Standards of Conduct
Annual Compliance Training
Objectives

By the end of this lesson, you should be able to:

- Recall UTHealth Standards of Conduct.
- Demonstrate UTHealth’s commitment to the highest standards of ethics and compliance with laws, policies, and regulations.
Compliance Reporting

• All members of the UTHealth community have a responsibility to comply with applicable laws and policies in the performance of their job and to report suspected violations of laws or policies.

• It is your responsibility to:
  - Refer to the Standards of Conduct as issues arise and to seek further assistance if you are unsure how to proceed.
  - Uphold the highest legal and ethical standards in fulfilling your job duties.
  - Follow all policies and laws in addition to those found in the Standards of Conduct.
When Should I Make a Compliance Report?

Ask yourself these questions to help decide if you should make a report:

- Does it comply with UTHealth policies?
- Is it legal?
- Is it fair and honest?
- How would it look to your family and friends if it made the news?
How Do I Make a Compliance Report?

Option 1
Call the Compliance Hotline at (888) 472-9868
- The Hotline is anonymous
- The Hotline is available 24 hours a day, 7 days a week

Option 2
Email Institutional Compliance at compliance@uth.tmc.edu

Option 3
Make a web report at www.tnwinc.com/webreport

Option 4
Speak to the Compliance Officer at (713) 500-3294

Option 5
Speak to your supervisor
Click each number below to view what happens after you make a compliance report.

After clicking each topic, wait for the arrow to blink and turn blue before clicking to proceed.
What Happens After I Make a Report?

Triage Team Review

All reports are reviewed by the Chief Compliance Officer and the Triage Team. The Triage Team consists of representatives from:

- The Office of Legal Affairs
- Human Resources
- Audit & Advisory Services
- The University of Texas Police Department
- The Office of Institutional Compliance
- Others as deemed necessary
What Happens After I Make a Report?

Investigation Coordination

The Office of Institutional Compliance coordinates the investigation.
What Happens After I Make a Report?

Review

The Chief Compliance Officer and the Triage Team review the investigation findings and determine appropriate corrective actions, if any.
Retaliation

Acts or threats of retaliation can result in disciplinary action, including termination.

Additional information regarding reporting retaliation concerns is located in UTHealth's Protection from Retaliation Policy, **HOOP 108**

If you believe you have been retaliated against for addressing a compliance concern, you should immediately contact the Chief Compliance Officer.

UTHealth does not tolerate retaliation against those who report problems and concerns in good faith.

Remember YOU are one of the most important elements of UTHealth’s compliance program. You should speak up if you have retaliation or compliance concerns.
What is Fraud and Abuse?

**Fraud Policy**

The University of Texas System Fraud Policy, [UTS 118](#), specifies our individual responsibilities regarding the prevention and reporting of fraud.

**What is Fraud?**

Knowingly attempting to gain any benefit that does not belong to you.

**What is Abuse?**

Any activity that results in excessive or unreasonable cost to the University or other state or federal agencies.
Examples of Fraud and Abuse

**Falsifying:**
Records, including payroll, time, medical, and scientific records.

**Billing:**
For procedures or services not performed.

**Providing False:**
Receipts and documentation for reimbursement, including travel.

**Overstating:**
The percentage of effort that you actually worked on research grants.
Reporting Fraud & Abuse

If you suspect that anyone has conducted fraudulent activities regarding UTHealth business, you should discuss the matter with your supervisor or with the Office of Institutional Compliance.

For additional information about fraud and abuse, please review UTS 118 or contact the Office of Institutional Compliance.
Billing Compliance

UTHealth is committed to providing high-quality patient care while complying with laws and regulations.

All claims for professional fee reimbursement must adhere to federal and state laws and The University of Texas System policies.

If you believe any unacceptable billing practices have occurred, you should discuss the matter with your supervisor or with the Office of Institutional Compliance.
Overview

UTHelth strives to create a research climate with high ethical standards without inhibiting the productivity and creativity of researchers.
Our standards

Our standards require the protection of scientific integrity, human subjects, and research animals.
Research Integrity & Misconduct

Overview

Our standards

Misconduct Examples

Reporting

HOOP Policies

Misconduct Examples

Research misconduct includes fabrication, falsification, plagiarism, or other practices that deviate from commonly accepted practices within the academic community for proposing, conducting, or reporting research.
Research Integrity & Misconduct

Reporting

Report suspicious behavior in research, including dishonesty, misconduct, or fraud, to the appropriate department chair, dean, or the Executive Vice President for Academic and Research Affairs.
Research Integrity & Misconduct

HOOP Policies

For additional information, consult HOOP Policy 202, Honesty in Research, and HOOP Policy 168, Conduct of Research
Use of UTHealth Resources

1. UTHealth is a state agency, so we are all responsible for using state resources appropriately.

2. As state employees, conserving state resources is our responsibility as trustees for the citizens of the State of Texas.

3. All faculty and staff are responsible for protecting and preserving UTHealth’s property, equipment, and supplies.
Resources may be used for personal purposes ONLY if the use does not result in a cost to UTHealth, does not interfere with job duties, and is brief in duration.

To continue click on the bottom right side.
UTHealth property, equipment, and supplies CANNOT be used for private benefit or gain, such as outside employment.

To continue click on the bottom right side
Contacts with External Entities

Introduction

Primary Resource
The Media Relations Team is the primary institutional resource for interaction with external media.

If Contacted By the Media...

Authorizations

HOOP Policy 5

Government Agencies

HOOP Policy 147
Contacts with External Entities

If a member of the media contacts you about UTHealth business, direct them to the Media Relations Team, a part of the Marketing and Communication Division of the Office of Advancement, at (713) 500-3030.
Contacts with External Entities

Introduction
Primary Resource
If Contacted By the Media...
Authorizations
The Media Relations Team is authorized to speak on behalf of UTHealth and can schedule interviews, as necessary.
HOOP Policy 5
Government Agencies
HOOP Policy 147
Contacts with External Entities

- Introduction
- Primary Resource
- If Contacted By the Media...
- Authorizations
- HOOP Policy 5
  For more information, consult [HOOP Policy 5](#), Communications with the Media
- Government Agencies
- HOOP Policy 147
Contacts with External Entities

Introduction
Primary Resource
If Contacted By the Media...
Authorizations
HOOP Policy 5

Government Agencies
- UTHealth is committed to cooperating with government and other investigations.
- It is essential to protect the legal rights of UTHealth and all faculty and staff.
- If you are contacted by a governmental agency, or if you receive a subpoena, inquiry, or other legal document from any governmental agency regarding UTHealth business, contact the Office of Legal Affairs at (713) 500-3268.

HOOP Policy 147
Contacts with External Entities

**Government Agencies**
- UTHealth is committed to cooperating with government and other investigations.
- It is essential to protect the legal rights of UTHealth and all faculty and staff.
- If you are contacted by a governmental agency, or if you receive a subpoena, inquiry, or other legal document from any governmental agency regarding UTHealth business, contact the Office of Legal Affairs at (713) 500-3268.

**HOOP Policy 147**
The unlawful purchase, manufacture, distribution, possession, selling, storage, and use of controlled substances* in or on UTHealth premises.

UTHealth prohibits:

Who violate this policy are subject to disciplinary action, including termination.

Any faculty or staff:

For more information:
Consult HOOP Policy 173, Substance Abuse in the Workplace

* A controlled substance is a chemical agent that can be misused or abused.
Occasionally, faculty and staff may need time to attend to personal or family medical needs for serious health conditions, the birth or adoption of a baby, or to attend to circumstances arising from the military duty of a family member.

Consult **HOOP Policy 106**, Family and Medical Leave, and an Employee Relations Advisor in the Office of Human Resources for more information on Family and Medical Leave.

All employees must provide accurate and honest time reporting.
Contracts and Agreements

Only employees authorized in writing by the UTHealth President may enter into contracts or agreements, either oral or written, on behalf of UTHealth.

And to view the Delegation Authority Matrix, consult HOOP Policy 124, Authority to Execute Contracts and Make Purchases.

For more information
Summary

It is your responsibility to:

• Report suspected violations of policies or law.
• Refer to the Standards of Conduct as issues arise and seek further assistance if you are unsure how to proceed.
• Follow all policies and laws in addition to the Standards of Conduct when conducting UTHHealth business.
• Uphold the highest legal and ethical standards in fulfilling your job duties.
Contact Information

- If you have any questions about the information contained in this module, please contact the Office of Institutional Compliance.
- If you have any questions or concerns about an ethical or compliance issue at work, please contact your supervisor, the Compliance Hotline, or the Office of Institutional Compliance.

Compliance Hotline
To report anonymous concerns
1- (888) 472-9868

Office of Institutional Compliance
(713) 500-3294
compliance@uth.tmc.edu