

Policies of the University of North Texas System Administration	Chapter 02
<b>02.1400 Reporting Suspected Wrongdoing</b>	Administration

**Policy Statement.** The System Administration supports and promotes a culture of compliance and accountability that encourages all members of the System Administration community to conduct themselves lawfully, honestly and with integrity. Everyone within the System Administration is expected to operate in an ethical, honest and lawful manner. Preventing and detecting criminal conduct is critical to achieving these goals. The System Administration expects and encourages all members of its community, including faculty, students, staff and individuals authorized to act on behalf of the System Administration to make good faith reports of suspected wrongdoing. Retaliation against those making good faith reports of misconduct is prohibited.

**Application of Policy.** All members of the System Administration community, including but not limited to faculty, students, staff and individuals authorized to act on behalf of the System Administration.

**Definitions.**

1. **Employee.** “Employee” means anyone employed by the System Administration, including staff and faculty.
2. **Student.** “Student” means anyone actively enrolled in at least one SCH (semester credit hour) during a given enrollment term. Student also includes individuals between academic terms that completed the most recent term and registered for the upcoming term.
3. **Retaliation.** “Retaliation” means adverse action against an individual because of the individual’s report of suspected wrongdoing or assistance in an authorized investigation of suspected wrongdoing under this policy.

**Procedures and Responsibilities.**

1. Employees and individuals authorized to act on behalf of the System Administration are required to promptly report suspected wrongdoing of any kind, including but not limited to illegal or fraudulent activity, conflicts of interest, financial misstatements, accounting irregularities, and violations of other laws, Regents Rules, System Regulations, or System Administration policies. The requirement to report suspected wrongdoing under this policy is in addition to and does not replace, change or modify reporting requirements under federal or state laws.

Responsible Party: Employees and individuals authorized to act on behalf of the System Administration

2. Students and other individuals are strongly encouraged to report suspected wrongdoing of any kind including but not limited to illegal or fraudulent activity, conflicts of interest, financial misstatements, accounting irregularities, and violations of other laws, Regents Rules, System Regulations or System Administration policies. Reports shall be made to the System Administration Compliance Office. Reports of suspected criminal wrongdoing also shall be made to a law enforcement agency, including any police department within the UNT System. Reporting suspected wrongdoing under this policy is in addition to and does not replace, change or modify reporting requirements under federal or state law.

Responsible Party: Students and other individuals connected with the System Administration, but who do not fall in the category of an Employee or individual authorized to act on behalf of the System Administration

3. Reports of suspected wrongdoing made by Employees or individuals other than Students shall be made to the System Administration Compliance Office. Reports of suspected wrongdoing made by Students shall be made to the Assistant Dean of Students Office. Reports of suspected criminal wrongdoing also shall be made to a law enforcement agency, including any police department within the UNT System. Reports of sexual harassment and discrimination also shall be made to the UNT System Equal Opportunity Office. Reports that are not within the Compliance Office's jurisdiction or the Assistant Dean of Student Office's jurisdiction will be redirected to the appropriate administrative office. Reports regarding suspected wrongdoing involving the Compliance Office or a member of the Compliance Office's staff may be made to the Chancellor. Reports by Students regarding suspected wrongdoing involving the Assistant Dean of Students Office may be made to the System Administration Compliance Office.

Responsible Party: Faculty, Students, staff or any other individual making a report or who assists in an authorized investigation of suspected wrongdoing under this policy; UNT System Equal Opportunity Office; any Police Department within the UNT System; System Administration Compliance Office; Assistant Dean of Students Office; and Chancellor

4. Officials who receive a report of suspected wrongdoing shall determine whether an investigation is appropriate and resolve the report in accordance with legal requirements and the policy requirements of the System Administration. The Chancellor, the Vice Chancellor and General Counsel and the Chief Internal Auditor shall be informed of unlawful conduct that may pose risk of significant liability or reputational harm to the System Administration or of other matters that may be a

significant compliance concern. The Board of Regents shall be informed of unlawful conduct that poses risk of significant liability or reputational harm to the System Administration or of other matters that are a significant compliance concern in the judgment of a compliance officer, the Vice Chancellor and General Counsel, the Chief Internal Auditor or the Chancellor.

Responsible Party: Officials receiving a report of suspected wrongdoing under this policy; System Administration Compliance Office; Assistant Dean of Students Office; Chancellor; Vice Chancellor and General Counsel; and Chief Internal Auditor

5. Individuals are expected to be truthful and cooperative in an investigation of suspected wrongdoing. Although cooperation is expected, a person who makes a report is not entitled to be involved in the investigation or to be advised of the status or disposition of a matter unless required by law.

Responsible Party: Faculty, Students, staff and other individuals making a report or involved in an investigation of suspected wrongdoing

6. No action shall be taken against any individual who, in good faith, reports or causes to be reported suspected wrongdoing or who assists in an authorized investigation of suspected wrongdoing. This prohibition does not extend to disciplinary action for self-reported violations. Any individual who engages in retaliation may be subject to disciplinary action, including termination of employment or authority to act on behalf of the System Administration.

Responsible Party: All faculty and staff of the System Administration

7. Individuals are required by Chapter 261 of the Texas Family Code to immediately report to local or state law enforcement authorities or to the Texas Department of Family and Protective Services when there is reason to believe that a child's physical or mental health or welfare has been adversely affected by abuse or neglect. Under this Policy, Employees, Students, and individuals authorized to act on behalf of the System Administration are required to report child abuse and neglect in accordance with the specific manner required by Chapter 261 of the Texas Family Code, which is more specifically explained in System Administration Policy 02.1500. Informing a supervisor or other official of the System Administration does not fulfill this legal reporting requirement, however, a person who makes a report of abuse or neglect as statutorily required also should provide notice to the System Administration Compliance office or the Assistant Dean of Students Office when the report is made. Failure to report when required by law is a crime and grounds for disciplinary action or revocation of authority to act on behalf of the System Administration.

Responsible Party: Faculty, staff, Students, individuals authorized to act on behalf of the System Administration, and all other individuals with reason to believe that a child's physical or mental health or welfare has been adversely affected by abuse or neglect

8. The Compliance Office and the Assistant Dean of Students Office will publish on its website contact information for receiving reports of suspected wrongdoing and retaliation.

Responsible Party: The System Administration Compliance Office and the Assistant Dean of Students Office

**References and Cross-references.**

Regents Rule 04.1100, Reporting Suspected Wrongdoing

Policy 02.1500, Reporting of Child Abuse and Neglect

Policy 03.701, Ethics

Approved: August 20, 2014

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Revised: