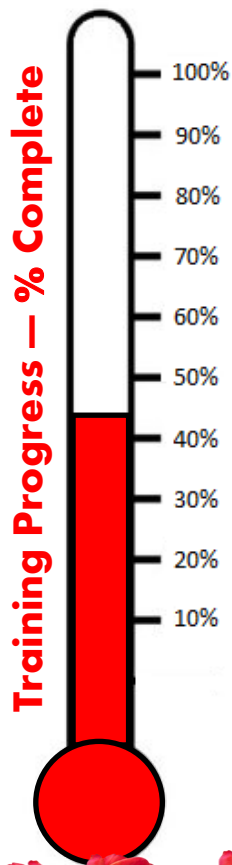
Pursuant to state law, all University employees (except student employees) are Mandated Reporters of Child Abuse and/or Child Neglect and must comply with the reporting requirements in Connecticut’s mandated reporting laws. For additional guidance on where and how to report known or suspected child abuse visit:

<http://minorprotection.uconn.edu/reporting/>.

#### **Where can I learn more?**

Further information about the Minor Protection Program is available at <http://minorprotection.uconn.edu>. Any and all questions regarding the program or reporting obligations may be directed to:

Omar Andujar, CCEP  
Minor Protection Coordinator  
Office of Audit, Compliance & Ethics  
(860) 486-5682  
[Omar.andujar@uconn.edu](mailto:Omar.andujar@uconn.edu)



## Compliance Training

Compliance Training is still available!  
The deadline for completing the Annual Compliance Training is **May 20, 2016.**

Faculty and Staff may complete the training online or in person.

Help us achieve  
**100%**

For more information, including how to register, visit:

<http://audit.uconn.edu/?p=339>

## Records and Information Management

One of the key topics being presented during this year's Annual Compliance Training is Records and Information Management (RIM). At UConn we have records of all types: financial; research; administrative; student; personnel and more - the thought of addressing the vast range of records and data can be overwhelming. Let our office help you to make RIM a little bit easier.

RIM education and support can benefit you in a couple of big ways. The training, tools and resources provided can 1) help you to create space in your work environment and 2) help you to ensure you are doing everything you can to safeguard sensitive records.

Please contact [Laurie Neal](#), Compliance and Records Management Specialist at (860) 486-4805 to request assistance.

For more information, visit:

<http://rim.uconn.edu/>.

## Policy Updates

At times, UConn engages in activities, research, and the development of new technologies that are subject to export control laws and restrictions. Research Compliance Services of the Office of the Vice President for Research has established an Export Control Policy and related procedures to support compliance with federal regulations. Individuals acting on behalf of the University, including faculty, staff and students, are responsible for adhering to the requirements set forth in this policy and related procedures. To learn more, visit <http://policy.uconn.edu/?p=6564>.

Earlier this year the President's Cabinet approved a Contractor Parking Policy to ensure parking resources are appropriately allocated. This policy applies to all general and trade contractors, construction managers, trucking and delivery drivers and workers while conducting University-contracted business at the Storrs and Depot Campuses. The full policy is available at <http://policy.uconn.edu/?p=6706>.

The Board of Trustees approved revisions to the Policy on the Selection of Outside Legal Counsel. This policy defines the approved method for the selection of Outside Counsel pursuant to statute and in other circumstances where the University may select outside Counsel on its own behalf. The full policy is available at <http://policy.uconn.edu/?p=2508>.

### Did You Know?

- We feature policy updates in the Daily Digest?
- We have a [Listserv](#) highlighting important Compliance and Ethics news and information?
- The Joint Audit and Compliance Committee (JACC) Meeting Minutes are viewable [here?](#)