Standards of Conduct Guide for Employees



The University of Texas at Arlington

January 2024

Contents

PURPOSE	3
ETHICAL STANDARDS	3
UNIVERSITY COMPLIANCE PROGRAM	3
OFFICIAL REQUESTS FOR INFORMATION	
RECORDS AND INFORMATION	4
WORKPLACE CONDUCT AND EMPLOYMENT REQUIREMENTS	5
TIME REPORTS	
OVERTIME	7
CRIMINAL BACKGROUND CHECKS	8
SELF-REPORTING	
HEALTH AND SAFETY	
TOBACCO-FREE CAMPUS POLICY	9
PREVENTION OF ALCOHOL AND OTHER DRUG ABUSE POLICY	9
RESEARCH MISCONDUCT	
PHOTOCOPYING OF COPYRIGHTED ACTIVITY	
INTELLECTUAL PROPERTY1	1
CONFLICTS OF INTEREST, CONFLICTS OF COMMITMENT, AND OUTSIDE ACTIVITIES1	1
USE OF UTA AND STATE OF TEXAS RESOURCES	
POLITICAL ACTIVITIES AND CONTRIBUTIONS1	
GIFTS AND GRATUITIES	4
GIFTS MADE TO INFLUENCE DECISIONS	
HONORARIA14	4
REPORTING SUSPECTED NON-COMPLIANCE14	4
PROTECTION FROM RETALIATION FOR REPORTING SUSPECTED WRONGDOING1	5
CONTACTS	6

PURPOSE

As a comprehensive research, teaching, and public service institution whose mission is the advancement of knowledge and the pursuit of excellence, The University of Texas at Arlington (UTA) is committed to the highest ethical standards of conduct and integrity. Employees are expected to be aware of and to perform their duties and responsibilities in compliance with applicable provisions of federal and state laws; the *Rules and Regulations* of the Board of Regents of the UT System; and the policies and procedures of UTA. These Standards of Conduct are an outline of various laws, policies, rules, and regulations that govern the conduct of employees of UTA. Although the Standards address several specific laws, policies, rules, and regulations, it is not intended to be a comprehensive list of legal and ethical standards. Additionally, it represents an educational tool and information source to be used by UTA's Compliance Program for training employees regarding the conduct required of them. Employees who violate these Standards may be subject to discipline, including up to termination.

ETHICAL STANDARDS

Ethical behavior is expected of all employees, volunteers, contractors, and agents of UTA. Management personnel at every level are expected to set an ethical "tone at the top" and to be role models for ethical behavior in their departments. Managers should create a departmental culture that promotes the highest standards of ethics and encourages the department to report unethical behavior or incidents of non-compliance with applicable laws, policies, rules, or regulations. Each employee has a personal obligation to report any activity that appears to violate such laws, policies, rules, and regulations.

UT System has defined certain ethical standards that apply to all employees within the UT System, including employees at each institution with the system. The applicable standards can be located at <u>Regents Rule 30103</u>: <u>Standards of Conduct</u> and <u>https://www.utsystem.edu/offices/systemwide-compliance/ethics</u>.

UNIVERSITY COMPLIANCE PROGRAM

UTA's Compliance Program reflects the commitment of UTA in maintaining the highest ethical standards and complying with all applicable laws, policies, rules, and regulations. The chief compliance officer for Compliance Services is UTA's designated compliance officer and the University's chief legal officer is the designated ethics officer. The Compliance, Accountability, Risk and Ethics (CARE) Committee provides executive level oversight for the compliance program. For more information about the compliance program, contact University Compliance Services at 817-272-2080, or visit www.uta.edu/compliance.

OFFICIAL REQUESTS FOR INFORMATION

UTA is expected to cooperate in government investigations of UTA and its employees, with due consideration given to their respective legal rights. If a subpoena, other legal document, request for information under the Texas Public Information Act or inquiry from an external governmental agency is received by an employee of the University, whether at home or in the workplace, such employee is obligated to notify his/her supervisor immediately and the chief legal officer. If an employee is contacted at home by an external governmental agent or attorney concerning UTA business, the employee should request that the agent make such contact at work the next business day, and then immediately contact his or her supervisor and the chief legal officer. For more information about requesting records, contact the Office of Legal Affairs at 817-272-2142, or visit https://www.uta.edu/administration/legal-affairs/public-information-records-retention.

