



New Legislation Addresses Faculty Consulting

University faculty and members of the faculty bargaining unit (AAUP) will be allowed to continue to consult and do research with outside entities under recent legislation passed during the 2007 legislative session. The new legislation exempts faculty at UConn, the Health Center and other public colleges and universities from certain sections of the State Code of Ethics, which restricts state employees from outside employment with certain private companies.

The legislation does require the University to enact and enforce its own policies, which has been addressed through the new Faculty Consulting Policy, recently approved by the University's Board of Trustees. This policy can be found on the University's E-Policy webpage at <http://www.policy.uconn.edu>. Procedures for the Faculty Consulting Policy can be found on the Provost's website.

There are several requirements outlined in the new policies which faculty should familiarize themselves with.

The Office of Audit, Compliance & Ethics and the Office of Research Compliance will be providing training sessions on these policies throughout the academic year.

Please contact the Office of Audit, Compliance & Ethics at (860) 486-4526 or the Office of Research Compliance at (860) 486-8802 for questions regarding the new policy.



Photo by Peter Morenus

REPORTLINE Update

The Office of Audit, Compliance and Ethics launched the University's confidential compliance reporting system, the *REPORTLINE*, in June of 2006. Although the allegations reported and action taken are kept confidential, our office feels it is important for the University community to be kept updated on the effectiveness of the *REPORTLINE*, as well as made aware of "lessons learned". We have received numerous calls

since the *REPORTLINE* was launched. Often times the violations are due to lack of clarity on either a University policy or process. As a result of these calls, we have been able to advise several departments on updating their policies or creating new policies to address these kinds of issues. Other frequent calls have been regarding alleged violations of Univer-

sity work rules. We ask that employees be mindful of any personal use of University property, including University email, phones and other equipment. University policy as well as state law (State Code of Ethics) prohibits the use of state property for personal reasons.

Please stay tuned for updates on the *REPORTLINE* in future issues of the *Compliance courier*.

The "Compliance courier" is a quarterly newsletter issued by the Office of Audit, Compliance & Ethics. Each issue will provide updates on important compliance issues as well as address Frequently Asked Questions. For questions or concerns, please contact Kim Fearney at 486-6195.

Did you know.....

The University's E-Policy webpage serves as a central resource for all University and department policies. Visit <http://www.policy.uconn.edu> for more information.

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www.audit.uconn.edu

Q & A

May an employee solicit donations for a child's fundraiser?

A: It is not a violation of the Code of Ethics to raise money for charity, as long as the employee does not personally benefit (i.e. get a commission, etc.) However, it is inappropriate to pressure a subordinate to contribute to the fundraiser.

I believe that someone I work with is doing something that violates the Code of Ethics. How do I file a complaint?

A: You may use the University's confidential REPORTLINE at 1-888-685-2637 to report any compliance concerns you may have. Individuals who report in good faith possible compliance issues will be afforded confidentiality or anonymity to the extent possible under the law. Also, you may contact the Office of State Ethics.

Gifts to the State: Clarification of New Rules on Gifts

As many University employees know, there has been much talk of "gifts" over the last year. Recent rulings from the Office of the State Ethics and new legislation has continued to muddy the waters regarding when an individual employee may accept a gift and when an individual or department may accept a gift on behalf of the University.

Generally, individual employees may not accept gifts from certain "prohibited donors", including those who do business or are seeking to do business with the University, registered lobbyists and certain state contractors. There are a few exceptions to these rules, which are listed in the *Guide to the State Code of Ethics* available on the Office of Audit, Compliance & Ethics website and the E-Policy webpage.

On the other hand, when a prohibited donor offers a gift to the University, for example, a large computer hardware company wishes to donate computers to

an academic department, that is a different story. Legislation passed this spring allows for state entities to accept gifts, including goods, services and financial resources, even if they are "prohibited donors". There are however, a few restrictions to be mindful of. University employees may not accept "gifts" of conferences, seminars, and other events from prohibited donors, even if it would be beneficial to their job. Also, vendors may not make a donation to the University and then try to use that contribution to influence the procurement process.

When you are offered a gift, either as an individual or as a representative of the University, please contact the Office of Audit, Compliance & Ethics or refer to the *Guide to the State Code of Ethics* for guidance on permissible gifts under the provisions of the State Code

of Ethics. The Office of Audit, Compliance & Ethics will provide guidance on whether the gift would be allowable under the State Code of Ethics, but it is up to the individual to make the decision on whether they will accept the gift or not.

For an official ruling on a permissible gift, please contact the Office of State Ethics.



Photo by Peter Morenus