THE UNIVERSITY OF TEXAS AT EL PASO

Institutional Compliance

What is covered?

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- Objectives of the Compliance Program

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Compliance vs. Ethics

Compliance

- To be in compliance means to adhere to all laws, rules, and policies that apply to your job functions.

- You are **not** responsible for knowing **all** the laws and policies that apply to UTEP.

- You are responsible for knowing and following the laws and policies that apply to you and your job functions at UTEP.

- You can contact your supervisor or UTEP's Office of Institutional Compliance (OIC) at **(915) 747-6478** for compliance guidance on specific laws, policies, and other issues.

Ethics

- Ethical behavior is more than legal compliance — **"doing the right thing"** goes beyond the law.

- Ethical conduct requires knowledge about laws, rules, and policies applicable to your employment responsibilities.

- UTEP personnel are expected to be role models of ethical behavior and should set a proper tone for their departments.

- For more information on Ethical Standards visit The University of Texas System Ethics website at: **https://www.utsystem.edu/offices/systemwide-compliance/ethics.**

UTEP's Compliance Program

- High ethical standards and compliance with the law are extremely important at UTEP.

- All UTEP employees have an obligation to the State of Texas, to The University of Texas System Board of Regents, and to themselves to be good stewards of the resources entrusted to them.

- UT System Policy UTS119 mandates that all University of Texas (UT) System institutions have a compliance program.

- Program direction is provided by the System-wide Compliance Officer who works with the System-wide Compliance Executive Committee, which consists of UT System Executive Management.

- Each institution has a compliance officer, compliance committee, and administrative office.

  - **UTEP's Chief Compliance Officer is Mary Solis, Director of Institutional Compliance**.

  - UTEP's Executive Compliance Committee is chaired by the University's President and comprised of all University Vice Presidents.

Objectives of the Compliance Program

- Train employees on key laws, regulations, and policies that affect all employees at every level of the University.

- Continuously monitor identified high-risk areas to reduce risk regarding:
  - Financial loss
  - Injury or harm to individuals
  - Unfavorable publicity to the University

- Resolve identified concerns promptly and add related issues to monitoring activities.

- Report compliance issues in an effective and timely manner.

- Address reported compliance concerns.

Role of UTEP employees

- You should be aware of and perform your duties and responsibilities in compliance with all applicable:

  - Laws and regulations

  - Policies of the state and federal government

  - Policies of the UT System and UTEP

- You are obligated to report any suspected non-compliance activities by using normal administrative channels:

  1. First, report your concerns or raise your questions to your **supervisor**.

  2. You may also contact a **subject matter expert** on campus, such as Human Resources, Office of Student Life, or Environmental Health and Safety.

  3. If you need further assistance, the **Compliance Helpline** is available for you to use and remain anonymous, to the extent provided by law.

General Compliance Training

- **General Compliance Training** is assigned to all faculty, staff, and student employees to raise the level of awareness on key compliance issues that impact their jobs daily which includes:

  - Broad and general overview of the laws, regulations, and policies that affect **all** employees, regardless of title and position.

  - Contact information for subject matter experts and links to websites where employees will find valuable information.

- **All faculty, staff, and student employees are required to complete compliance training every fiscal year.**

- **NOTE: It is important for New Employees to complete their training by their assigned due date.**

Mid-module questions

Question #1 (Refer to Slide #3)

Ethical conduct and compliance with laws are the personal responsibilities of each UTEP employee.

    True   or   False

Question #2 (Refer to Slide #3)

UTEP employees are required to know all the laws and policies that apply to all employees at UTEP.

    True   or   False

Question #3 (Refer to Slide #4)

UTEP's Chief Compliance Officer is:

    a. The President of the University

    b. Director of Institutional Compliance

    c. Chief of Staff

    d. None of the above

Question #4 (Refer to Slide #4)

One objective of the Compliance Program is to train employees on key laws, regulations, and policies that affect all employees at every level of the University.

