



Employment and Contracting for Services of Relatives

The employment or contracting for service of relatives in the same department or area of an organization may cause conflicts and serve as the basis for complaints concerning disparate treatment and favoritism as well as violations of the state's Ethics statute.

The Policy on Employment and Contracting for Service of Relatives exists to protect against such conflicts and complaints and to provide for the ethical and legally consistent treatment of individuals with relatives seeking employment or who are employed by the University.

Please review the full policy at <http://policy.uconn.edu/?p=357>. For questions, contact the Office of Audit, Compliance & Ethics at (860) 486-4526 or the Office of Faculty and Staff Labor Relations at (860) 486-5684.

Topics covered in this edition of the Compliance Courier include:

Employment and Contracting for Services of Relatives

Holiday Gifts– Frequently Asked Questions

Policy on the Acceptance and Disposal of Textbook Donations

Policy on the Assignment of Textbooks and Other Intellectual Property

Coming soon:

“Compliance Chats”

A Podcast Series

Stay Tuned for Updates!

REPORTLINE



1-888-685-2637



<https://uconncares.alertline.com/gcs/welcome>

Holiday gift F.A.Q.s

Please use the following to assist you regarding the giving and receiving of gifts during the holidays:

Q: A vendor that frequently does business with the University just sent a large fruit basket to our office as a holiday gift. May we accept it or do we need to send it back?

A: A fruit or gift basket (valued at more than \$10), while not acceptable if given to one person alone, may be accepted on behalf of an entire department or office if the per-person cost is less than \$10.

Q: I was just invited by one of our vendors to their holiday party. May I attend?

A: Attendance at a vendor's holiday party may be permissible, as long as employees are mindful that gifts of food and beverage must total less than \$50 in a calendar year and items given as gifts from a vendor must total less than \$10 less in value with an annual total less than \$50.

Q: May I spend \$250 to pay for a holiday luncheon for my staff?

A: Yes, provided that the benefit for each subordinate is not more than \$99.00.

Q: May my coworkers and I pool our money together to give our supervisor a gift certificate worth \$150.00?

A: No. Gifts from subordinates to supervisors cannot exceed \$99.99. Pooling above that limit is not permissible. (Except when the "major life event" gift exception may be used. Holiday gifts do not fall within this exception.)

Q: If I receive a gift from a vendor outside the permissible limits, may I donate it to charity?

A: Yes, as long as you do not accept any tax credit for donating the gift. It is suggested that you document the charitable location. If the gift is not practical to donate, you may return it to the vendor or bring it to the office to share (following the guidance in the first F.A.Q. above).



Additional questions and/or concerns related to holiday gift giving should be directed to Kim Fearney, Ethics Liaison and Director of Compliance at kim.fearney@uconn.edu.

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



Policy on the Acceptance and Disposal of Textbook Donations

The University understands that some publishers might wish to send a textbook out to a faculty member of the University of Connecticut as free material for their use. The policy on Acceptance and Disposal of Textbook Donations was created to distinguish the appropriate acceptance and eventual disposal of gift textbooks and related material.

Under State of Connecticut and University of Connecticut ethics rules, faculty and staff are not allowed to accept a free textbook or related academic material from prohibited donors if the value of the item exceeds \$10.00. A free textbook or related materials valued at more than \$10.00 may be accepted as property of the University under state and University rules.

When a free textbook and or related academic material are deemed out of date or are otherwise no longer in active use, they may *not* be removed from the University for personal use. These items may be donated to the University with the approval from the appropriate Dean or through the University Libraries by donating them to the library.

Policy on the Assignment of Textbooks and Other Intellectual Property

No public official or state employee should use his/her public office or position to obtain financial gain for himself/herself, his/her spouse, child, child's spouse, parent, brother/sister or a business with which he/she is associated. The Code of Ethics for public officials and state employees prohibits the use of one's public position for personal financial gain.

The policy on Assignment of Textbooks and other Intellectual Property was created to provide guidance on the circumstances under which one may assign a textbook or other intellectual property authored or developed by the professor to a course s/he may teach.

If a faculty member assigns a textbook or intellectual property s/he authored or prepared as a course requirement, it may be interpreted as "obtaining financial gain for himself/herself."

However, if the faculty member receives prior approval for such use, or directs any financial gain to a University of Connecticut student scholarship fund within thirty (30) days of receipt, no review is needed.

Approval for the use of a textbook or other intellectual property authored by the faculty member in a course taught by that individual should be obtained through a department or school/college review of the intellectual property in question. The review will assess the appropriateness of this specific piece of intellectual property consistent with the guidelines established in Advisory Opinion No. 2001-7. A small committee of faculty members, of the same rank of the professor, will complete the review, and a determination report will be filed by the Provost's Office.

The Code of Ethics ... prohibits the use of one's public position for personal financial gain.

Did You Know?

- We feature a "Policy of the Week" in the Daily Digest?
- Previous editions of our quarterly newsletter may be found at <http://audit.uconn.edu/?p=803>?
- The Joint Audit and Compliance Committee (JACC) Meeting Minutes are viewable [here?](#)

