



**Origination Date:** 10/2002  
**Last Approved:** 08/2019  
**Last Revised:** 08/2019  
**Next Review:** 08/2022  
**Owner:** Donald Henry: Dir Compliance  
**Policy Area:** Institutional Compliance  
**References:**

## Compliance and Ethics Hotline/Reporting

### Scope

All University of Texas Health Science Center at Tyler (the "University") students, faculty and staff.

### Purpose

To establish protocols for how the Compliance Office receives, documents, and handles Hotline calls and reports.

### POLICY

All employees are aware of the importance of reporting a known or suspected violation of the University's Standards of Conduct, policies and procedures, and federal and state laws and regulations. It is every employee's ethical and moral obligation to report suspected violations or questionable conduct that may impact the University's Institutional Compliance Program. The University has adopted the following process to allow employees to report possible instances of non-compliance:

The University has established a compliance hotline for employees to report all suspected violations or questionable conduct. The hotline includes the following features:

1. The hotline is a telephone and online reporting service provided by an outside contractor. All reports are forwarded to the Compliance Department which performs a preliminary review of the written report.
2. The hotline telephone number is 1-877-507-7316. Calls are answered 24 hours per day, 7 days per week. Online reports may be submitted at [www.tnwinc.com/UTHCTyler](http://www.tnwinc.com/UTHCTyler).
3. The caller is not recorded, traced or identified, and the caller is not required to furnish his/her name.
4. Callers and online reporters who do not wish to furnish their names will remain anonymous and the information provided will be treated as confidential.
5. Information provided to the hotline service is treated as privileged to the extent permitted by applicable law.

Intentionally making false accusations is a serious violation of University policy and will lead to disciplinary actions against the person making the accusation, up to and including termination of employment or cancellation of contract.

Employees may not use the hotline to protect themselves from the outcome of their own violations or

misconduct.

The discipline will not be increased for an employee who reported his/her own violation.

The Chief Compliance Officer will communicate all complaints to the Executive Institutional Compliance Committee.

Each situation will be individualized, and the Chief Compliance Officer and Legal Affairs will initiate any corrections and/or follow-up on an as-needed basis.

Suspected fraud involving state funds may also be reported to the State Auditor's Office telephone hotline at 1-800-TX-AUDIT, or by accessing the State Auditor's Office website for fraud reporting at <http://sao.fraud.state.tx.us>.

### Enforcement

All supervisors are responsible for enforcing this policy. Individuals who violate this policy will be subject to the appropriate and applicable disciplinary process, up to and including termination.

## Attachments:

### Approval Signatures

Step Description	Approver	Date
	Kirk Calhoun: President/Prof of Medicine	08/2019
Executive Cabinet	Michelle Harris: Executive Assistant Senior	08/2019
Office of Legal Affairs	Terry Witter: VP Legal Affairs/ChiefLegalOf	01/2019
Faculty Senate	Vijaya Lella: Prof Of Biochemistry	01/2019
	Donald Henry: Dir Compliance	01/2019