



**Policy Chapter:** Chapter 4 Administration

**Policy Number and Title:** 04.006 Responsibilities and Rights of Employees Under the UNT Compliance Program

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**I. Policy Statement**

The UNT Compliance and Ethics Program reflects UNT's commitment to carrying out its mission in an ethical and lawful manner by complying with all applicable laws as well as Regents Rules, System Regulations and institutional policies. Employees are expected to carry out their responsibilities and to respect the rights of other employees under UNT's Compliance and Ethics Program.

**II. Application of Policy**

Employees

**III. Policy Definitions**

**A. Compliance and Ethics Program**

"Compliance and Ethics Program," in this policy, means the UNT structure and process developed for assessing, monitoring, overseeing, and ensuring compliance by University employees with applicable federal and state laws, Regents Rules, System Regulations, and institutional policies.

**B. Employee**

"Employee," in this policy, means an individual who is employed part-time, full-time, or in a temporary capacity as faculty, staff, or who is required to be a student as a condition of employment.

**C. Supervisor**

"Supervisor," in this policy, means a UNT employee or individual authorized to act on behalf of UNT who has direct managerial responsibilities over one or more UNT faculty, staff, or student employees.

**IV. Policy Responsibilities**

**A. Employee Responsibilities under the Compliance and Ethics Program**

All employees are expected to carry out the following responsibilities under the UNT Compliance and Ethics Program:

1. Adhere strictly to federal and state laws, Regents Rules, System Regulations, and institutional policies as a condition of employment;
2. Participate in periodic compliance and ethics training and on the laws and policies that relate directly to job functions;
3. Cooperate with and be truthful in investigations of suspected wrongdoing; and
4. Report suspected wrongdoing in good faith in accordance with UNT Policy 04.007

Reporting Suspected Wrongdoing, including making anonymous reports.

**B. Supervisory Staff Responsibilities under the Compliance and Ethics Program**

All supervisors are expected to carry out the following additional responsibilities under the UNT Compliance and Ethics Program:

1. Know the federal and state laws, Regents Rules, System Regulations and institutional polices that affect their administrative unit and employees in the unit;
2. Inform employees they supervise of the specific regulatory requirements and institutional polices that apply to the employees' job functions;
3. Provide and recommend training on topics employees in the administrative unit need to know in order to comply with applicable laws, Regents Rules, System Regulations and institutional polices;
4. Assist the UNT Compliance Officer to implement an effective Compliance and Ethics Program in the administrative unit; and
5. Report and forward reports of suspected wrongdoing in accordance with the university reporting suspected wrongdoing policy.

**C. Employee Rights under the Compliance and Ethics Program**

1. Consult with University Integrity and Compliance (UIC)

All employees have the right to seek assistance from UIC and may do so anonymously.

2. Right to Report Suspected Wrongdoing

All employees have the right to report suspected wrongdoing and other compliance failures in accordance with the UNT Policy 04.007, Reporting Suspected Wrongdoing, including to UIC, the appropriate state or federal agency with authority to address the suspected wrongdoing, and to the appropriate university or System office, including the UNT Office of Equal Opportunity, the Dean of Students, Human Resources and the UNT System Internal Auditor.

3. Right to Participate in Investigation of Suspected Wrongdoing

All employees have the right to participate in internal and external investigations into allegations of suspected wrongdoing and shall be excused from work during regular business hours to participate in official investigations conducted by UNT, UNT System or authorized federal, state, or local authorities.

4. Protection Against Retaliation

Employees who report suspected wrongdoing will be protected from retaliation. Employees who engage in retaliation in violation of the university's reporting suspected wrongdoing policy are subject to disciplinary action, including involuntary termination.

5. Confidentiality

Information that directly or indirectly reveals the identity of an individual who reports suspected wrongdoing, who participates in an authorized internal or external compliance investigation, or who seeks guidance from the UIC is confidential and shall not be disclosed as permitted under federal or state law. Except this information may be provided to a law enforcement agency or prosecutor, a governmental agency responsible for investigating the matter that is the subject of the report, or an officer or employee of the university or System Administration who is responsible for the matter that is the subject of the investigation or for reviewing a compliance investigation in accordance with state law.

**D. Voluntary Self-Reporting**

Employees are encouraged to voluntarily report wrongdoing or other compliance failures for which they may be personally responsible. Employees who self-report do not escape responsibility for their actions, but self-reporting may mitigate any disciplinary action imposed.

**E. False Reporting**

Intentionally making false reports of non-compliance is a serious matter that can constitute grounds for disciplinary action, including dismissal.

**V. References and Cross-References**

- [Texas Education Code § 51.971](#)
- [Texas Government Code, Chapter 554](#)
- [UNT System Board of Regents Rule 04.1100, Reporting Suspected Wrongdoing](#)
- [UNT Policy 04.007, Reporting Suspected Wrongdoing](#)

**VI. Revision History**

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