

University of North Texas Workplace Compliance Standards

Federal and state regulations are a reality for higher education that will likely continue to increase in the future. Regulations are usually based on the best practices of the most successful organizations. The easiest way for each of us to demonstrate our compliance with federal and state laws is to:

- Employ the highest standards of your profession or discipline in performing your job duties.
- Put forth your best efforts to serve the citizens of Texas and all of our students, who have come to us from all across Texas, the nation, and the world.
- Obey all federal and state laws and regulations.
- Behave according to the ethical standards defined in UNT policies.
- Ask for help from knowledgeable University authorities if you are unsure of the correct way to carry out one of your duties.
- Report behavior that you suspect is unlawful.

Anonymous reports can be filed on-line at untsystem.unt.edu/compliance/

In addition to these general compliance requirements, each member of the faculty, staff, and administration must comply with the following requirements established by federal or state law:

Workplace Conduct

- **Fraud.** Spend state and federal funds only for their designated purposes. Keep accurate financial records. Use the Purchasing Card only for lawful expenditures. Personal use of institutional funds is forbidden.
Report suspected violations to Internal Audit.
- **Equal Opportunity.** Discrimination based on race, religion, national origin, gender, age, sexual orientation, veteran's status, and disability violates UNT policies and also violates the public trust in the leadership that UNT provides for our community, the State of Texas, and the nation.
Report suspected violations to the Equal Opportunity Office.
- **Sexual Harassment and Inappropriate Consensual Relationships.** Sexual advances, inappropriate consensual relationships, and speech with offensive sexual content directed toward students, faculty, staff, and guests will result in disciplinary action, up to and including termination of employment.
Report suspected violations to the Equal Opportunity Office.
- **Workplace Violence.** Acts of violence as well as threats and behaviors that suggest violence or physical harm might occur must be reported immediately.
Report imminent threats to the UNT Police and other suspected violations to your supervisor and Human Resources.

Workplace Practices

- **Time reporting.** Keep accurate records of your time and effort. Meet reporting deadlines.
- **Overtime and Leave.** Receive permission from your supervisor to work overtime, and to use vacation, sick leave, and compensatory time. For the procedures to utilize Family and Medical Leave,
Consult with your supervisor and with the Human Resources Department.
- **Record retention.** Keep accurate records in the form prescribed by law and by UNT policy. Retain records for the periods required by the UNT Record Retention Schedule. Use approved methods to dispose of records at the end of their retention period.
Submit record disposition logs in a timely manner to the Office of Compliance.
- **Dual Employment.** Any work outside of your job at UNT, either paid or unpaid, must not interfere with your work at UNT and must not represent a conflict of interest with the duties of your position. You must receive permission in writing using the appropriate form before working outside your job at UNT.
Consult with your supervisor and with Human Resources for help.

Financial Matters

- **Conflict of interest.** You may not have a direct or indirect financial interest in, or a business relationship with an activity that conflicts with the University's interest or that might influence or appear to influence how you do your job.

- **Personal Gifts.** You may not ask for or accept a gift that might influence or appear to influence decisions you make in your job.
You may not accept a gift as a token of appreciation that has a value over \$50.
- **Gifts to the University.** If a donor wishes to make a gift to the University
Refer the donor to the Office of Development.
- **Contracts.** Do not sign a contract or make an agreement, verbally or in writing, on behalf of the University with any party.
Forward contracts to the Office of Vice Chancellor and General Counsel, which then routes the contracts to the appropriate administrator for signature.
- **Historically Underutilized Businesses.** Contribute to meeting State of Texas targets for use of certified HUB vendors. Participate in implementing the UNT HUB goals and objectives.

Health and Safety

- **Workplace Safety.** Keep your work environment safe for yourself and your colleagues.
Report unsafe working conditions and injuries or illness that are job-related to the Office of Risk Management and Environmental Services. Report unsafe worker behavior to your appropriate section manager.
- **Hazardous Materials.** Use and dispose of hazardous materials in accordance with federal and state law, local ordinances, University policies, and procedures of the Office of Risk Management and Environmental Services.
- **Controlled Substances.** Possession or use of controlled substances, illegal drug, and alcohol on campus and in the workplace is prohibited. To use alcohol on campus for special events
Consult with the Office of Business Services.
- **Firearms** may not be brought onto campus, or in your possession while you are on campus, even if you have a valid permit to carry a firearm.

Use of UNT and State Property

- **University Property** must not be used for personal activities and businesses, or for personal gain.
- **Property in Your Possession.** You must receive permission to take UNT property off campus. If it is lost or damaged while in your possession as a result of your lack of due care, you may be responsible for the costs of repair or replacement.

Use of Computers and Information Resources

- **Use of Phones, Email, and Other Information Technology** for personal purposes is limited to incidental use, if it does not interfere with your job duties and performance, is not for personal gain, and does not pose a cost to the University.
- **Licenses.** Do not make or distribute copies of software, media or other copy protected materials beyond what is permitted by the license agreement. Certain licenses specify that you may use a copy of the software both in the workplace and at home for University-related activities.
Check with your supervisor if you are not sure of the license requirements.
- **Confidential Information.** If you have access to University information technology systems that store student records, employee records, financial records, or medical information that is defined as confidential by law, you may not release this information to anyone who is not authorized to view it.
Refer requests for such information to the Office of Vice Chancellor and General Counsel.
- **Access to Information Resources.** Do not access computer systems for which you are not authorized. Protect your passwords for systems you are authorized to use. Do not give your password to any other person or allow them to gain unauthorized access to any UNT information technology systems.
For further information, see <http://www.unt.edu/security/handbook/index.htm>

Research and Other Sponsored Projects

- **Research Policies.** Federal and state laws determine University policies for applying for and conducting sponsored projects. You must comply with all required procedures related to human subjects, animal care and use, biosafety, radiation, and conflict of interest. Except for conflict of interest, these policies apply whether or not the project is externally funded.
- **Project dollars** can only be spent in accordance with the purpose of the project and its budget.
- **Records.** You must keep accurate and timely records of time, effort, and budgetary expenditures.