The Media Relations Office acts as the media liaison for UTA. They are the first point of contact for breaking news and crisis/emergency communications. Media Relations also responds to media requests for information, faculty experts and access to UTA facilities. If you are contacted directly by the news media regarding university business, you must refer the inquiry to UTA's <u>Media Relations Office</u>. For more information regarding media relations, contact the Media Relations Office at 817-272-2761, or visit their website at <u>https://www.uta.edu/news/contact/</u>.

RECORDS AND INFORMATION

Accuracy of Records: UTA employees are required to maintain the integrity and accuracy of business documents and records for which they are responsible. No employee may alter any university record except for authorized personnel acting in the course of their respective job duties. The deliberate falsification of any university record is a violation of Texas state law and Penal Code Section 37.10 – Tampering with Government Record.

Retention and Disposal of Records: UTA Records Management helps to ensure that the creation, storage and disposition of all UTA records are carried out as mandated by the Texas State Library and Archives Commission, The Texas State Agency Records Retention Schedule and other applicable state retention schedules, Texas Government Code Chapter 441, Subchapter L, and Texas Administrative Code, Title 13, Chapter 6, Section 6.10.

Caution: As mandated by the Texas State Library and Archives Commission, a

University record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review or other action involving the record is initiated. Its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

Confidential Information: Unless specifically exempted from or made confidential under the Texas Public Information Act, all documents generated in the regular course of business by UTA are available to the public under the terms and conditions of the Texas Public Information Act. Written requests for documents under the Texas Public Information Act should be handled pursuant to UTA's Public Information Policy.

Confidentiality of Social Security Numbers (SSNs): As detailed in UT System Information Resource Use and Security Policy UTS165, UTA employees will protect the confidential nature of SSNs without creating unjustified obstacles to the conduct of UTA business. UTS165 provides requirements to assure compliance with federal and state laws governing privacy and the use of SSNs in any medium, including paper records that are collected, maintained, used, or disclosed by UTA.

Family Educational Rights and Privacy Act (FERPA): Employees will maintain the confidentiality of student educational records in accordance with FERPA and UTA's Education Records Policy. For more information about FERPA, visit the Department of Education's website https://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html?src=rn.

Additional information may be found at:

- UTA Records Retention Schedule
- Information Security Office Data Classification Standard
- Records Management and Retention Policy (GA-LA-PO2)
- Education Records Policy (GA-LA-PO-03)
- UTS 115 Records and Information Management
- UTS 139 Compliance with the Texas Public Information Act

WORKPLACE CONDUCT AND EMPLOYMENT REQUIREMENTS

Consensual Relationships: Consensual relationships in which one party is in a position of direct authority or indirect authority over another with whom he or she has a consensual relationship is considered a conflict of interest. Therefore, a consensual relationship between an instructor and a student or between a supervisor and a subordinate is prohibited unless the relationship has been disclosed and any conflict mitigated in accordance with UTA's <u>Consensual Relationships Policy (EI-PO-06)</u>. This policy is not meant to discourage interaction between faculty and students or supervisors and subordinates, where it is appropriate and ethical; however, it is intended

to clarify that such relationships can create situations that lead to sexual harassment complaints, conflicts of interest, favoritism, and low morale. Consensual relationships between a coach/athletic staff and a student are also strictly prohibited.

Fraud: The prevention of fraud and abuse and the minimization of waste is the responsibility of all employees of UTA. Suspected misuse, misappropriation, and other fiscal irregularities will be investigated in accordance with UT System and UTA policies.

Sexual Harassment and Sexual Misconduct: UTA is committed to the principle that the learning and working environment should be free from sexual harassment and other inappropriate conduct of a sexual nature. Sexual harassment is a form of sex discrimination and is illegal. Both sexual harassment and sexual misconduct are unprofessional behaviors and are condemned by the University.

