Introduction

This document is intended for reference only and may contain slightly different information than the online module. It was last updated May 19, 2016. The most current information can be found by logging in to UTLearn at http://utelearn.utexas.edu.

University Compliance Services is located at 1616 Guadalupe Street, in the UT Administration (UTA) building, Suite 2.206. If you have a question or concern you may call our office directly at 512-232-7055 or use the Compliance and Ethics Hotline at 877-507-7321. You may also report a concern online at: http://www.reportlineweb.com/utaustin
Links used in this presentation:
University Compliance Services: http://compliance.utexas.edu/

Human Resources and New Employee Orientation: http://hr.utexas.edu/current/new/newo.html

Faculty Ombuds: https://ombuds.utexas.edu/faculty

Staff Ombuds: https://ombuds.utexas.edu/staff

Student Ombuds: https://ombuds.utexas.edu/student

Compliance and Ethics Guide: https://utw10474.utweb.utexas.edu/cw100/ComplianceAndEthicsGuide.pdf

University Policies can be found in our Handbook of Operating Procedures (HOP): http://www.policies.utexas.edu

- 3-1021 Suspected Dishonest or Fraudulent Activities
- 3-1022 Protection from Retaliation for Suspected Misconduct Reporting (Whistleblower)
- 3-1410 Records Management
- 4-1120-PM Use of University Physical Facilities, Equipment, and Other Resources by Faculty and Staff
- 5-2011 Conflict of Interest, Conflict of Commitment, and Outside Activities
- 5-4010 State Compensatory Time
- 5-4020 University Time Reports
- 7-1210 Promoting Objectivity in Research by Managing, Reducing, or Eliminating Conflicts of Interest

Information Security Office (ISO) policies can be found on their website: https://security.utexas.edu/policies/

Additional information can be found in the Handbook of Business Procedures (HBP): https://financials.utexas.edu/hbp/

- Records Management
For new employees:

Welcome to the University of Texas at Austin!

You are joining a long and proud history that dates back to our founding in 1883.

We are the flagship university of the State of Texas and as such we are committed to creating and maintaining a culture of integrity and ethical behavior.

Orientation

We hope you also take the opportunity to attend **New Employee Welcome** (also called PN 1000) to learn more about our great university.

This session is put on by **Human Resources** and happens every Monday from 8-12:30. You can register in UTLearn.
Our goals

We want to take a few minutes to talk about why compliance and ethics matter and what services University Compliance Services provides for campus.

We also want to provide you with resources and show you how to report suspected illegal or unethical activities.

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Read your guide

All new employees must read the Guide in their first month on the job.

The Employee Compliance and Ethics Guide contains an overview of the policies you are expected to follow and can be found in the “acknowledgment statements” section of the Compliance Training System or on the University Compliance Services website. At the end of the document is a place to electronically sign it.
Required training: New Employees

As a new State of Texas employee, by law you are required to take certain training. Every employee at UT Austin is required to take 4 classes at least once every 2 years:

- Compliance & Ethics Program at UT Austin (this module)
- Sexual Misconduct Prevention
- Equal Employment Opportunities
- Information Security Awareness

You may have to take other classes depending on your job duties. Check with your supervisor if you're not sure.

Please continue reading at the “For everyone” section below.
For all other employees, volunteers, and affiliated worker:

Our goals

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Required training:

As a State of Texas employee, by law you are required to take certain training, regardless of the number of hours you work. At UT Austin, we ask that every employee, volunteer, and affiliated worker take 4 classes at least once every 2 years:

- Compliance & Ethics Program at UT Austin (this module)
- Sexual Misconduct Prevention
- Equal Employment Opportunities
- Information Security Awareness

You may have to take other classes depending on your job duties. Check with your supervisor if you’re not sure.

Please continue reading at the “For everyone” section below.
For everyone:

Compliance & Ethics Program at UT Austin

Training is only part of what makes up an effective compliance and ethics program. There are also risks that need to be identified and policies that need to be created. When there’s a report of illegal behavior, we must investigate what happened.

Our office oversees regulatory risks on campus, but there are many compliance professionals who help make our campus better. They deal with different aspects of compliance, like safety, research, and athletics.

Compliance & Ethics Hotline: 877-507-7321

We’re all in this together

Compliance professionals can’t do our work without your help! The university has an expectation of all of our faculty, staff, and student employees to:

- Act legally and ethically at all times
- Encourage others to act legally and ethically at all times
- Manage conscientiously
- Prevent and report retaliation
- Complete required training
- Ask questions before engaging in risky behavior
- Report illegal or unethical behavior in a timely manner

Compliance & Ethics Hotline: 877-507-7321
Here are some examples of some unethical behavior we will cover:

- Fraud
- Failure to disclose a conflict of interest
- Unauthorized use of state property
- Misuse of official information
- Theft of time

Theft of Time

Scenario:
A department lacked funds for overtime pay, but the staff routinely worked over 40 hours a week during busy times. To compensate for this, the supervisor gave staff time off during slow periods. However, he had them record eight hours worked on their time sheets during both the busy and the slow times.

