




Standards of Conduct Annual Compliance Training

Objectives

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



Recall, agree to, and abide by the 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

Refer to the Standards of Conduct as issues arise and to seek further assistance if you are unsure how to proceed

UPHOLD

Uphold the highest legal and ethical standards in fulfilling your job duties

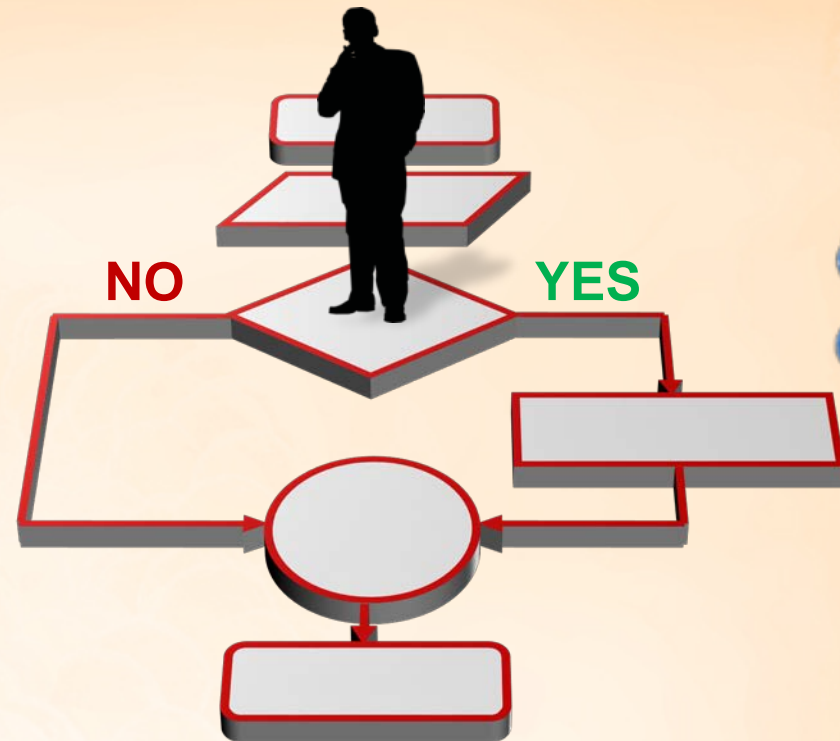
FOLLOW

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 UTHHealth 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

Speak to your supervisor

Option 2

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 3

Make a web report at

www.tnwinc.com/webreport

Option 4

Speak to the Compliance Officer at 713-500-3294

Option 5

Email Institutional Compliance at

compliance@uth.tmc.edu

What Happens After I Make a Report?

1. **Triage Team Review** – All reports are reviewed by the Chief Compliance Officer and the Triage Team.
 - **The Triage Team consists of representatives from:**
 - Office of Legal Affairs
 - Human Resources
 - Audit & Advisory Services
 - University of Texas Police Department
 - Office of Institutional Compliance
 - Others as deemed necessary
2. **Investigation Coordination** – The Office of Institutional Compliance coordinates the investigation.
3. **Review** – The Chief Compliance Officer and the Triage Team review the investigation findings and determine appropriate corrective actions, if any.

Retaliation

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



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](#)

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.

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

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

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

What is Fraud?

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 UTHHealth business, you should discuss the matter with your supervisor or with the Office of Institutional Compliance.

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



Billing and Medical Billing Compliance

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.

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



Research Integrity & Misconduct

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

- Our standards require the protection of scientific integrity, human subjects and research animals.
- 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.
- For additional information, consult [HOOP Policy 202, Research Misconduct](#), and [HOOP Policy 168, Conduct of Research](#).

* 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.

Use of UTHealth Resources

1

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

2

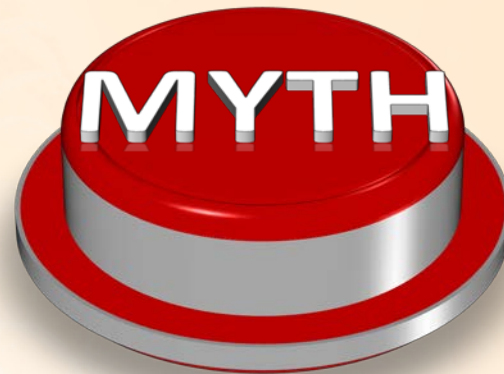
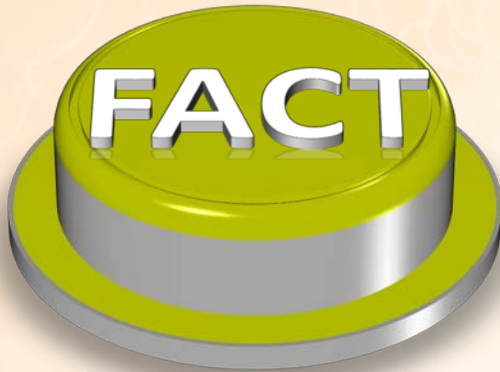
As state employees, conserving state resources is our responsibility as trustees for the citizens of the State of Texas.

3

All faculty and staff are responsible for protecting and preserving UTHealth's property, equipment, and supplies.

