

Hot Topics in Compliance



Developed by
The University of Texas at Dallas
Office of Institutional Equity and Compliance

This training module provides UT Dallas faculty and staff with updates and reminders in the following areas:

1. [Drug-Free Workplace](#)
2. [Rights and Protections to Whistleblowers](#)
3. [Programs for Minors, Camps and Events](#)
4. [Ethics and Compliance Hotline](#)
5. [Standards of Conduct Guide](#)

UT Dallas Is a Drug-free Workplace



Drugs and Alcohol Policy

As part of our commitment to provide a healthy and productive educational environment, UT Dallas does not allow unlawful possession, use or distribution of illicit drugs and alcohol by students and employees on campus.

Consequences for violating this policy:

- Employees could face disciplinary action up to and including termination
- UT Dallas could lose federal funding

If you need help in dealing with an alcohol or substance abuse issue:

- Call the Employee Assistance Program (EAP): 214-648-5330
- Additional information can be obtained from Human Resources at their website: [Drug Free Workplace](#)

41 U.S. Code § 4712 - Pilot program for enhancement of contractor protection from reprisal for disclosure of certain information

The federal government has enacted a pilot program, which remains in effect until January 1, 2017, to aid in protecting employees from reprisal by employers for having engaged in certain whistleblowing activities in connection with federal grants and contracts. The program applies to all employees working for contractors, grantees, subcontractors and sub grantees on federal grants and contracts.¹

Under the program, an “employee of a contractor, subcontractor, or financial assistance awardee may not be discharged, demoted or otherwise discriminated against” as a reprisal for whistleblowing. “Whistleblowing” means disclosing information the employee “reasonably believes is evidence of” any of the following:

- Evidence of gross mismanagement of a Federal contract, grant or cooperative agreement;
- A gross waste of Federal funds;
- An abuse of authority relating to a Federal contract, grant or cooperative agreement (defined by 48 CFR § 3.908-2 as "an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency");
- A substantial and specific danger to public health or safety; or
- A violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract), grant or cooperative agreement.

¹ Per the statute these provisions do not apply to DoD, NASA, and the Coast Guard or any element of the intelligence community, as defined in section 3(4) of the national Security Act of 1947 (50 U.S.C. 3003(4))

Contractors, subcontractors, or award recipients cannot be dismissed, demoted or discriminated against for reporting such issues, if disclosed to the following:

- A Member of Congress, or a representative of a Congressional committee;
- An Inspector General;
- The Government Accountability Office;
- A Federal employee responsible for contract or grant oversight or management at the relevant agency;
- An official from the Department of Justice, or other law enforcement agency;
- A court or grand jury; or
- A management official or other employee of the contractor, subcontractor, grantee, or sub-grantee who has the responsibility to investigate, discover or address misconduct.

Additional details and procedures for filing complaints, may be found in the full statute [41 U.S.C. 4712](#) (Section 828) and at Federal Regulations, [48 C.F.R. 3.908](#).

Faculty, staff and student organizations can request to host an event or camp at UT Dallas.

When planning a camp or event the organizers must:

- ✓ Reserve a space
 - Student Organizations: [Student Affairs Room Reservation System](#)
 - Classrooms: [Registrar's Office Faculty and Staff Intranet](#)
 - Auditoriums, Conference Rooms, Labs and Open Spaces: [Event Planning Guide Room Reservations](#)
 - Overnight accommodations: [Residential Camp & Conference Services](#)
- ✓ Submit an Online [Event Registration and Request Form](#)
- ✓ Review and Discuss [Emergency and Safety Procedures](#)
- ✓ Purchase Required Special Risk Insurance – [Camps](#) / [Events](#)
- ✓ Add event to [Comet Calendar](#)
- ✓ Notify the [Visitor Center](#) if off campus guests are invited

All staff, counselors, faculty, students and volunteers who will be working with minors are required by law to complete the following prior to the start of the camp:

- ✓ [Child-Protection Training](#)
- ✓ [Criminal Background Check](#)
- ✓ Medical Information and Release Form for [Minors](#) and [Adults](#)
- ✓ Release and Indemnification Form for [Minors](#) and [Adults](#)
- ✓ [Talent Release Form](#) (if photos will be taken)



Visit [Resources for Camp Organizers](#) and [Residential Camp & Conference Services](#) for additional information, links to forms and training information.

The **hotline** provides a **confidential** way for the campus community to report instances of suspected non-compliance or unethical behavior.

This may include:

- fraudulent activities
- theft of University assets
- conflicts of interest
- misconduct or violations of policy

The best thing to do is to talk to your supervisor first. If you don't feel comfortable doing that, then hotline is a good way to report anonymously and confidentially.

UT Dallas contracts with an outside service provider, *The Network*, to receive hotline calls and reports. If you ask to remain anonymous, no attempt will be made to identify you. The information you provide will be treated as confidential and privileged to the extent permitted by law.

Non-retaliation is assured. UT Dallas [Protection from Retaliation Policy](#)



DO THE
**RIGHT
THING.**

**REPORT FRAUD, THEFT,
OR OTHER UNETHICAL BEHAVIOR
TO THE UT DALLAS ETHICS & COMPLIANCE HOTLINE**

phone
1.888.228.7707

web
utdallas.edu/hotline

Do your part to make UT Dallas a safe ethical environment. To report both compliance and other unethical behavior, including related to financial reporting, internal accounting controls or audit matters, call with your supervisor or contact the Compliance Office or contact our confidential hotline. Employees are protected from retaliation by UT Dallas and UT System policy.

UT DALLAS

[The Standards of Conduct Guide](#) ensures all UTD employees are aware of how to perform their job duties and responsibilities for compliance with applicable laws, regulations and policies.

It is **every** employee's responsibility to review and understand the policies and procedures outlined within the Standards of Conduct Guide and agree to abide by such.

Standards of Conduct Guide



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View the Guide to learn more about:

- 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

I acknowledge that I have reviewed and understand the policies and procedures outlined in the of the Standards of Conduct Guide and agree to abide by such.



You have completed this training.

This training module is available on the UT Dallas [Office of Institutional Equity and Compliance website.](#)

Institutional Compliance

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Darren Smith, Compliance Assurance Specialist
Mousumi Tanha, Compliance Training Coordinator

Contact us for assistance with :

Compliance Training

Questions about policies and procedures

Reporting noncompliance with policies

Conflict of Interest Reporting (Staff only)

Approvals for Outside Employment (Staff only)

Reporting unethical behavior