



REPORTLINE Update

The Office of Audit, Compliance and Ethics (OACE) has operated the University's confidential compliance reporting system since June of 2006. Periodically we like to share general, non-specific allegation information with the University community to assist with understanding what compliance areas employees may want to pay special attention to.

One area of concern that has surfaced recently is

workplace health and safety. We have worked closely with Environmental Health & Safety (EH&S) to look into these concerns. Please remember that certain positions here at the University require **mandatory** health and safety training (Biological, Chemical, Occupational and/or Radiation Safety). There are also several University health and safety policies that are updated annually by EH&S.

Please refer to EH&S' website www.ehs.uconn.edu or call 486-3613 for further information

It is important for employees to be aware of these important compliance requirements, as there may be serious repercussions for violations. Please stay tuned for updates on the REPORTLINE in future issues of the *Compliance Courier*.

End of Semester Reminder: Textbooks

The OACE receives many questions throughout the year about textbooks sent to University faculty, often unsolicited, from publishers. These textbooks, if they are valued at more than \$10 and kept as personal property of the faculty member, are considered impermissible gifts under the State Code of Ethics since the publishers are prohibited donors (those doing or seeking to do business with the University).

These textbooks may be kept as University property, since the State Code of Ethics allows gifts from prohibited donors to be accepted as "gifts to the state". This means that these textbooks should be kept as departmental/school property and not be taken with the faculty member when he/she leaves the employment of the University or sold for personal financial gain.

The OACE has been working

with various University committees to develop options for departments and schools to dispose of these textbooks once they are no longer useful for the faculty. Ideas being considered are collecting the books to be donated to charity or selling the books and having the proceeds go toward a scholarship fund. Please stay tuned for further information.

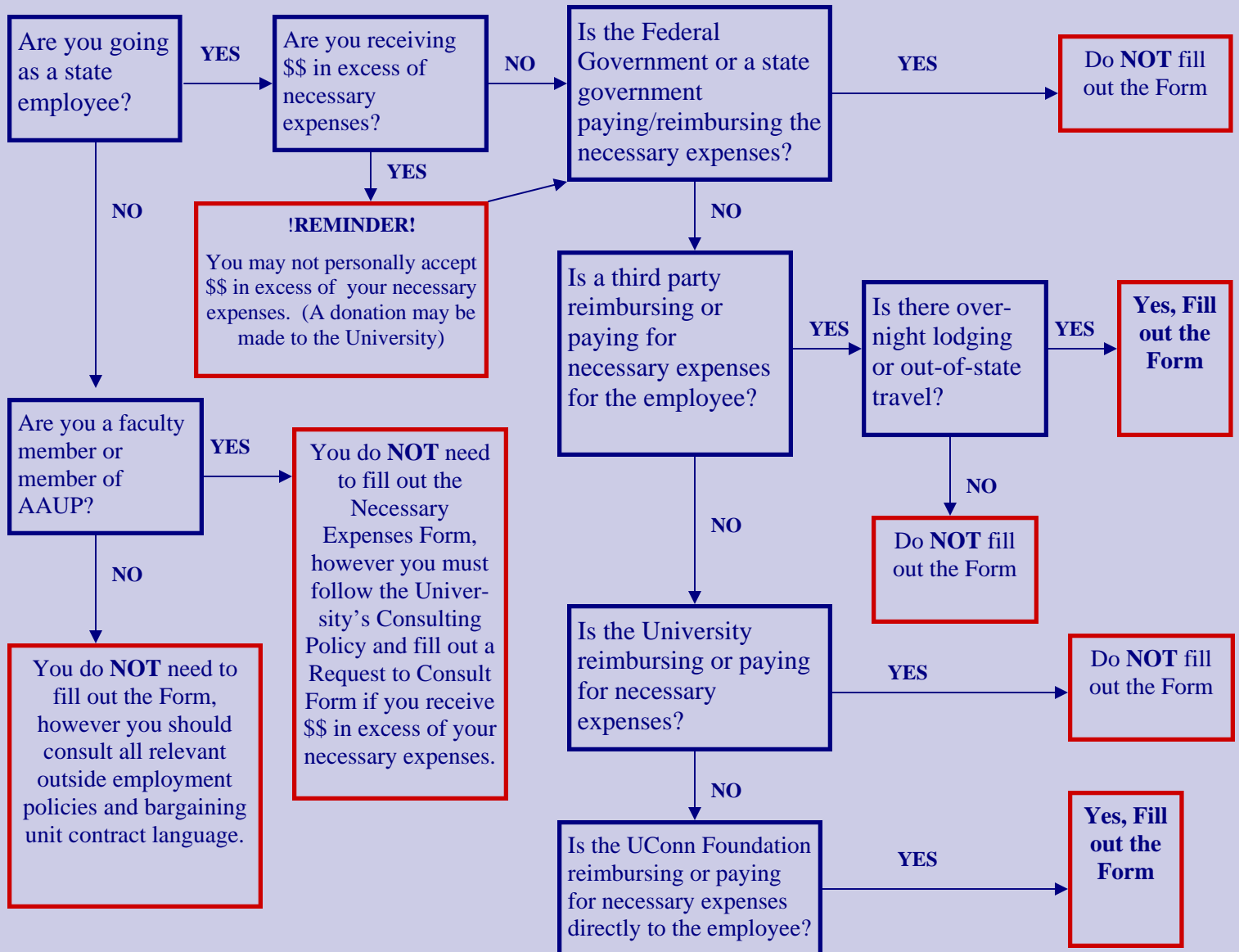


Annual Compliance Training must be completed by May 15th

When Should the Necessary Expenses Form be Filled Out?

Knowing when to fill out a necessary expenses form (Form ETHN-E) can be confusing. The following example and flow chart are meant to assist faculty and staff in determining when this form must be completed and sent to the Office of State Ethics. Remember, Necessary Expenses are considered “necessary travel expenses, lodging for the nights before, of and after the appearance, speech or event, meals and any related conference or seminar registration fees”.

EXAMPLE: You are asked to speak at a conference. The entity that has invited you has offered to reimburse you for your airfare, hotel and meals. Do you have to fill out a necessary expenses form?



The “Compliance Courier” is a quarterly newsletter issued by the Office of Audit, Compliance & Ethics. Each issue 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.