

Minor Protection Program - First Summer Highlights

This summer marked the first busy season for campus youth activities since the implementation of UConn's Minor Protection Program in April. University-sponsored activities involving minors were hosted by multiple areas throughout the summer. The Minor Protection Program partnered with each of these units to provide support, assess program activities and identify ways to mitigate associated risks.

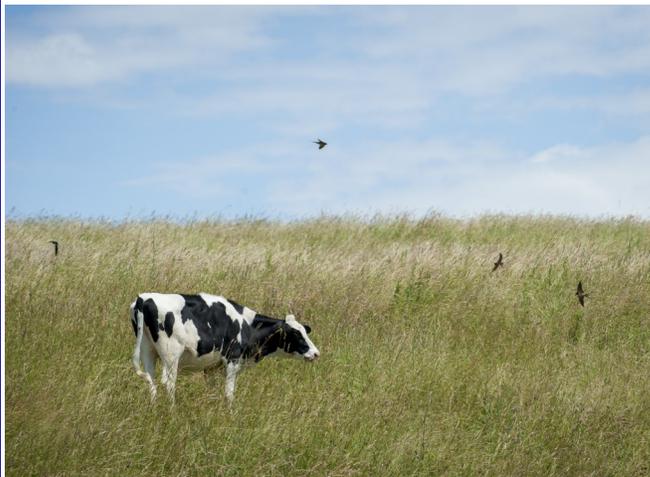
Selected accomplishments include:

- Development, design, and implementation of a central registration system to maintain current and historical records of University youth activities, track those individuals involved in activities, and validate compliance with established standards.
- Creation and execution of an online Minor Protection Training.
- Creation and launch of the Minor Protection website:
<http://minorprotection.edu/>
- Development and dissemination of a series of educational guides and resources related to applicable laws, policies, and best practices.

Much has been accomplished in a short period of time, and the Minor Protection Program has plans to build upon this foundation. Many initiatives are underway including:

- Incorporating Protection of Minors provisions into Facilities Use Agreements with entities who use or lease University property to operate youth activities.
- Further developing resources and updating training materials.
- Enhancing the central registration application.
- Conducting monitoring visits.

We are proud of the progress that has already been accomplished and are confident that additional strides will be made during the next half of the year.



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Special Feature: A Word from the OACE Auditors

Internal Controls: Policies and Procedures

An evaluation of a department's internal controls, which are used to identify specific audit risks, is a key area of focus during the audit process. 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 business operations and transactions that are processed, from initiation to recording in departmental records and financial 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.

What is Fraud?

A common question that often comes to our office is "What is fraud?" Fraud is a deliberate deception or misrepresentation practiced in order to gain something of value that results in harm or loss to the institution. Unintentional errors, mistakes or policy violations are not necessarily fraud. Common examples of fraud include: diverting cash, supplies or equipment for personal use; requesting reimbursement for personal expenses or for expenses in excess of actual and necessary business costs; and misrepresenting education or credentials to gain employment.

Fraud is most often perpetrated by an individual with complete or inappropriate ownership of a business process, for example by someone who:

- Approves his/her own expenses, reimbursements, timecards or voids
- Has access to others' passwords, signature stamps or workflows
- Never takes time off or allows anyone else to perform a function
- Has the ability to override and/or circumvent established internal controls
- Opens the mail, makes the deposit and applies the payment
- Creates a vendor, makes a purchase, and receives and applies the payment
- Performs a reconciliation that no one else reviews or understands

Other conditions that may enable fraud include no requirement for original documentation or receipts to substantiate a claimed business expense and a lack of a management review and approval process.

If you suspect the occurrence of fraud at the University, please contact OACE's Reportline at 1-888-685-2637 or on the web at www.compliance-helpline.com/uconncares.jsp. Please call the Police at 486-4800 if direct theft occurs (e.g. personal items are stolen).

For more information on the University's Policy on the Prevention and Reporting of Fraud and Fiscal Irregularities, visit: <http://policy.uconn.edu/?p=6794>.

Smoking Policy Update

Institutions of Higher Education across the country are taking strides to curtail smoking on their campuses. UConn is one of the latest Universities to enact further measures to reduce smoking, and its adverse effects, on our Storrs and Regional campuses. Effective June 7th of this year, individuals who smoke must now do so at least 25 feet away from *any* campus building. The new “25 foot rule” will help prevent smoke from flowing into building windows, vents and other passage ways, ultimately promoting a healthier working and learning environment for all. The policy also reinforces that smoking is not allowed in state-owned/leased building, facilities and vehicles.

Several offices across the University are working together to support compliance. Facilities Operations and Building Services is in the process of planning for the relocation of ash receptacles. Planning, Architectural and Engineering Services is actively inventorying locations for signage and will be collaborating with the sign shop for installation. Additionally, other offices and student organizations will be exploring the development of smoking cessation, smoke-free initiatives and other educational programs to support the University Community.

The full policy is available at <http://policy.uconn.edu/?p=1038> This policy is co-owned by the Division of Environmental, Health and Safety, Department of Human Resources and the Office of Faculty and Staff Labor Relations.

Please note UConn Health has a separate Smoke and Tobacco-Free Environment Policy in place. Visit <http://health.uconn.edu/policies> for more information.

OACE Word Search

- Acronym for the CT law regulating the controlled release of requested public records.
- Term used to describe an intentional or deliberate act, omission or concealment with the intent of obtaining an unauthorized benefit by deception or other unethical means.
- Acronym for the federal law affording students certain rights regarding their educational records.
- _____ data requires the highest level of privacy.
- Any inappropriate or unsubstantiated action taken or threatened against an employee because the individual has, in good faith, made an allegation concerning the violation of state or federal law, University policy, rule or regulation, or has participated in any manner with an investigation of such allegation.
- Code of _____ is a section of the Connecticut General Statutes that all state employees, including University employees, must observe.
- An act requiring institutions of higher education (participating in Title IV financial aid) to disclose information about crime on their campuses and in the surrounding communities.
- A _____ of interest exists when a state employee, in the discharge of their official duties, is required to take an action that would affect a financial interest of the employee, the employee’s family member (spouse, parent, sibling, child or spouse of a child), or a business with which the employee is associated with.

Instructions:

Print this page and use the clues to the left to find and circle the words and terms hidden within the word search below. Words will appear horizontally, vertically and diagonally. They will not be spelt backwards.

For the answer key, go to <http://audit.uconn.edu/2016-wordsearchanswerkey/>

X	B	C	L	X	N	X	Y	W	V	K	R	Z	K	M
O	Z	D	Z	R	C	J	Q	D	D	I	K	Z	Y	L
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P	X	Q	K	N	U	E	N	I	I	C	L	E	R	Y
V	E	C	O	N	F	L	I	C	T	A	A	V	A	F
H	J	G	G	A	V	E	M	T	F	W	L	K	G	M
Q	S	O	W	W	T	I	Z	U	V	K	A	H	R	K