



Institutional Handbook of Operating Procedures (IHOP)

Section:	4 – Institutional Compliance Related		First Release Date: 10/04/2004	
Policy Name:	4_1_18 Suspected Misconduct and Dishonesty			
Revision Author:	Senior Compliance Analyst		Reviewed Date: 08/09/2012	<input type="checkbox"/> Without Changes <input checked="" type="checkbox"/> With Changes
Original Author:	Director of Compliance			
Approving Body:	Dates of Approval:		Next Review Date:	
Executive Cabinet	9/11/2012		9/11/2015	
Executive Institutional Compliance Committee	9/11/2012			
Department Head/Policy Owner	08/16/2012			
Scope:	This policy applies to all UTHSCT students, students and staff.			
Purpose:	To identify roles and responsibilities of UTHSCT regarding suspected misconduct and dishonesty.			

POLICY:

For purposes of this policy, misconduct and dishonesty include but are not limited to:

- Acts which violate the institution's Standards of Conduct,
- Theft or other misappropriation of assets, including assets of UTHSCT, our customers, students, suppliers or others with whom we have a business relationship,
- Misstatements and other irregularities in UTHSCT's records, including the intentional misstatement of the results of operations,
- Wrongdoing,
- Forgery or other alteration of documents
- Fraud and other unlawful acts, and
- Any similar act

UTHSCT specifically prohibits these and any other illegal activities in the actions of its students, employees, managers, executives and others responsible for carrying out the institution's activities.

All employees and students must support the UTHSCT fiduciary responsibilities and must cooperate with law enforcement agencies in the detection, investigation, and reporting of criminal acts, including prosecution of offenders. Every effort should be made to recover institutional losses.

Directors and supervisors must be familiar with the types of improprieties that might occur in his or her area and be alert for any indication that such a defalcation, misappropriation or other fiscal irregularity has occurred.

Directors and supervisors, when made aware of such potential acts by subordinates, must immediately report such acts to their superiors, unless the superior is the perpetrating individual, in which case reports should be made to the Compliance department or the compliance hotline noted below. Any reprisal or retaliation against any employee or other reporting individual because that individual, in good faith, reported a violation is strictly forbidden.



Directors and supervisors should not perform any investigative or other follow up steps on their own. All relevant matters, including suspected but unproved matters, should be referred immediately to those with follow up responsibility.

The toll-free compliance hotline number to report suspected violations is 1-877-5507-7316. Compliance/Ethics/Fraud hotline posters shall be displayed throughout the UTHSCT, including satellite locations. Professionally trained, non UTHSCT personnel handle the calls and forward the information to a Triage Team designated to review the violation. Anonymity is maintained since employees are not required to identify themselves. The Executive Institutional Compliance Committee is responsible for ensuring that all reports are investigated and addressed appropriately.

Responsibility and Authority for Follow Up and Investigation

Internal Audit, Compliance Office, Chief of Police, Information Security Officer, Legal Affairs and Human Resources have authority to perform follow up and investigations as appropriate and should not contradict UT System or UT Board of Regent regulations in the performance of such investigations.

Properly designated members of the investigative team will have unrestricted access to all UTHSCT records and premises, whether owned or rented and the authority to examine, copy and/or remove all or any portion of the contents of files, desks, cabinets, and other storage facilities (whether in electronic or other form) without the prior knowledge or consent of any individual who might use or have custody of any such items or facilities when it is within the scope of investigative or related follow up procedures.

All investigations of alleged wrongdoing will be conducted in accordance with applicable laws, UT System and UT Board of Regent regulations, and UTHSCT policies and procedures.

Reference(s):

UT System Policy 118