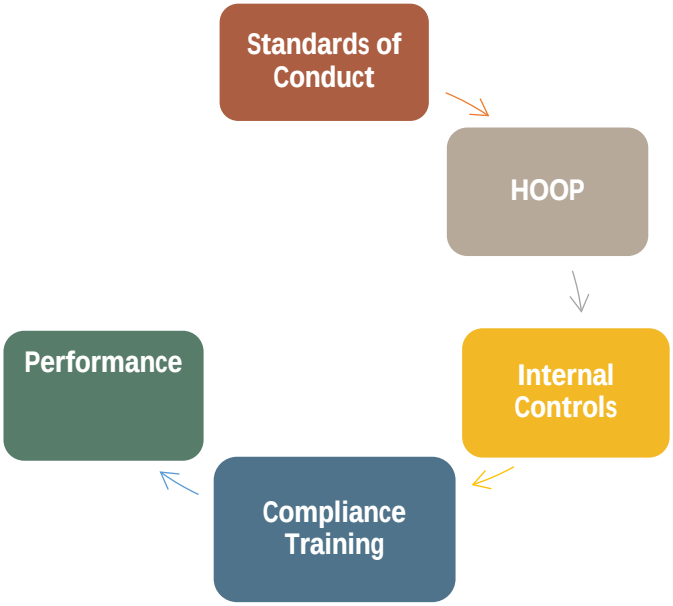
UTHealth Houston

Standards of Conduct Guide

Excellence Through Ethical Standards


Standards of Conduct
HOOP
Internal Controls
Compliance Training
Performance

How Do We Uphold Our Standards?

We are required to uphold the highest legal and ethical standards in fulfilling our job duties and participating in activities involving the University. We do this through our actions and conduct, which are rooted in the choices and decisions we make.

Ethical Decision-Making:

Exercise good judgment, care, and consideration. When responding to an issue, you should consider the following basic, ethical questions:

- *Is there a potential threat or risk to life, health, environment, or safety?*
- *Is it acceptable under the applicable laws and regulations?*
- *Is it reasonable, correct, fair, and honest?*
- *Can it be ethically justified?*
- *Assume it can be made public—how would it appear in the public eye?*
- *Is it in line with our University's Standards of Conduct?*

Reporting Paths:

There are several ways to report suspected misconduct or noncompliance activities:

- Make a report through the normal administrative channels (i.e., report concerns to the appropriate supervisor). The recipient of such a report is obligated to relay the reported information to any responsible office or authority.
- Make a report to the Chief Compliance Officer or other staff member in the Office of Institutional Compliance (OIC), either by letter or email.
- Make a report through the designated UTHealth Houston Compliance email address: Compliance@uth.tmc.edu.
- Make a report through the Compliance Hotline: English speaking (833-222-0056) or Spanish speaking (800-216-1288); go.uth.edu/compliance-hotline.
- Make a report via an exit interview statement given through Human Resources upon the conclusion of employment at the University *and* request contact back from Human Resources.

Pre-Complaint Consultation:

For those types of complaints with specific policies and complaint processes to follow, you may contact OIC for a pre-complaint consultation if you:

- Want to know your options under applicable policy;
- Have questions about the process; or
- Are not sure if you want to formalize your concerns within a specific type of complaint.

Retaliation Concerns:

If you are unsure about filing a complaint because the circumstances have not yet materialized into retaliation, yet you still have the fear of retaliation, you should take the following actions:

- Seek guidance, as needed, to identify any potential opportunities to communicate directly regarding your concerns and resolve conflict at the lowest level possible.
- Review HOOP Policy 108, Protection from Retaliation, in detail.
- Be prepared to document detailed notes about each concerning incident that you believe may implicate retaliation and why.
- Be prepared to retain the notes about each incident and any related records in a secure location.
- If you later decide to seek a pre-complaint consultation or file a complaint, you will have the supportive information needed, should perceived retaliation incidents occur.

Compliance Hotline:

The Office of Institutional Compliance (OIC) is responsible for reviewing reports submitted to the Compliance Hotline: English speaking (833-222-0056) or Spanish speaking (800-216-1288); go.uth.edu/compliance-hotline. When communicating about making a formal complaint or [illegible]

Conflict of Interest and/or Commitment	A conflict of interest is when an individual's personal interests – family, friendships, financial, social, or other factorsason0s84541 9m7 0 Td 9m7 .04 Tm(16)TjETBQ11.4 9mµ222r

Information or Records Requests	The Texas Public Information Act specifies requirements fos

Political Activities and Political Contributions	University policy outlines circumstances in which employees may participate in political activities. Political contributions from any source of University funds are prohibited.	HOOP 38	Limited participation is permitted when activities are not during work hours unless on absence time; comply with law; do not interfere with job duties; do not impermissibly use UT System nor Uniem fmms1o37g.t7k037TD[(c)-8.7 (o)-rtg.t

Sensitive Information	Sensitive information must be protected with all safeguards available and must not be shared with anyone without a legitimate business need to know. In particular, social security numbers have specific policy requirements.	HOOP 102; HOOP 129; HOOP 129-Appendix A; HOOP 175; IT Security Policy ITPOL-023; UT System Policy UTS 165	Examples of sensitive and private information include, but are not limited to, personnel data (e.g., employment application information); Social Security number; student information (e.g., grades posted with Social Security

Technology	Under the technology policy, limited use of University Information Resources for personal purposes is permitted as outlined by the policy.	HOOP 180; IT Security Policy ITPOL-019	Permissible examples include personal use that does not result in cost to the University; does not interfere with job duties; is brief; does not disrupt nor distract; and does not compromise security or privacy. Specific examples of permissible use include a child calling their parent's work phone number; brief occasional personal email; or access to otherwise blocked web sites after successful certification of legitimate work purpose. Unacceptable uses include conducting outside business; political campaigning; illegal activities; or supporting, promoting, or soliciting for an external entity without advance approval.
Texas False Claims Act	The Texas law is similar to the federal law preventing payment of false and fraudulent claims.	False Claims and Whistleblowing	False claims examples include misrepresentations to obtain money or property; direct/indirect actions causing unnecessary costs; billing for equipment not received nor returned; or false information misleading into joining a plan.
Time and Leave Records	Applicable laws and policies require accurate recordkeeping.	HOOP 24	All employees must submit records reflecting hours absent from work and, for hourly salaried and nonexempt employees, their actual hours worked.
Tobacco-Free Environment	The University is committed to a tobacco-free environment for those who enter University-owned or leased properties.	HOOP 10	The use of tobacco is not permitted on the premises or grounds of the University. Failure to comply with this policy may result in disciplinary action, up to and including dismissal or termination.
Use of Copyrighted Material	Copyright protects original works of authorship and restricts their use. To reproduce materials, you must have the owner's or copyright holder's permission. It is best to assume that most books, magazines, and other materials		

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Workplace and Environmental Health and Safety	The University works to create and maintain a safe and secure environment and to be prepared for emergencies.	HOOP 89; HOOP 90; HOOP 86	Every individual must ensure their work environment is safe and that proper procedures are followed for handling and disposal of potentially hazardous materials. Every individual must also immediately alert a supervisor or instructor and the Safety, Health, Environment, and Risk Management (SHERM) office if any injury or situation presenting danger of injury is present. Main Office: 713-500-8100 (Monday-Friday, 8:00 a.m.-5:00 p.m.); Hotline: 713-500-5832 (after hours, weekends, holidays for the on-call safety specialist); and for emergencies, call UT Police Dispatch 713-792-2890 or 911.