

# **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.

### STANDARDS OF CONDUCT GUIDE

The purpose of the Standards of Conduct Guide (The Guide) is to emphasize the need for and the responsibility of all employees of The University of Texas at Dallas (UTD) to become aware of how to perform their duties and responsibilities in compliance with applicable provisions of federal and state laws, regulations, and policies, and with the policies, rules and regulations of the Board of Regents of The UT System and UTD.

While most employees are aware of compliance standards and are sensitive to these issues, we feel that it is beneficial to provide an official guide for use as reference.

The Guide is an outline of some of the laws, policies, rules and regulations that are pertinent to the conduct of employees of UTD. Although The Guide addresses a number of specific laws, policies, rules and regulations, it is not intended to be a comprehensive list of legal and ethical standards; rather it provides employees of UTD with information about and source references for the laws, policies, rules and regulations that have a direct effect on the University and its operations. Specific ethical or compliance questions of employees should be directed to the employee's supervisor, or UTD's Compliance or Ethics Officer.

### INSTITUTIONAL COMPLIANCE PROGRAM

The University of Texas at Dallas (UTD) Institutional Compliance Program (Program) is intended to demonstrate in the clearest possible terms the commitment of UTD to the highest ethical standards and compliance with all applicable laws, policies, rules and regulations. The Program direction is provided by a System-wide, Executive-level Compliance Committee representing all major compliance areas. The UT System Compliance Officer is responsible for the execution of the Program. Each UT System component institution has a Compliance Officer and a Compliance Committee. At UTD, the Compliance Officer is the Compliance Manager. For a list of members of the Compliance Committee, please see UTD's Institutional Compliance Program Website at <http://www.utdallas.edu/compliance>.

### INSTITUTIONAL COMPLIANCE SUBCOMMITTEE

In addition to the Compliance Committee, the University has an Institutional Compliance Subcommittee which is comprised of representatives from the departments across campus. The subcommittee meets periodically to review the Institutional Compliance Program and to recommend changes to the list of high risk areas requiring proactive monitoring. The responsible person for each high risk area reports quarterly regarding any incidents of non-compliance that have occurred during the quarter. In addition, members of the subcommittee are responsible for ensuring their Risk Management Plans (RMP) are current, reviewing and

## 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.



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](http://utdallas.edu/hotline)

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



# 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](mailto: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](mailto: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](mailto: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/>.
    - Please contact the Office of Institutional Equity and Compliance at x2233 or [compliance@utdallas.edu](mailto: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/](http://www.utdallas.edu/oiec/compliance/resources/conduct-guide/)

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Office of Institutional Equity and Compliance



# 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](mailto:compliance@utdallas.edu)