

02.402 Responsibilities and Rights of Employees Under the UNT System and Its Component Institution's Compliance Programs

1. Purpose:

To define supervisory staff and employee responsibilities and rights under the University of North Texas System and component institution's Compliance Programs.

2. Policy:

The University of North Texas System and its component institution's Compliance Programs reflect the commitment of the System and its component institutions to carrying out the mission of the System and of the component institutions 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 System and its component institution's Compliance Programs as defined below.

3. Supervisory Staff Responsibilities:

All managers and supervisors of the System and of its component institutions 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.

4. Employee Responsibilities:

All employees of the System and of its component institutions 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. The employee will not escape responsibility for their actions, but such report may mitigate any disciplinary action imposed.

5. Rights:

All employees of the University of North Texas System and of its component institutions have the right to report suspected compliance failures either to administrative authorities of their institution or to the appropriate state or federal regulatory agency that monitors compliance with a particular law. The System and component institution's administrative authorities include the Compliance Officer, Equal Employment Opportunity Officer, Human Resources Representative, Auditor, Legal Counsel, Vice Chancellors, 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 law, 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 law.

6. False Reporting:

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