

Policies of the University of North Texas Health Science Center	Chapter 03 – Compliance
03.101 Institutional Compliance	

Policy Statement.

It is the policy of the University of North Texas Health Science Center at Fort Worth that no officer, administrator, director, manager, or supervisor shall perform any act or ask any employee to perform any act that is in any way contradictory to federal or state law, or any policy of the center which adversely affects the ability of the center to achieve objectives and conduct operations in furtherance of its mission.

Application of Policy.

Faculty, staff and students

Definitions.

1. “Employee” means anyone employed by the System Administration or an Institution, including staff and faculty.
2. “Faculty” means employees having academic rank in an Institution.
3. “Staff” means non-faculty employees.

Procedures and Responsibilities.

All employees shall abide by the center’s policy on Employee Ethics and Standards of Conduct which provides assurance that an employee will not seek undue personal benefit or accept or give inappropriate favors as a result of his/her official status. All students shall abide by the Code of Student Conduct and Discipline, which provides a guide conducive to academic endeavor, social growth and individual self-discipline.

Procedure / Duty

1. The center’s compliance program will be carried out through a Compliance Council. The Compliance Council Chair has unrestricted access to the President and reports directly to the UNT System’s Compliance Officer. The council has the responsibility to oversee those activities that will guide the institution in conducting business in an ethical and proper way. The council will facilitate communication with/to and monitor the responses by the various areas/units responsible for handling compliance issues.
2. The council will develop and communicate compliance standards and procedures to all faculty, staff and students.

Responsible Party

Institutional Compliance Officer

Institutional Compliance Officer

3. The council will create an atmosphere that encourages employees and students to report violations of compliance standards, as well as criminal conduct, without fear of retribution. Institutional Compliance Officer
4. The council will maintain a “hotline” to receive complaints, as well as adopt procedures to protect the anonymity of complainants. Institutional Compliance Officer
5. The council will consistently promote, monitor, and facilitate the enforcement of compliance standards. Institutional Compliance Officer
6. The council will take reasonable steps to respond appropriately, when an offense is detected, and assure that programs and processes are in place to prevent further similar offenses. Institutional Compliance Officer
7. The council will encourage compliance as an element in evaluating performance of supervisors and managers. Institutional Compliance Officer
8. The council will ensure the requirements for record creation and retention are met. Institutional Compliance Officer
9. The council will develop and maintain an educational program, which will train the center’s employees concerning their personal compliance responsibilities. Institutional Compliance Officer
10. The council will make every attempt to create a free and open atmosphere that allows and encourages faculty, staff and students to report any violation of the center’s compliance policy to the Compliance Council. The Compliance Council shall investigate or assign responsibility for investigating any non-compliance allegation(s). Institutional Compliance Officer
11. The council will coordinate any governmental inquiry or investigation of alleged violations through the Compliance Council Chair, the Office of Internal Audit and the Office of Legal Affairs. Institutional Compliance Officer

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| 12. | The council shall strive to fulfill the center's obligation to self-govern by monitoring compliance with federal and state regulations and center policies. In addition, it will voluntarily disclose violations of rules, regulations, and policies; as well as disclosing corrective action(s) taken. | Institutional Compliance Officer |
| 13. | The council will have public accountability for its commitment to the principles and provisions of the compliance program. | Institutional Compliance Officer |

References and Cross-references.

Regents Rule 04.502 Compliance. The System Administration and each Institution shall develop and implement a compliance program that supports activities intended to assist the Institution in complying with federal and state laws and regulations.

Approved: 9/1/2006

Effective: 9/1/2006

Revised: