

**Institutional Handbook of Operating Procedures**  
**Policy 06.01.04**

Section: Compliance Policies	Responsible Vice President: Senior Vice President and General Counsel
Subject: General Compliance Policies	Responsible Entity: Office of Institutional Compliance

**I. Title**

Significant Matters Reporting

**II. Policy**

- A. This policy is designed to implement a reporting process by which The University of Texas Medical Branch (UTMB) will ensure that [significant matters](#) are reported to U.T. System in a timely manner in accordance with the Regents’ Rules and Regulations, Rule 10801.
- B. UTMB leadership from all areas of the institution shall be responsible for reporting significant matters, reviews, investigations, and reports of noncompliance with federal and/or state statutes and regulations, as well as, any U.T. System policies, to the Office of Institutional Compliance. The Office of Institutional Compliance serves as the institutional point of contact and is responsible for notifying U.T. System’s Compliance Office of significant matters related to UTMB. U.T. System will then notify the Board of Regents of any significant matters it determines necessary.
- C. This reporting is supplemental to already existing communication strategies. Any existing communication processes to U.T. System should continue.
- D. Failure to comply with this policy may result in disciplinary action up to and including termination.

**III. What Should Be Reported**

Executive officers should report **significant allegations, reviews, investigations, and reports of noncompliance with federal and/or state statutes and regulations, as well as, any U.T. System or UTMB policies.** These significant matters include those incidents, which in exercise of individual best judgment, reflect a significant achievement, present a substantial concern or interest, and/or have the potential to impact the reputation of the institution in a substantial manner.

**IV. Reporting Procedure**

- A. Executive Officers: Executive officers are responsible for informing their staff, students, contractors, etc. of the need to report incidents promptly.
- B. Individual Employees: UTMB employees may report significant matters directly to the Office of Institutional Compliance.

**V. Prompt Reporting of Significant Matters**

- A. Employees are responsible for promptly reporting significant matters to the Office of Institutional Compliance.
- B. Significant matters should be reported regardless of whether an investigation has been completed.
- C. It is important that the Office of Institutional Compliance is made aware of significant matters so U.T. System may be promptly notified as required by Rule 10801.

**VI. Reporting Methods**

Reports may be submitted through one of the following methods:

- A. Calling the Office of Institutional Compliance at 409.747.8700;
- B. Calling the Fraud, Abuse and Privacy Hotline at 1.800.898.7679; or,
- C. Online at: <https://www.reportlineweb.com/UTMB>

**VII. Required Information**

The report should include the following information:

- A. The date of the significant matter or allegations;
- B. When and how it was reported to UTMB;
- C. A description of the event or allegation;
- D. The status or resolution of the event or allegation; and,
- E. The name and information of a contact person having knowledge of the facts regarding the significant matter.

**VIII. Effective Date**

Reports should be made immediately.

**IX. Relevant System Policies and Procedures**

[Regents' Rules and Regulations, Rule 10801](#)

[The University of Texas System, System-wide Policy, UTS 178 Required Reporting of Significant Events](#)

**X. Related UTMB Policies and Procedures**

[IHOP - 06.01.10 - Self-Reporting of Overpayments](#)

[IHOP - 06.02.39 - Privacy Incident Response and Breach Notification](#)

[IHOP - 08.02.02 - Campus Security Reporting](#)

[IHOP - 09.13.13 - Unusual Event Reporting](#)

[IHOP - 09.13.14 - Adverse Drug Events](#)

[IHOP - 09.13.16 - Sentinel Events](#)

[IHOP - 09.13.18 - Disclosure of Unanticipated Outcomes](#)

[IHOP - 09.13.21 - Reporting of Devices and Supplies Involved in Patient Injury, Illness, or Death](#)

**XI. Dates Approved or Amended**

<i>Originated: 05/13/2013</i>	
<i>Reviewed with Changes</i>	<i>Reviewed without Changes</i>
04/11/2018	07/14/2016

**XII. Contact Information**

Office of Institutional Compliance  
(409) 747-8700