

WARNING SIGNS OF NON-COMPLIANCE

If the following statements are made to you, it might be a warning sign of non-compliance behavior:

"Well, maybe just this once..."

"No one will ever know..."

"It sounds too good to be true."

"Everyone does it."

"Shred the document"

"We can hide it."

"No one will get hurt."

"We didn't have this conversation."

"It doesn't matter how it gets done as long as it gets done."

If you are in doubt, ask yourself the following questions until you feel comfortable:

Is the action in compliance with University policy and procedures?

Is the action legal?

How will I feel about myself afterwards?

How will it look in the newspaper?

If you are not sure what to do, ask and keep asking until you are sure you are doing the right thing.

Web Reporting is available to report anonymously online at:
www.utep.edu/compliance



YOU CAN MAKE A DIFFERENCE!

REMEMBER:

Make compliance part of everyday activities

Inquire to find answers

Notify your supervisor or appropriate department

Everyone is responsible

Report concerns to compliance office or helpline

Standards of Conduct Guide is available to guide you



THE UNIVERSITY OF TEXAS AT EL PASO

THE OFFICE OF
INSTITUTIONAL COMPLIANCE

HONESTY • INTEGRITY • TRUST • ETHICS



OFFICE OF
INSTITUTIONAL COMPLIANCE

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OUR MISSION

In accordance with UTS 119 – Compliance Programs, our mission is to provide an atmosphere of compliance awareness that encourages all UTEP employees to conduct themselves with high ethical standards in compliance with applicable laws, rules and regulations by providing training, monitoring of high risk areas and a mechanism to report non-compliance.

STANDARDS OF CONDUCT GUIDE

The Standards of Conduct Guide is an outline of various laws, policies, rules and regulations that govern the conduct of UTEP employees. It emphasizes the principles and common values that direct our actions, and it contains resources to help resolve questions about appropriate conduct in the workplace. The guide is available online at www.utep.edu/compliance.

RISK MANAGEMENT

An annual risk assessment is performed in collaboration with the Office of Auditing and Consulting Services to identify those areas that are considered to be greatest exposure for non-compliance for the University. The Office of Institutional Compliance also ensures the identified areas are being properly managed by the appropriate individuals.

Oversight is provided by the Executive Compliance Committee, which is made up of the University's president and vice presidents. The committee meets quarterly to review progress of the compliance program and discuss compliance issues and monitor activities for risk areas identified through the annual risk assessment process.

CONFLICTS OF INTEREST, CONFLICTS OF COMMITMENT AND OUTSIDE ACTIVITIES

The policy is intended to protect the credibility and reputation of the The University of Texas System Administration, UTEP and its employees by providing a framework to address conflicts of interest, conflicts of commitment and outside activities.

Approval for outside activities is required for all full-time employees. Employees must electronically request and receive prior approval before engaging in an outside activity and annually thereafter if the activity is ongoing.

In addition, disclosures cover outside activities that have occurred (in the past) or are occurring, substantial interest in a business entity and gifts over \$250. Employees required to submit a disclosure of outside activities must complete the requirement annually from January through March.

The Outside Activity Portal is available to employees to submit a request for approval for an outside activity and to submit disclosures. The portal is an electronic reporting system developed by the UT System and is shared by all UT institutions. For more information regarding the policy and requirements, please visit the Conflicts of Interest webpage at www.utep.edu/compliance/conflicts-of-interest.

REPORTING SUSPECTED NON-COMPLIANCE

1-888-228-7713

The Compliance helpline is a toll-free number available to employees to report suspected wrongdoing, including financial reporting, internal accounting controls, audit matters, waste and any violations of federal or state laws or University policy.

- Available 24 hours a day, 365 days a year
- Staffed by helpful, trained professionals who will guide you through the process
- Guarantees anonymity as 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
- Disponible en Español
- Reporting is also available online

TRAINING

It is the responsibility of every employee at UTEP to be aware of the key laws, regulations and policies that impact their jobs on a daily basis. As such, training is offered through UTEP's Institutional Compliance Program. The training, which provides employees with general knowledge on different compliance topics, is presented in a web-based format that is flexible and user friendly.

All faculty, staff and student employees are required to complete the training every fiscal year. Employees are contacted regarding the training requirement. The Office of Institutional Compliance tracks and monitors the completion of training electronically for all employees and non-completion is reported to their supervisors.

REVIEW A COURSE

All modules are available for quick review and can be accessed through the Office of Institutional Compliance website to refer back to a specific topic of interest.