Title IX: In accordance with Title IX of the Education Amendments of 1972, UTA does not discriminate on the basis of sex in the operation of its educational programs and activities. This commitment to non-discrimination applies to both employment in and admission to such programs and activities. Title IX also applies to issues of program equity such as in athletics and also to sexual harassment and sexual assault.

Compliance with Texas Senate Bill 17, 88th Legislative Regular Session (Diversity, Equity, and Inclusion in Higher Education) and Violation of Texas Education Code (TEC): TEC 51.3525(b)(1) prohibits UTA and its employees from engaging in any of the following:

1) establishing or maintaining a diversity, equity, and inclusion office;

2) hiring or assigning a UTA employee or contracting with a third party to perform the duties of a diversity, equity, and inclusion office;

3) compelling, requiring, inducing, or soliciting any person to provide a diversity, equity, and inclusion statement or giving preferential consideration to any person based on the provision of a diversity, equity, and inclusion statement;

4) giving preference on the basis of race, sex, color, ethnicity, or national origin to an applicant for employment, an employee, or a participant in any function of the University; or

5) requiring as a condition of enrolling at UTA or performing any University function any person to participate in diversity, equity, and inclusion training, which:

(i) includes a training, program, or activity designed or implemented in reference to race, color, ethnicity, gender identity, or sexual orientation; and

(ii) does not include a training, program, or activity developed by a UTA or UT System attorney and approved in writing by UTA's Chief Legal Officer and the Texas Higher Education Coordinating Board for the sole purpose of ensuring compliance with any applicable court order or state or federal law.

<u>UTS 197</u> also addresses the requirements under TEC 51.3525(b)(1). For more information about workplace conduct and employment requirements, contact the Office of Talent, Culture & Engagement at 817-272-5554, or refer to the following policies:

- Dishonest or Fraudulent Activities (EI-PO-01)
- <u>Consensual Relationship Policy (EI-PO-06)</u>
- Sexual Misconduct Policy (EI-PO-08)
- UT System SB 17 Working Guidance

TIME REPORTS

All non-exempt employees, both hourly and salaried, must comply with UTA's timekeeping processes specified in UTA's <u>Timeclock Procedure (HR-E-PR-36)</u>. Timesheets must accurately reflect total number of hours worked and the total number of hours absent from work during any given workweek. Since time records are official documents and are subject to review by federal and state authorities, accuracy and completeness are essential.

Each employee who does not complete a timecard shall complete a monthly Exempt Time Record. The department shall use this Exempt Time Record to enter information in UT Share.

OVERTIME

Prior approval must be obtained from the employee's immediate supervisor and/or department head before overtime may be worked. Permitting overtime to be worked is the same as ordering or authorizing it. The University whenever possible, will compensate employees for approved overtime by using compensatory time off. When allowing compensatory time is impractical, the overtime hours will be paid one and one- half times the regular rate of pay.

No employee may accrue state compensatory time for work performed at any location other than the employee's regular place of employment or duty point. For state compensatory time purposes, the employee's personal residence may not be considered to be their regular place of employment or duty point.

Employees are not allowed to carry a negative compensatory balance.

A department head or supervisor may ask for volunteers when overtime hours are necessary or require employees to work overtime, including weekends and holidays to meet UTA business needs. An employee who refuses to work the required hours may be subject to disciplinary action.

For more information regarding overtime and related compensation, call the Office of Talent, Culture & Engagement at 817-272-5554, or refer to the following:

- Fair Labor Standards Act Policy (HR-E-PR-07)
- <u>Overtime Policy (HR-E-PO-14)</u>
- Employee Leave of Absence Without Pay Policy (HR-LA-PO-05)

CRIMINAL BACKGROUND CHECKS

UTA is committed to promoting the safety and security of personnel and UTA property consistent with the requirements of the law. To that end, UTA requires that a criminal background check be performed for employees, for volunteers and interns, and contractors who are assigned to perform work on UTA owned or controlled property. Exceptions to this requirement must be approved by the chief legal officer or the vice president of Talent, Culture & Engagement.

