Standards of Conduct Guide

Developed by
The University of Texas at Dallas
Office of Institutional Equity & Compliance
The Standards of Conduct Guide has been updated for FY17.

What is the purpose of the Guide?
The Guide ensures all UT Dallas employees are aware of how to perform their job duties and responsibilities for compliance with applicable laws, regulations and policies.
The Guide includes topics such as:

- Institutional Compliance Program
- Privacy and Confidentiality
- Information Security
- Research Compliance
- Ethics
- Conflicts of Interest, Conflicts of Commitment, and Outside Activities
- Acceptance of Gifts
- Political and Legislative Activities
- Contacts with Media, Government and Outside Investigators
- Workplace Conduct and Employment Requirements
- Workplace Health and Safety
- Use of State Resources
- Contracts, Agreements and Purchasing
- Copyright and Intellectual Property
UT Dallas Employee Responsibilities

As employees of a state agency, UT Dallas employees owe a responsibility to the people of Texas in the performance of their duties.

✓ High personal and professional standards are critical

✓ Employees are held accountable for their actions (or failure to act)

✓ Responsibilities inherent to all positions include:
  • Compliance with all applicable laws and regulations, University policies and procedures, and with the terms and conditions of gifts, contracts, and grants
  • Use of sound financial and business practices
  • Use of proper internal controls
Please Keep In Mind

While the *Guide* addresses a number of specific laws and regulations, it is not intended to be a comprehensive list of legal and ethical standards.

Rather, it provides employees with information about and cites references for the regulations that have a direct effect on the University and its operations.
Fraud, Waste and Abuse

- Acts of fraud, waste and abuse impact the resources of UT Dallas. Such acts may occur through an unintentional act or by deliberate action. Each employee is responsible for minimizing fraud, waste and abuse.

- The *Guide* provides information on the differences between fraud, waste and abuse and cites examples of each.
Disclose Conflicts of Interest

What’s a conflict of interest?
A conflict of interest exists when a financial or fiduciary interest you hold outside of UT Dallas could influence or impair your ability to perform your responsibilities for UT Dallas.

Outside interests are things like:
– Salary or consulting fees
– Serving on a board of directors
– Starting or investing in a company
– Accepting gifts

Good intentions are not enough.
As state employees, we must maintain public trust in our integrity.
Even if you know you’re not doing anything wrong, you must still disclose outside interests related to your work at UT Dallas to avoid the appearance of a conflict of interest.

Staff members with questions regarding conflicts of interest should contact the Office of Institutional Equity and Compliance at x2233 or compliance@utdallas.edu.

Faculty and Researchers with questions regarding conflicts of interest should contact the Office of Research Compliance at x4718 or conor@utdallas.edu.
Request Approval for Outside Activities

If you decide to work as a consultant or find employment outside of UT Dallas:

– Always get approval from your Department Head or supervisor before starting the activity.
  • Faculty and Researchers can request approval via the Conflict of Interest and Commitment Portal at [https://www.utdallas.edu/research/re/coi_disclosures/](https://www.utdallas.edu/research/re/coi_disclosures/).
    – Please contact the Office of Research Compliance at x4718 or conor@utdallas.edu with any questions.
  • All other employees (excluding Faculty and Researchers) can request approval via the UT System Outside Activity Portal at [https://outsideactivity.utsystem.edu/](https://outsideactivity.utsystem.edu/).
    – Please contact the Office of Institutional Equity and Compliance at x2233 or compliance@utdallas.edu with any questions.

– You must maintain a clear separation between your responsibilities for UT Dallas and your outside activities so that others understand when you are representing UT Dallas and when you are acting as a consultant or employee of another company or agency.

– Always make sure appropriate agreements are in place before using UT Dallas intellectual property, resources, or equipment in connection with your outside activities.

Case Studies

Please visit the [Case Studies](#) page for situational examples that illustrate the kinds of relationships that involve outside activities and interests that require action under UT Dallas policy.
Review and Understand

Every employee is responsible for reviewing, understanding, and abiding by the concepts outlined within the Standards of Conduct Guide.

The Guide is available on the UT Dallas Institutional Compliance website at:

www.utdallas.edu/oiec/compliance/resources/conduct-guide/
How Do I Learn More?

- UT Dallas OIEC Institutional Compliance [Website]
- UT System Compliance [Website]
- UT System/UT Dallas [Fraud Policy]
- UT System Board of Regents Ethics Policy [Website]
- UT Dallas [Hotline] Procedures
- UT Dallas Institutional Compliance Training [Procedures]
- UT System Office of General Counsel [Ethics Website]
- Contact UT Dallas’s Compliance Office: 972-883-2233 or [compliance@utdallas.edu]