    True   or   False

Question #5 (Refer to Slide #4)

What are the objectives of the Compliance Program?

    a.   Report compliance issues

    b.   Provide employee training

    c.   Monitor high risk areas

    d.   Address reported compliance concerns

    e.   All of the above

Question #6 (Refer to Slide #5)

How often are you required to complete General Compliance Training?

    a. Once every two years

    b. Twice a year

    c. Once a year

    d. Once every five years

Question #7 (Refer to Slide #5)

As a UTEP employee, you are obligated to report any suspected non-compliance activities using normal administrative channels. Who would you first report your concerns or raise your questions to?

    a. Your supervisor

    b. An established department

    c. The Compliance Helpline

    d. None of the above

Risk Management

- An annual risk assessment is performed in collaboration with the Office of Auditing and Consulting Services to identify areas that are of greatest exposure for non-compliance for the University.

- The Office of Institutional Compliance ensures the identified areas are being properly managed by the appropriate individuals.

- Oversight is provided by the Executive Compliance Committee. The committee meets periodically to review progress of the Compliance Program and discuss compliance issues and monitoring activities for risk areas identified through the annual risk assessment process.

Examples of non-compliance

- Embezzlement or theft
- Questionable accounting or auditing matters
- Severe weaknesses in accounting or internal controls that could result in fraud
- Work time or expense abuse
- Undisclosed or unmanaged conflicts of interest
- Not requesting approval for an outside activity
- Kickbacks
- Discrimination or harassment
- Environmental health and safety issues
- Computer security violations
- Violations of Federal or State laws, UT System Regulations, or UTEP policy

The Compliance Helpline 1-888-228-7713

- It is important for you to report any suspected non-compliance. **If you see something, say something.**

- The **Helpline** is a toll-free number you can call at anytime for assistance with suspected wrongdoing, including financial reporting, internal accounting controls, audit matters, waste, abuse, and violations of any federal or state laws.

- It is available **24 hours a day, 365 days a year**, and available in Spanish.

- It is staffed by helpful, trained professionals who will guide you through the process.

- All calls are **confidential** and do not require you to identify yourself, to the extent permitted by law.

- All reports of allegations are routed to UTEP's Office of Institutional Compliance.

Additional methods for reporting suspected non-compliance

- You may also use the following methods to **raise questions** or **report your concerns** and retain your anonymity to the extent permitted by law:

  - **Office of Institutional Compliance**, Kelly Hall, Room 308

  - **Phone:** (915) 747-6478

  - **Email: complianceoffice@utep.edu**

  - **Web reporting: https://www.lighthouse-services.com/utep**

- Please note per state law, all employees of Texas universities are required to report incidents of sexual harassment, sexual assault, dating violence, or stalking allegedly committed by or against a student or employee, **promptly** to a Title IX Coordinator or Deputy Title IX Coordinator. To make a TIX report, please visit the TIX website at: **https://www.utep.edu/TitleIX/.**

UTS 131 Protection from retaliation for reporting suspected wrongdoing

- The purpose of this policy is to:

  - **Provide** requirements and guidelines for the protection of individuals from retaliation for **good faith actions** in reporting, or participating in an investigation pertaining to, alleged violations of laws, rules, policies, or procedures applicable to UTEP

  - **Encourage** employees to report, or cause to be reported, and to assist in any investigation by persons authorized or responsible for such matters, known or suspected violations of laws, rules, policies, or regulations, or improper activities

  - **Prohibit** unlawful retaliation against employees as a consequence of good faith actions in the reporting of, or the participation in an investigation pertaining to, allegations of wrongdoing

- For more information visit the Handbook of Operating Procedures Section V, Chapter 8: Protection from Retaliation from Alleged Wrongdoing available at: **https://www.utep.edu/hoop/section-5/ch-8.html.**

Standards of Conduct Guide

- The *Standards of Conduct Guide* emphasizes the principles and common values that direct employees' actions, and it contains resources to help resolve questions about appropriate conduct in the workplace.