SELF-REPORTING

- A. **Applicants for Employment:** Applicants must report in writing to the hiring manager any criminal complaint, information, indictment, no contest plea, deferred adjudication, or convictions, excluding traffic offenses punishable only by a fine, occurring after the date of application within five business days.
- B. **Current Employees:** UTA employees are required to report to their department head in writing, within five business days, any criminal complaint, information, indictment, no contest plea, guilty plea, deferred adjudication, or criminal conviction, excluding those for misdemeanor offenses punishable only by fine. Failure to do so is a violation of policy and may lead to disciplinary action as appropriate.
- C. **Department Head Obligation**: The UTA department head receiving a self-report as required under this section must provide the information to the vice president of Talent, Culture & Engagement and UTA's chief of police and consult with these offices about the individual's sustainability for the position. In the case of a faculty member, the department head should advise the vice president of Talent, Culture & Engagement, UTA's police chief, and the provost.

UTA employees are required to follow and comply with all federal, state, and municipal laws, regulations and ordinances. For more information on this subject see UTA's Criminal Background Check Policy (HR-E-PO-01).

HEALTH AND SAFETY

Workplace health and safety and protection of the environment: all UTA employees must perform their duties in compliance with all applicable university policies, federal, state and local laws and standards relating to the environment and protection of worker health and safety. Each employee must become familiar with and understand how these laws, standards, and policies apply to his/her specific job responsibilities and seek advice from his/her supervisor or the Environmental Health and Safety Office (EH&S), as needed. Each employee is responsible for advising the employee's supervisor or EH&S of any serious workplace injury or any situation presenting a danger of injury so that timely assistance and corrective action may be taken.

TOBACCO-FREE CAMPUS POLICY

The use of tobacco products (including cigarettes, cigars, pipes, smokeless tobacco, electronic cigarettes and other tobacco products) by students, faculty, staff, and visitors are prohibited on all UTA properties.

The use of tobacco products is prohibited in all interior spaces on UTA campuses; on all outside property or grounds of UTA campus including partially enclosed areas such as walkways, breezeways, and bus shelters ("campus" includes the main campus, all satellite locations, and all other buildings or facilities leased off the main UTA campus); in all UTA vehicles, including buses, vans and all other university vehicles; in all indoor and outdoor athletic facilities, as well as the grandstands of outdoor facilities; in any building or structure owned, leased or controlled by UTA. This prohibition includes sidewalks, parking lots, walkways and attached parking structures immediately adjacent to the building or structure.

PREVENTION OF ALCOHOL AND OTHER DRUG ABUSE POLICY

The Drug-Free Schools and Communities Act of 1989 and the Drug-Free Workplace Act of 1988 require institutions of higher education to design and implement alcohol and illicit drug programs on their campuses. In compliance with this Act, UTA has adopted and implemented a program to prevent "the unlawful possession, use or distribution of illicit drugs and alcohol by students and employees" on UTA property or as part of any university activity. The unlawful manufacture, sale, distribution, possession, or use of a controlled substance in or on any premises or property owned or controlled by UTA is prohibited. A controlled substance is any substance so defined by federal or state statute or regulation.

An employee who unlawfully manufactures, sells or distributes, possesses or uses a controlled substance in or on premises or property owned or controlled by UTA, regardless of whether such activity results in the imposition of a penalty under a criminal

statute, will be subject to appropriate disciplinary action, including termination, or will be required to participate satisfactorily in an approved drug assistance or rehabilitation program or both.

The use of alcoholic beverages in UTA facilities is forbidden. The President may waive this prohibition with respect to any event sponsored by the University.

For more information, refer to the following:

- <u>Tobacco-Free Campus Policy (CO-CE-PO-03)</u>
- Drugs and Alcohol Policy (CO-CE-PO-06)
- Drug-Free Workforce Rules for Employee Whose Salaries are Funded by a Department of Defense Contract (CO-CE-PR5)
- <u>Health Services Substance Misuse Prevention</u>
- <u>UTS 164 Drug-Free University Community Workplace Policy</u>

RESEARCH MISCONDUCT

UTA strives to create a research climate that promotes faithful adherence to high ethical standards and enhances research projects and activities, while not inhibiting the productivity and creativity of scientists and academicians. Research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

The misrepresentation of research data is a major breach of the relationship between a faculty or staff member and UTA. Dishonesty, misconduct, and/or fraud in science or academics are offenses, which not only damage the reputation of those involved, but the entire educational community.