Use of UTHealth Resources

Resources may be used for personal purposes.

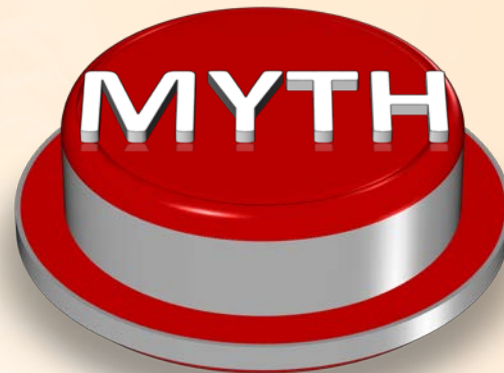
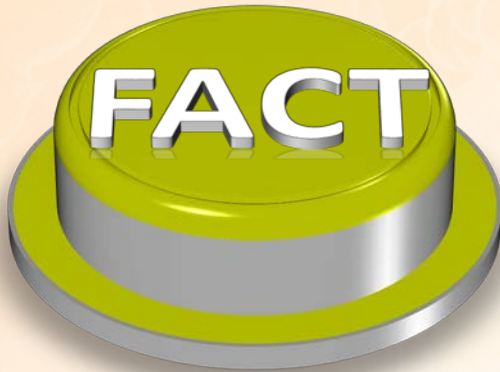


Resources may be used for personal purposes
**only if the use does not result in a cost to
UTHealth, does not interfere with job
duties, and is brief in duration**


To continue click  on the bottom right side

Use of UTHealth Resources

UTHealth property, equipment, and supplies
can be used for private benefit or gain.



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

Primary Resource

Members of the Media Relations team are available 24/7 to help journalists develop story ideas, identify the best news sources and arrange interviews on topics including innovative patient care, cutting-edge research and breaking news in health care.

- If contacted by the media about UTHealth business, direct them to the Media Relations team at 713-500-3030.
- The Media Relations team is authorized to speak on behalf of UTHealth and can schedule interviews, as necessary.
- For more information, consult [HOOP Policy 5, Communications with the Media](#).

Contacts with Government Agencies

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.
- For more information, consult [HOOP Policy 147, Handling Legal Processes](#).

Learning Game Placeholder

Learning Game: Choices

Title: Knowledge Check 2

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Outline Thumbnails Notes Search

22. Knowledge Check 2

Knowledge Check 2

Welcome to CHOICES.

Your objective is to answer each question correctly before time runs out.
Simply click the correct answer with your mouse.

Click the pause button to stop the clock during play.

PAUSE II

Your time remaining will count down in seconds.

TIME 00:02

Your score will be calculated along the way.

SCORE 100

Your progress will update as you advance.

1 of 4

Click the GO button to get started!

GO! ►

articulate®

Outline Thumbnails Notes Search

22 Knowledge Check 2

Knowledge Check 2

Question:

Research misconduct includes fabrication, falsification and plagiarism.

A True

B False

INCORRECT

(Click here to continue)

TIME 00:26

SCORE 0

1 of 4

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Outline Thumbnails Notes Search

22. Knowledge Check 2

Knowledge Check 2

Question:

To whom should you report suspicious behavior in research, including dishonesty, misconduct, or fraud?

- A Human Resources
- B Executive Vice President for Academic and Research Affairs
- C Chief Compliance Officer
- D Counseling and Worklife Services

INCORRECT

(Click here to continue)

TIME 00:19

SCORE 0

2 of 4

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Outline Thumbnails Notes Search

22 Knowledge Check 2

Knowledge Check 2

Question:

Resources can be used for personal purposes even if the use results in a cost to UTHHealth.

A True

B False

CORRECT!

(Click here to continue)

TIME 00:11

SCORE 25

3 of 4

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Outline Thumbnails Notes Search

22. Knowledge Check 2

Knowledge Check 2

Question:

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

A True

B False

CORRECT!

(Click here to continue)

TIME 00:24

SCORE 50

4 of 4

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Outline Thumbnails Notes Search

22.Knowledge Check 2

Knowledge Check 2

Your Results:

Number Correct: 1 of 4

Your Score: 25

Passing Score: 75

You did not pass.

Advance >>

Use of UTHHealth Resources

UTHHealth promotes:

A drug & violence free workplace

For more information:

Consult [HOOP Policy 173](#), Substance Abuse in the Workplace



Drug &
Violence
Free

UTHHealth prohibits:

The unlawful purchase, manufacture, distribution, possession, selling, storage, and use of controlled substances* in or on UTHHealth premises

Any faculty or staff:

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

*A controlled substance is a chemical agent that can be misused or abused

Family and Medical Leave

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.

For more information

And to view the Delegation
Authority Matrix, consult [HOOP
Policy 124](#), Authority to Execute
Contracts and Make Purchases.

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 UTHealth business
- Uphold the highest legal and ethical standards in fulfilling your job duties

Contact Information

If you have questions about the information contained in this module, please contact the Office of Institutional Compliance.

If you have 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

888-472-9868

<http://www.tnwinc.com/webreport>

713-500-3294

compliance@uth.tmc.edu

Office of Institutional
Compliance