- **Management Controls.** You must implement project management controls required by the funding agency, federal or state law, and UNT policy.

Consult with the Office of Research Services.

Intellectual Property

- **Ownership.** If you create intellectual property, your degree of ownership and the University's interest in the property is determined by University policy.

Consult with the Associate Vice President for Technology Transfer regarding intellectual property matters, except for distributed learning educational materials that are coordinated by the Center for Distributed Learning.

Use of Copyrighted Materials

- **Fair Use.** Observe fair use guidelines when using copyrighted materials.
- **Permission.** Receive permission from the author to copy materials beyond the fair use guidelines. Do not download copyrighted materials from the internet and distribute them without permission.

Political Activities

- **Participation.** You may participate in political activities if they do not interfere with your job duties and University operations.
- **Funds and Resources.** You may not use University personnel, funds, or other resources for any political activity or for political contributions.
- **Political Positions.** You cannot represent that your personal political positions are the position of the University of North Texas.
- **Public Office.** If you are elected to a political office, you may not accept a salary for such public service.

Media and Governmental Authorities

- **Media.** Refer representatives of the media to the Office of University Relations, Communications, and Marketing.
- **Government Authorities.** Refer government authorities who have subpoenas or administrative orders to the Office of Vice Chancellor and General Counsel.
- **Attorneys.** Refer outside attorneys to the Office of Vice Chancellor and General Counsel. Do not provide information to outside attorneys unless directed to do so.
- **Public Information Requests.** Refer information requests to the Office of Vice Chancellor and General Counsel.

Additional responsibilities of managers and supervisors:

- **Climate of Compliance.** Create a department climate that promotes both compliance and ethical behavior, and that encourages faculty and staff to report concerns about suspected violations.
Anonymous reports can be filed on-line at untsystem.unt.edu/compliance/
- **Role Model.** Act as a role model for ethics and compliance in the department. Faculty and staff will follow the example you set.
- **Training.** Ensure that employees receive all the compliance training that their job duties require. You are also required to complete training prescribed for you.
- **Performance Reviews.** Include compliance expectations in performance reviews, and administer appropriate disciplinary action, if it is required, following University policy.

**University of North Texas
Ethics and Compliance Guide Acknowledgment Form**

Ethical behavior and informed compliance with applicable laws and regulations are appropriately the concern of every UNT faculty and staff member, whatever your job title, assignment, length of service, or sphere of influence. The attached information is provided to you as a minimal guideline for the expectations UNT has regarding ethics and compliance issues. There may be additional expectations depending on your role and specific responsibilities. Please take the time now to review the attached information and sign the acknowledgement below, and retain the second page for your reference. Managers and supervisors are expected to use this information annually as a reference to discuss ethical and compliance information during the staff performance evaluation process, and to have your employee sign this acknowledgement during the performance review meeting. You will receive a copy of this acknowledgement form and attached information with the staff member's performance review notification. All faculty and staff are encouraged to discuss specific questions regarding ethics and compliance issues with your manager or supervisor, or with any of the offices listed below.

I HEREBY ACKNOWLEDGE AND AGREE THAT:

1. I have received a copy of the UNT Ethics and Compliance Guide.
2. I have read this guide.
3. I am responsible and accountable for conducting my daily work activities in accord with the expectations presented in this guide.
4. I will obey all laws and regulations, and I will follow the policies and procedures of the University of North Texas.
5. I will complete my work duties in an honest and professional manner.
6. I will report any suspected violations to the offices specified in this guide.
7. This original acknowledgment will be placed in my department personnel file and maintained by my department.

Employee Signature and ID # _____ Date _____ Employee Name (printed) _____

Supervisor Signature _____ Date _____ Supervisor Name (printed) _____

ONCE YOU HAVE READ THIS ETHICS AND COMPLIANCE GUIDE AND HAVE SIGNED YOUR NAME ABOVE, PLEASE RETURN THIS SHEET IN TO YOUR SUPERVISOR FOR SIGNATURE AND FILING. PLEASE KEEP YOUR COPY OF THIS GUIDE FOR REFERENCE, AND ASK FOR HELP FROM ANY OF THE OFFICES LISTED BELOW.

Equal Opportunity Office (http://www.unt.edu/administration/equal_opportunity.htm)

Human Resources (<http://www.unt.edu/hr>)

Internal Audit (<http://www.unt.edu/audit>)

Vice Chancellor and General Counsel (<http://www.unt.edu/legalaffairs>)

Risk Management and Environmental Services (<http://www.unt.edu/riskman>)

Business Services—565-2033

Research Services, and Vice President for Research and Technology Transfer

(<http://www.unt.edu/ospa/index.html>)

Office of Compliance (<http://untsystem.unt.edu/compliance>)