For more information regarding research misconduct see UTA's <u>Research Misconduct</u> <u>Policy (RA-PO-01)</u> or contact the <u>Office of Regulatory Services</u> at 817-272-3723.

PHOTOCOPYING OF COPYRIGHTED ACTIVITY

Permission must be obtained from the copyright owner to copy copyrighted materials where: copying does not meet the requirements for fair use or within the public domain. Most works should be presumed to be copyright protected, unless further information from the copyright holder or express notice reveals that the copyright holder intends the work to be in the public domain. For more information visit UTA's <u>Use of Copyrighted Materials Policy (GA-CMI-PO-01)</u>.

INTELLECTUAL PROPERTY

UTA's intellectual property ownership applies to intellectual property developed by all personnel employed by UTA and anyone using UTA facilities or resources under UTA supervision. The rule applies to students who are also employees and who develop intellectual property in the course and scope of employment; students who develop intellectual property in a work-for-hire category listed in Section 101 of the Copyright Act, Title 17, US Code, where parties have agreed in writing that the work is being done as work-for-hire; students who participate in an institutional project; students who participate in research projects where any intellectual property created is committed to a governmental or other sponsor; and to students who create intellectual property in a joint activity with a non-student. The rule applies to projects developed within the course and scope of employment resulting from work done on UTA time or with state funds, resulting from the use of facilities or resources owned by UTA other than for incidental use. UTA complies with the ownership, disclosure and reporting requirements of all applicable Regents' Rules and system-wide policies. An employee must disclose the intellectual property created by the employee or student to UTA's Office of Innovation and Commercialization well before the employee submits any information about the intellectual property for publication, or makes any public disclosure, which includes a disclosure to a commercial entity without the protection of a confidentiality agreement.

For more information, please refer to:

- Intellectual Property Policy)GA-CMI-PO-02)
- <u>Regents Rule 90101 Intellectual Propery</u>
- <u>UT System Office of General Counsel Intellectual Property</u>

CONFLICTS OF INTEREST, CONFLICTS OF COMMITMENT, AND OUTSIDE ACTIVITIES

The primary responsibility of UTA employees is the accomplishment of the duties and responsibilities assigned to one's position of appointment. UTA's <u>Conflicts of Interest</u>, <u>Conflicts of Commitment</u>, and <u>Outside Activities Policy (EI-PO-02)</u> permits university employees to engage in outside work or activities, so long as the work or activities complies with the requirements of the policy and does not violate state law.

UTA employees may not have a direct or indirect interest, including financial and other interests, or engage in a business transaction (i.e., self-dealing) or professional activity, or incur any obligation of any nature that is in substantial conflict with the proper discharge of the employee's duties for the University.

Activities on behalf of outside entities or individuals must not interfere with a university

employee's fulfillment of his/her duties and responsibilities to UTA. Such conflicts of commitment may arise regardless of the location of these activities (on or off campus), the type of outside entity (individual, for-profit, not-for-profit, or government), or the level of compensation (compensated or non-compensated).

In accordance with UTA's <u>Conflicts of Interest</u>, <u>Conflicts of Commitment</u>, <u>and Outside</u> <u>Activities Policy (EI-PO-02)</u> any outside employment, outside board service and outside activity (regardless of compensation that reasonably appears to create a conflict of interest or a conflict of commitment), must receive prior approval via the <u>Outside Activity</u> <u>Portal</u>. Annual re-approval is also required.

Outside activity disclosed pursuant to <u>UTS 175 – Disclosure of Significant Financial</u> <u>Interests and Management and Reporting of Financial Conflicts of Interest in Research</u> need not be re-disclosed, although any outside activity must still be approved.

