



07-08 Compliance Training Recap: How did we do?

As many of you already know, in June we completed our second annual Compliance Training Program. The OACE is thrilled to announce that **98%** of our employees completed training this year, either online or in-person. This number exceeds last year's attendance rating of **95%**. We were able to include these numbers in our annual compliance report, which is submitted to the Federal Government by July 1st of each year of our settlement agreement.

The OACE conducted 67 live training sessions this year, including 10 at the regional campuses. We also included one night session for our second and third shift employees and

held one hearing-impaired session at the Depot Campus. We also offered online training beginning in March.

We are currently designing the training program for next year. We invite anyone with topic suggestions to contact Kimberly Fearney at Kim.Fearney@uconn.edu. Also, please make sure to contact Kim with any changes you would like for next year (example: different locations). Although we are required to provide Compliance Training each year, we do not want to cover the "same old thing". We plan to make sure the sessions cover new, interesting compliance topics, including updates on policies/laws that

we've covered in previous sessions.

We are currently finalizing formal disciplinary sanctions for those who do not complete training. These will be implemented next semester. For this year, names of those who did not complete training will be provided to the senior administration and the Board.

Photo by Peter Morenus



Internal Controls: Information Technology

The OACE is often asked what departments should do to protect their information technology equipment and data. The UITS website includes several policies that cover these responsibilities in detail. However, OACE recommends that departmental internal controls begin with an awareness of the following:

Equipment:

Departments should maintain a current and comprehensive inventory of all technology equipment housed in, or used by the department. This should include computers, laptops, University owned cell phones/PDAs, printers, copiers, etc. An ACT 40 form should be completed and renewed annually for any piece of equipment that leaves the department (e.g. laptops).

Computers that are replaced or otherwise taken out of use should be wiped clean in accordance with University policy.

Data: A regular review should be performed to identify the nature of all data stored on departmental computers and laptops. An assessment of the sensitivity/critical nature of data housed in the department should be done regularly. What data is being stored? What would the impact be if the data was lost, accessed or altered by an unauthorized individual? How often is the data being backed up and who has the responsibility for that backup process? What is the procedure for recovering that data should a system failure occur?

Software Licenses:

Individual users are responsible for assuring that all software applications on their computers are appropriately licensed.

Users should consult the Software Licensing Group website for information on University-wide site licenses available to all UConn users. Documentation of appropriate licensing for all software applications should be maintained in the department.

User IDs and Passwords:

IDs and passwords should never be shared and should never be written down and/or posted anywhere in a user's workspace.

Records Retention:

Be aware of the University's Records Retention policies and how they relate to your data. (both electronic and hard copy).

What is JACC?

The Joint Audit and Compliance Committee (JACC) is a committee of the University's Board of Trustees whose primary function is to assist the Trustees and Health Center Board of Directors in fulfilling their oversight responsibilities relating to: the integrity of the University's financial statements, the systems of internal control, the performance of the internal audit function, and the University's compliance with legal and regulatory requirements.

It is the responsibility of the JACC to maintain free and open communication among the Committee, management, internal auditors and compliance officers/staff of the University. The JACC takes all appropriate actions to set the overall tone for quality financial reporting, sound business risk practices and ethical behavior.

The JACC membership consists of seven Board members; four from the University Board of Trustees and three from the Health Center Board of Directors. All members are independent of Management and the University.

The JACC is scheduled to meet quarterly at either the Storrs or Health Center campuses. All meetings are open to the public. For meeting schedules or for more information regarding the JACC, please refer to the OACE website at <http://www.audit.uconn.edu/jacc.htm>.

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In the next Issue:

**Meet the
Compliance Staff
REPORTLINE update**



Photo by Peter Morenus

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.

Summer Compliance Tip: Update your Policies and Procedures

Summer is a great time to spend updating policies and procedures. Examples of what to look at include: checking web links, updating contact information, statutory changes and any other changes to address concerns that may have come up during the academic year.

OACE would like to once again remind departments that all policies should be posted on the E-Policy website. If you have policies that have not been posted, please contact your E-Policy Editor or Kimberly Fearney in OACE for help.