



Quick Reference for Concern or Complaint Reporting

The following information was developed to assist in determining where to report a particular type of concern or complaint.

Employee's Guide to Reporting a Concern or Complaint

This guide is provided to assist UNT System employees in directing any good faith question or concerns they may have pertaining to compliance with federal or state laws or UNT System and UNT policies. A "good faith" report is a sincere effort by a UNT System employee to inform the University of an action or activity which is believed to be at the very least inappropriate, with the aim or objective of the "good faith" report to achieve good results or outcomes that are beneficial to the University.

The first step should always be to resolve the question, concern, or complaint using the supervisory chain-of-command. If the question or concern is related to someone in the supervisory chain, employees should report the matter to the next higher supervisor, manager, or when in doubt contact the UNT System Compliance Office or Office of Institutional Compliance. A question or concern involving fraud should be directed to Internal Audit and incidents involving a crime should be reported to the UNT Police.

Employees should be aware that University of North Texas (UNT) [Policy 04.006, "Responsibilities and Rights of Employees Under the University of North Texas Compliance Program"](#), requires them to report incidents they believe, in good faith, violate University policy or federal or state law. An employee is expected to fulfill this obligation by reporting his or her concern to the UNT official who the employee believes can correct or address the concern.

The following information lists the offices within the University that employees can direct questions, report incidents, and/or explain the areas that these offices cover:

Contact the Office of Internal Audit - For incidents involving any type of fraud or suspected fraud, embezzlements, forgery, alteration, or misrepresentation of information on documents, misappropriations, disappearance or destruction of any asset, improprieties in the handling or reporting of monetary transactions, authorizing or receiving payments for goods not received or services not performed, authorizing or receiving payment for hours not worked, any apparent violation of Federal, State, or local laws related to dishonest activities, or other fiscal irregularities.

Review UNT's [Fraud Policy 04.007](#). Internal Audit will contact any other UNT authorities that have a role in resolving the issue. Contact the UNT System Chief Internal Auditor at, Phone: (940) 565-2153, Fax: (940) 565-2534, E-mail: [Internal Audit](#)

Another option for reporting suspected fraud, waste, and abuse is directly to the State Auditor's Office. The State Auditor's telephone number is 1-800-TX-AUDIT (892-8348) and their website is <http://sao.fraud.state.tx.us>.

Contact Department/Division Head or Human Resources - For employment-related conditions or incidents pertaining to working conditions, hours of work, relationships with supervisors or other employees, inappropriate policies or decisions, harmful, or unfair policies or decisions, or a grievance pertaining to an adverse personnel action involving a decrease in salary, demotion, suspension without pay and/or discharge, review UNT's [Complaint and Grievance Policy 05.042](#). **Employees may also contact their Human Resource representative to discuss how to handle workplace concerns.**

- **For Human Resource questions, assistance in finding specific information, or additional information**, an effective additional resource may be to use the HR's ["Ask HR?"](#) feature.

Contact the Office of Equal Opportunity (EO). For complaints pertaining to discrimination and harassment on the basis of race, color, religion, sex, age, national origin, disability, disabled veteran status, or Veterans of the Vietnam Era status or retaliation for reporting suspected discrimination or harassment or participating in an investigation into allegations of discrimination or harassment.

- **Where to Report - Faculty, Staff, & Visitors**. Faculty, staff, and visitors to UNT campus may report suspected violations of the University's equal opportunity policies, including sexual harassment and retaliation, by employees, visitors, and persons doing business with the University to the Office of Equal Opportunity, within the Division of Equity and Diversity at (940) 565-2737. Suspected violations also may be reported to [Human Resources](#). Human Resources will forward the report to the Office of Equal Opportunity in accordance with UNT [Policy 16.006](#).
- **Where to Report - Students**. Students who believe they have experienced discrimination, harassment, or retaliation by faculty, staff, or visitors should report their concerns to the Office of Equal Opportunity. Students who believe they have been harassed or discriminated against by other students or student organizations should report their concerns to the [Center for Student Rights and Responsibilities](#) (CSRR) at (940) 565-2039, in room 324 of the Student Union or the [Dean of Students](#) at (940) 565-2648. Complaints of student harassment made in the Office of Equal Opportunity will be forwarded to the CSRR for resolution.
- **How to Report**. A report of suspected discrimination, harassment, or retaliation may be made in person in the Office of Equal Opportunity or one of the other offices mentioned above, or by forwarding a [complaint form](#) to the Office of Equal Opportunity. All reports will be reviewed by the Office of Equal Opportunity to determine whether an investigation is warranted. Contact the Office of Equal Opportunity at: http://www.unt.edu/administration/equal_opportunity.htm.