A UTA employee may hold a non-elective public office or position of honor, trust or profit with the State of Texas or the United States if prior approval from the Board is obtained, if holding the office or position is of benefit to the State of Texas or is required by state or federal law and if there is no conflict between holding the office or position and the employee's position at UTA.

More information regarding conflicts of interest, conflicts of commitment and outside activities can be obtained by contacting <u>University Compliance Services</u> and in the following policies:

- <u>Regents Rule 30104: Conflict of Interest, Conflict of Commitment and Outside</u>
 <u>Activity</u>
- UTS 180 Conflicts of Interest, Conflicts of Commitment, and Outside Activities

USE OF UTA AND STATE OF TEXAS RESOURCES

Computer Access, Passwords and Other Confidential Information: No user may knowingly or unknowingly access any information resource owned, operated or under the custodial care of UTA, (e.g., computer network, internet/intranet/extranet-related system, device, data in any form, software, operating system, storage media, network account, electronic mail, system, telephones, fax machines, etc.) without the effective consent of the owner or intentionally, knowingly or unknowingly disclose a password, identification code or number, or other confidential information about a computer security system without the consent of UTA's chief information officer.

Computer Software: Employees who use software licensed to UTA must abide by applicable software license agreements and may copy licensed software only as permitted by the license. An employee should direct any questions about applicable

software license agreements to his or her supervisor or Procurement Services.

Contracts and Agreements: No employee is authorized to sign a contract or agreement, including a gift agreement, which claims to bind UTA unless that employee has official written delegated authority to do so under the Regents *Rules and Regulations*. Only the University's President can delegate this authority.

Information Security and Acceptable Use: UTA information resources may be used only for official UTA purposes. Every UTA employee has a responsibility for maintaining the security and confidentiality of UTA's information resources and must comply with information security policies and procedures. An employee may access or disclose confidential and sensitive information only as permitted by contract, state or federal law or regulation, the scope of the employee's employment, or approved UTA policy.

Purchasing: No employee may expend UTA funds for any purchase unless the person is authorized to make the purchase in accordance with all Federal, State of Texas, University of Texas System, and university procurement procedures, including procedures concerning Historically Underutilized Businesses.

Purchases from, or sale to, any officer or employee of System Administration or any institution of any supplies, materials, services, equipment, or property must have the prior approval of the chief administrative officer (President). Any such purchases shall be made only if the cost is less than from any other known source. If purchase or sale is approved by the chief administrative officer, documentation supporting this must be attached to applicable UT Share transactions. This procedure does not apply to sales or purchases made at public auction.

No employee shall transact business in an official capacity with any business entity where the employee is an officer, agent, or member, or where the employee owns a substantial interest.

POLITICAL ACTIVITIES AND CONTRIBUTIONS

UTA employees are not allowed to support or oppose legislation (orally or in writing) as representatives of UTA. Employees should ask their supervisor or the University's ethics officer if they are unsure about any specific issue.

UTA employees may participate in political activities only if such activities are not conducted during working hours unless the employees use accrued compensatory or vacation leave; are in compliance with the Constitution and the laws of the State of Texas; do not interfere with the discharge and performance of the employee's duties and responsibilities; do not involve the use of equipment, supplies or services of UTA; do not involve an attempt to coerce faculty, staff or students to participate in or support the political activity; do not involve UTA in partisan politics; and do not depict the employee

as representing UTA or the UT System. A leave of absence without pay pursuant to <u>Regents Rule 30201: Leave Policies</u> Section 3.1 may but need not be granted to an employee to participate in political activities unless the employee intends to utilize the leave for the purpose of being a candidate, holding an elective public office, or directing the political campaign of a candidate for an elective public office.

For more information, refer to <u>Regents Rule 30103</u>: <u>Standards of Conduct, Section 5</u>.

GIFTS AND GRATUITIES

GIFTS MADE TO INFLUENCE DECISIONS

An employee must not accept or solicit any gift, favor, or service that might reasonably tend to influence the discharge of the employee's official duties or that the employee knows or should know is being offered with the intent to influence the employee's official conduct.

