The University of North Texas at Dallas Policy Manual

Chapter 05

5.012 Reporting Suspected Wrongdoing

**Policy Statement.** The University of North Texas at Dallas (UNTD) supports and promotes a culture of compliance and accountability that encourages all members of the UNTD community to conduct themselves lawfully, honestly and with integrity. Everyone within the UNTD is expected to operate in an ethical, honest and lawful manner. Preventing and detecting criminal conduct is critical to achieving these goals. The UNTD expects and encourages all members of its community, including faculty, students, staff and individuals authorized to act on behalf of the UNTD 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 UNTD community, including but not limited to faculty, students, staff and individuals authorized to act on behalf of the UNTD.

**Definitions.**

1. **Employee.** “Employee” means anyone employed by UNTD, including staff, faculty, and student employees.

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 UNTD 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 UNTD 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 UNTD.

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 UNTD policies. Reports shall be made to the UNTD Institutional Compliance Office. Reports of suspected criminal wrongdoing shall be made to the UNTD Police Department. 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 UNTD, but who do not fall in the category of an Employee or individual authorized to act on behalf of the UNTD

3. Reports of suspected wrongdoing made by employees or individuals other than students shall be made to the UNTD Institutional Compliance Office. Reports of suspected wrongdoing made by students shall be made to the Student Affairs Office. Reports of suspected criminal wrongdoing also shall be made to the UNTD Police Department. Reports of sexual harassment and discrimination shall be made to the UNTD Office of Equal Opportunity. Reports that are not within the Compliance Officer’s jurisdiction or the Student Affairs Office’s jurisdiction will be redirected to the appropriate administrative office. Reports regarding suspected wrongdoing involving the Institutional Compliance Office or a member of the Compliance Office’s staff may be made to the President’s Office. Reports by students regarding suspected wrongdoing involving the Student Affairs Office may be made to the Office of Institutional Compliance. Reports of suspected wrongdoing involving the UNTD Office of Equal Opportunity may be made to the Office of Institutional Compliance.

**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; Institutional Compliance Office; Student Affairs Office; UNTD Office of Equal Opportunity; UNTD Police; President’s Office

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 UNTD. The President, the Vice Chancellor and General Counsel, the Chief Internal Auditor, and the Compliance Officer shall be informed of unlawful conduct that may pose risk of significant liability or reputational harm to the UNTD 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 UNTD or of other matters that are a significant compliance concern in the judgment of a Compliance Officer, the President, the Vice Chancellor and General Counsel, the Chief Internal Auditor or the Chancellor.
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 who assists in an authorized 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 UNTD.

   Responsible Party: All faculty, staff, and student employees of UNTD

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 and Students 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 Policy 5.032. Informing a supervisor or other official of the UNTD 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 Institutional Compliance Office or the Student Affairs 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 UNTD.

   Responsible Party: Faculty, staff, students, individuals authorized to act on behalf of the UNT, 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 Institutional Compliance Office and the Student Affairs Office will publish on its website contact information for receiving reports of suspected wrongdoing and retaliation.

**Responsible Party:** The Institutional Compliance Office and the UNTD Student Affairs Office

References and Cross-references.
Regents Rule 04.1100, Reporting Suspected Wrongdoing
UNTD Policy 5.032 – Reporting of Child Abuse and Neglect
UNTD 5.007 – Employee Ethics and Standards of Conduct
UNTD 5.027 – Criminal History Checks for Security Sensitive Positions
UNTD 5.028 – Consensual Relationships
UNTD 5.030 – University Volunteers
UNTD 7.010 – Annual Campus Security Report
UNTD 7.013 – Hazing
UNTD 13.001 – Use of Human Subjects in Research
UNTD 7.012 – Student Organizations and Student Government
UNTD 12.004 – Risk Management

**Forms and Tools.** (optional) Include information on any forms and/or tools required for compliance with the policy, as well as how to obtain such forms and/or tools.

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