Policy:
You cannot put time on your time report that you did not work. By asking the employees to record 8 hours on their time reports, the supervisor was actually asking employees to break the rules. You can find more information on this policy in HOP 5-4010: State Compensatory Time, HOP 5-4020: University Time Reports and HOP 3-1410: Records Management.
Unauthorized Use of State Property

Scenario:
A UT employee brought home reams of paper, markers, tape, and other office supplies to use for a friend's baby shower.

Policy:
The state requires that we only use UT property for official business. This includes equipment like copy machines and phones, as well as UT vehicles.

See HOP 4-1120-PM Use of University Physical Facilities, Equipment, and Other Resources by Faculty and Staff for more information.

Fraud

Scenario:
A long-time trusted employee was able to embezzle over $850,000 from the university over the course of several years. No one ever double-checked her work.

Policy:
As ethical employees, we all have a responsibility to report suspected dishonest or fraudulent activities. These types of situations may include: forgery, altering time sheets, falsifying official university documents, stealing money, accepting gifts that might influence you in your official duties, and others.

We can report situations like these to our supervisors, any university official, the Compliance & Ethics hotline, or even the State Auditor's Office.

See HOP 3-1021 Suspected Dishonest or Fraudulent Activities for more information.
Misuse of Official Information

Scenario:
A staff member used his access to employee information to look up the home address of his ex-girlfriend.

Policy:
In the course of our work for the university we may have access to certain kinds of confidential or private information. We are not allowed to use that confidential information or share it with anyone - including other UT employees - except for official university business.

For more information, see:
- ISO policies on Data Classification and Confidential Data
- Records Management HBP 20.7

Conflicts of Interest

Scenario:
A professor was part of a large team who were researching whether or not “fracking” was harmful to the environment. The research study concluded that “fracking” was not harmful, but it was later discovered that the professor served on a board for an oil company involved in “fracking”. This caused the integrity research study to called into question.

Policy:
University employees can engage in outside work or activities, as long as the work does not violate state laws or UT policies. We must keep in mind, however, that even the appearance of a conflict of interest can cause a problem with our official duties.

For more information see:
- HOP 5-2011 Conflict of Interest, Conflict of Commitment, and Outside Activities
- HOP 7-1210 Promoting Objectivity in Research by Managing, Reducing, or Eliminating Conflicts of Interest
Questions? Just ask!

Obviously the examples used in this presentation don’t cover every possible scenario. If you’re ever not sure about whether something is meeting the expectations of laws, regulations, or UT Austin policies, just ask!

You can ask:
- Your supervisor/manager
- UT Austin policies
- Faculty, Staff, or Student Ombuds
- The compliance professional for the related area of compliance
- The UT Austin hotline (by web or by phone: 877-507-7321)
- University Compliance Services

Confidentiality will be maintained by University Compliance Services to the greatest extent allowed by law and under the circumstances of the report.

Retaliation is prohibited

We want to encourage people to ask questions and report suspected illegal and unethical behavior. If you report something “in good faith,” or you help with an investigation, you are protected from retaliation by the university.

“In good faith” means that you believe the misconduct is or might be happening. You don’t have to be right, but you cannot report someone just because you don’t like them or want to get them in trouble. Providing information that you know is false or untrue is not protected by this policy and you could face disciplinary action.

You can read more about our anti-retaliation policy in HOP 3-1022: Protection from Retaliation for Suspected Misconduct Reporting (Whistleblower).

This protection does not extend to self-reported violations. In other words, if you do something illegal and report it, you are not considered a “whistleblower.”
An ethical workplace matters

Working at a place that is ethical is not only good for the university, it's good for you. Studies show that people who work for an ethical workplace are:

- Happier
- More engaged and committed to their jobs
- Less likely to commit illegal and unethical behavior themselves
- More likely to report illegal and unethical behavior of others

Plus, it's just the right thing to do.

Services our office provides

In addition to providing training opportunities, we also provide ways to report suspected illegal and unethical behavior, we investigate those reports, we assist with writing policies, and we assist with risk assessments.

You can find out more about our organization by going to our website: compliance.utexas.edu.
Thank you!

Although no single training module will be able to show you all of the potential ethical dilemmas or cover all of the policies, we hope that you tell someone when you have questions or concerns. Remember, YOU can make the difference.

Remember to ask yourself:
• Is it legal?
• Is it consistent with our policies?
• How would an outsider see the situation?

And if you’re still not sure, just ask one of the many resources at the university. We are happy to help!

University Compliance Services’ Contact information

1616 Guadalupe Street, UTA 2.206
(512) 232-7055
(512) 232-3722 (fax)
http://compliance.utexas.edu/

Compliance & Ethics Hotline:
877-507-7321

Paul Liebman, Chief Compliance Officer

This handout is for informational purposes only. To receive credit you must take and pass the quiz. If you have questions, please contact training@compliance.utexas.edu.