An employee must not solicit, accept, or agree to accept any benefit from a person the employee knows may have a business relationship with UTA, except as permitted under <u>Section 36.10 of the Texas Penal Code</u>. If in doubt, an individual should not accept a benefit offered because of his or her status as a UTA employee according to <u>Section 36.08 of the Texas Penal Code</u>.

HONORARIA

An employee must not solicit, accept or agree to accept an honorarium in consideration for services that the employee would not have asked to provide but for the employee's official position or duties according to <u>Section 36.07 of the Texas Penal Code</u>.

For more information, refer to UTA's <u>Endowment Establishment and Management</u> <u>Procedure (FA-IA-PR-01)</u> and/or <u>Gifts to the University Procedure (GA-IA-PR2)</u>.

REPORTING SUSPECTED NON-COMPLIANCE

Compliance issues should be addressed through normal administrative channels. Employees should direct questions to their supervisors. Faculty may discuss issues with their department chair and/or dean. If the non-compliance is not addressed or involves the employees' supervisor, the employee should contact the chief compliance office in University Compliance Services.

Employees may also contact the **Ethics Line**, a toll-free number available to all UTA employees, 24 hours a day/365 days a year, for anonymous reporting of suspected or

inappropriate activity, including financial reporting, internal accounting controls, and audit matters, waste, and violations of any federal, state laws or university policy. An employee can report compliance concerns to the Ethics Line at **1-888-507-7314**.

An interviewer will document the information in detail provided by an employee. Instances of suspected non-compliance **may be reported in a manner that preserves confidentiality and calls** are not recorded. Below is a list of information that will be helpful when placing a call to the helpline.

- The issue or concern of suspected non-compliance
- The name of the person or persons involved
- The name of the department
- Date when you first became aware of the situation
- Location of the activity
- The time frame of the activity
- Copies of documentation that would support your concern
- Names of individuals that can corroborate your concern
- Other individuals to whom you have reported this concern
- An update of the actions that have already taken place

Another resource available for employees to report anonymously is the Web Reporting System at <u>https://www.lighthouse-services.com/uta</u>.

Employees shall cooperate fully with all University inquiries or investigations related to any suspected violations of the laws of the State of Texas, Regents Rules and Regulations, and/or the policies of The University of Texas at Arlington or any laws, rules, regulations, or policies affecting the operations of the University.

PROTECTION FROM RETALIATION FOR REPORTING SUSPECTED WRONGDOING

UTA is committed to including employees in the process of ensuring that the University operates in an ethical, honest, and lawful manner. It is therefore the policy of UTA to:

- Encourage employees to report, or cause to be reported, and to assist in any investigation by persons authorized or responsible for such matters, known or suspected violations of laws, rules, policies, or regulations or improper activities; and
- Prohibit unlawful retaliation against employees as a consequence of good faith actions in the reporting of, or the participation in an investigation pertaining to, allegations of wrongdoing.

CONTACTS

•	Accounting and Business Services	817-272-2194
•	Environmental Health & Safety	817-272-2185
•	Equal Opportunity Services/Title IX	817-272-4585
•	Helpdesk - Information Technology	817-272-2208
•	Human Resources	817-272-5554
•	Institutional Research, Planning & Effectiveness	817-272-3365
•	Office of Internal Audit	817-272-0150
•	Office of the President	817-272-2101
•	Office of the Provost	817-272-2103
•	Office of Technology Management	817-272-1119
•	University Communications	817-272-2761
•	Office of Students with Disabilities	817-272-3364
•	Procurement Services	817-272-2194
•	University Compliance Services	817-272-2080
•	University Police Department	817-272-3381
•	Vice President for Administration & Economic Development	817-272-2102
	Chief Financial Officer and Vice President	817-272-5420
•		
•	Vice President for Institutional Advancement	817-272-2543
•	Office of Talent, Culture & Engagement	817-272-7091
•	Chief Information Officer	817-272-5602
٠	Vice President for Research and Federal Relations	817-272-1021
•	Vice President for Student Affairs	817-272-6080
•	Office of Legal Affairs	817-272-2142