- Although the *Standards of Conduct Guide* addresses several specific laws, policies, rules and regulations, it is not intended to be a comprehensive list of legal and ethical standards. It does, however, encourage UTEP employees not only to follow the rules in the Standards of Conduct Guide, but also to understand and act in accordance with the values behind the rules.

- To review the complete *Standards of Conduct Guide*, visit UTEP's OIC website at: **https://www.utep.edu/compliance/_Files/docs/Standards-of-Conduct-Guide.pdf.**

By completing this module, you are acknowledging that you will abide by the *Standards of Conduct Guide*.
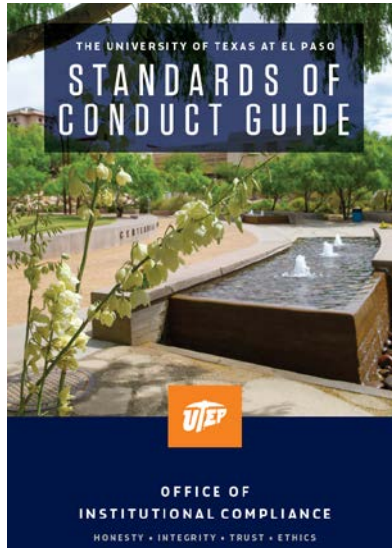
Teachable Takeaways

- You are responsible for knowing and following the laws and policies that apply to you and your job functions at UTEP.

- You are expected to be role models of ethical behavior and should set a proper tone for your department.

- It is important for you to report any suspected non-compliance. If you see something, say something.

- The Compliance Helpline 1-888-228-7713, is available 24 hours a day, 365 days out of the year.

- The Standards of Conduct Guide emphasizes the principles and common values that direct our actions and contains resources to help resolve questions about appropriate conduct in the workplace.

- UTEP provides requirements and protection to employees from retaliation for good faith actions in reporting, or participating in an investigation pertaining to, alleged violations of laws, rules, policies, or procedures applicable to UTEP.

Additional resources

- **Regents' *Rules and Regulations***

  https://www.utsystem.edu/offices/board-regents/regents-rules-and-regulations

- **UT System Ethics**

  https://www.utsystem.edu/offices/systemwide-compliance/ethics

- **UT System-wide Compliance Office**

  https://www.utsystem.edu/offices/systemwide-compliance

- **UTS 131 Protection from Retaliation for Reporting Suspected Wrongdoing**

  https://www.utsystem.edu/sites/policy-library/policies/uts-131-protection-retaliation-reporting-suspected-wrongdoing

- **UTEP Handbook of Operating Procedures**

  https://www.utep.edu/hoop/

- **HOP: Section V, Chapter 8 Protection From Retaliation From Alleged Wrongdoing**

  https://www.utep.edu/hoop/section-5/ch-8.html

- **Office of Institutional Compliance**

  https://utep.edu/compliance

- **Standards of Conduct Guide**

  https://www.utep.edu/compliance/_Files/docs/Standards-of-Conduct-Guide.pdf

Question #1 (Refer to Slide #8)

Which is an example of non-compliance?

    a.   Disclosing or managing conflicts of interest in accordance with University policy

    b.   Requesting approval for an outside activity

    c.   Computer security violations

    d.   Using work time and making purchases in accordance with University policy

Question #2 (Refer to Slide #9)

Which method can you use to raise questions or report suspected non-compliance?

    a.   Calling the Compliance Helpline

    b.   Sending an email to complianceoffice@utep.edu

    c.   Submitting a web report at https://www.lighthouse-services.com/utep

    d.   All of the above

Question #3 (Refer to Slide #10)

UTS 131 Protection from Retaliation for Reporting Alleged Wrongdoing Policy provides requirements and guidelines for the protection of individuals from retaliation for good faith actions in reporting, or participating in an investigation pertaining to, alleged violations of laws, rules, policies, or procedures applicable to UTEP.

    True   or   False

Question #4 (Refer to Slide #11)

The Standards of Conduct Guide is intended to be a comprehensive list of legal and ethical standards.

    True   or   False