Policy Statement. To define supervisory staff and employee responsibilities and rights under the University of North Texas Compliance Program.

Application of Policy.  
Total University

Definitions.  
None

Procedures and Responsibilities.

1. Policy.  
The University of North Texas Compliance Program reflects the commitment of the University to carrying out the mission of the University in an ethical manner by complying with all relevant federal and state laws and regulations. Managers, supervisors, and employees have certain responsibilities and rights under the University’s Compliance Program as defined below.

2. Supervisory Staff Responsibilities.  
All managers and supervisors of the University have the following responsibilities:

   a. To be knowledgeable of federal and state laws that impact their administrative unit;

   b. To inform their employees of the specific regulatory requirements that apply to their job functions;

   c. To recommend or provide training that employees need to remain in compliance with the law; and

   d. To participate in the responsibility for compliance implementation and enforcement in their units.
Employee Responsibilities

All employees of the University have the following responsibilities:

a. To adhere strictly to federal and state laws as a condition of employment;

b. To participate in periodic training on compliance and on the legal topics that relate directly to their job functions;

c. To report suspected non-compliance with applicable federal and state laws.

Employees are also encouraged to self-report compliance failures for which they may be personally responsible. They do not escape responsibility for their actions, but such report may mitigate any disciplinary action imposed.

Each member of the faculty, staff, and administration has specific compliance expectations that are defined by the job duties. Members of the faculty, staff, and administration may be certified as proficient in the compliance topics related to their job duties by completing training offered by departments including but not limited to the following: Compliance Office, Human Resources, Equity and Diversity, Research Services, Risk Management and Environmental Services, and the Office of Vice Chancellor and General Counsel. Failure to complete required training within time frames specified by law may result in sanctions.


All employees of the University of North Texas have the right to report suspected compliance failures either to University administrative authorities or to the appropriate state or federal regulatory agency that monitors compliance with a particular law. University administrative authorities include the University’s Compliance Officer, Equal Employment Opportunity Officer, Human Resources Representative, Auditor, Legal Counsel, Vice Presidents, Deans, Directors, Department Heads, or other supervisors. Employees who report compliance failures in good faith shall be protected from retaliation. Anyone who retaliates against an employee who reports a compliance failure shall be subject to disciplinary action including dismissal.

To the extent permitted by UNT policy, employees also have the right to confidentiality of their reports. Employees who report compliance failures may choose not to be identified, and in sensitive cases the substance of their report will also be treated confidentially to the extent allowed by due process.

4. False Reporting.

Intentionally making false reports regarding compliance and non-compliance is a serious matter that can constitute grounds for disciplinary action including dismissal.
**Responsible Party:** Office of Institutional Compliance

**References and Cross-references.**
None

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Effective: 
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