Contact the University of North Texas Police. Reports of criminal conduct that occur on property owned or controlled by the University should be made to the UNT Police. Incidents involving theft should also be reported to the UNT Police. Reports can be made in person by visiting the Sullivant Public Safety Center located at 1700 Wilshire Street, City of Denton, Texas. Reports can be placed by phone at: (940) 565-3000, Fax: (940) 369-8788, or contacting the UNT Police through their website at: www.unt.edu/police.

Contact the UNT System Compliance Officer or Institutional Compliance Office. For reporting suspected failures to comply with Federal, State or local laws, regulations, and policies. Ask yourself if there was a Federal, State, local, or other UNT System or UNT requirement to perform a particular action and that action was not performed? If the answer is yes, then this incident should be reported to the UNT System Compliance Officer or Institutional Compliance Office.

- **Examples of incidents that can be reported to UNT System or Institutional Compliance include** a perceived lack of enforcement of the University's smoking policy, management failing to inspect its laboratories, or inappropriate disposal of confidential documents.
- **However, examples of incidents that are exceptions and should not be reported to UNT System or Institutional Compliance include** discrimination, harassment, and equal employment opportunity. These incidents should be reported to the Office of Equal Opportunity or Human Resources.
- For additional information, you can review UNT's [Responsibilities and Rights of Employees Under the University of North Texas Compliance Program Policy 04.006](#). For questions, concerns, or to report an incident contact Steven Hill, Director of Institutional Compliance and UNT System Compliance Officer, (940) 565-4364, E-mail: SHill@unt.edu or Dr. Anissa Breaux-Schropp, UNT Compliance Officer, (940) 565-4080, Email: AnissaB@unt.edu.
- **Additional Reporting Options.** Employees also can use the [UNT System Compliance Hotline](#) to report concerns on-line at <https://web3.unt.edu/compliance/syshotline/> or by calling the Compliance Telephone Hotline at (940) 565-4351. Reports made on-line are anonymous. All reporting to the UNT System or Institutional Compliance Office will be reviewed to determine whether an investigation and remedial action is necessary.
- **Self-Reporting.** Employees are encouraged to [self-report](#) significant situations for which they may be personally responsible. This does not include an isolated day-to-day issue such as failing to punch a time-clock. Employees that self-report do not escape responsibility for their actions, but such reporting may mitigate any disciplinary action imposed.

- ***Protection from Retaliation Against Good Faith Reporting.*** UNT System and UNT are committed to [protecting employees who report compliance failures in good faith from retaliation](#). Anyone who retaliates against an employee who reports a compliance failure or cooperates during an investigation is subject to disciplinary action including dismissal.

Review UNT's [Responsibilities and Rights of Employees Under the University of North Texas Compliance Program Policy 04.006](#), for information that addresses protection from retaliation against good faith reporting of suspected or compliance failures,

- ***Intentionally Making False Reports.*** [Intentionally making false reports regarding compliance and non-compliance](#) is a serious matter that can constitute grounds for disciplinary action to include dismissal.
- ***Anonymous Reports and Non-Disclosure of Reports.*** [To the extent allowed by law, employees also have the right to confidentiality of their reports](#). Employees who report suspected compliance failures to the UNT System or Institutional Compliance Office are not required to provide their name or any other identifying information and the Office will not make any attempt to identify individuals who wish to make anonymous reports.

Contact the Office of the Ombuds. The purpose of the Ombuds Office is to provide university employees with a confidential, informal, neutral and impartial means of preventing or resolving workplace concerns, problems, or disputes. The Ombuds helps individuals identify options for fair and equitable outcomes, and fosters civility and mutual respect. Employees may contact the Ombuds Office as a first step, or as a last resort, or any point along the way. The Office of the Ombuds supplements, but does not replace, any existing grievance mechanisms or modes of redress. The Ombuds is NOT an office of notice for the University. For additional information refer to: <http://www.unt.edu/ombuds> or call (940) 369-8166.