November 17, 2009

Dear UNT faculty member,

This year, UNT is off to an incredible start. You may have heard that we recently made *U.S. News & World Report*’s “Top Up-and-Coming Schools” list, tying for ninth among public universities. We made this list, in part, because of our innovative changes across campus and because of our faculty’s excellence.

Each of you played an important role in helping UNT earn this recognition. As educators and researchers, you are on the front lines, embodying our student-centered creed through your actions and carrying out our mission to foster knowledge and advance society. I am proud of the work you do and the expertise you bring to UNT as a member of our university family.

With so many changes and advances taking place across campus, it is more important than ever to be mindful of our professional ethic and legal responsibilities. Every UNT faculty member — regardless of job title, assignment, length of service or sphere of influence — must adhere to and comply with applicable laws and policies set by UNT, its Board of Regents and the State of Texas.

Attached are standards of conduct guidelines. These guidelines do not replace any written policies or laws; however, they will serve as a point of reference for workplace conduct and expectations; make you aware of rules regarding such issues as conflict of interest, research and gifts; and help you find an applicable policy or appropriate point of contact for issues that arise.

Please take the time to review the guidelines and keep them on hand for future reference. If you have specific questions, I encourage you to speak with your department or division head or with the points-of-contacts in the offices and agencies listed below.

With green pride,

Gretchen M. Bataille
President
The University of North Texas is a thriving University with a legacy of excellence throughout its campuses. An appropriate way for each of us to demonstrate that means green excellence in our professional conduct and in our compliance with applicable laws and policies set by UNT, its Board of Regents and the state of Texas is to:

- Employ the highest standards of the profession or discipline in performing job duties;
- Put forth best efforts to serve the citizens of Texas and students, who have come to us from all across Texas, the nation, and the world;
- Conduct job-related activities in compliance with all regulatory requirements;
- Conduct all actions in accordance with the ethical standards defined in UNT policies;
- Ask for help from knowledgeable University authorities as necessary to carry out our duties; and,
- Each of us has a personal obligation to report any activity that appears to be unlawful.

Anonymous reports of federal and state regulatory noncompliance can be filed on-line at https://web3.unt.edu/compliance/hotline/

In addition to the above general standards of conduct, each member of the faculty must conduct their professional business in accordance with the following requirements, some of which are required by federal or state law:

Workplace Conduct

- **Fraud.** Spend state and federal funds only for their designated purposes. Keep accurate financial records. Use the Purchasing Card only for lawful expenditures. Personal use of institutional funds is forbidden. **Report suspected violations to Internal Audit at** http://untsystem.unt.edu/internalaudit/contact.htm. 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.

- **Equal Opportunity.** Discrimination based on race, religion, national origin, sex, age, veteran’s status, and disability is in violation of various federal and state laws and UNT policy, and also violates the public trust in the leadership that UNT provides for our community, the State of Texas, and the nation. **Report suspected violations to the Equal Opportunity Office at** http://www.unt.edu/administration/equal_opportunity.htm.

- **Sexual Harassment, Misconduct, and Inappropriate Consensual Relationships.** Sexual advances, inappropriate consensual relationships, and speech with offensive sexual content directed toward students, faculty, staff, and
guests will result in disciplinary action, up to and including termination of employment. Report suspected violations to the Equal Opportunity Office at http://www.unt.edu/administration/equal_opportunity.htm.

- **Workplace Violence.** Acts of violence as well as threats and behaviors that suggest violence or physical harm might occur must be reported immediately. Report imminent threats to the UNT Police at http://www.unt.edu/police/ and other suspected violations to your office, department, center, or division head and Human Resources at http://www.hr.unt.edu/main/.

**Workplace Practices**

- **Time Reporting.** Keep accurate records of time and effort reporting. Meet all reporting deadlines. Consult with your office, department, center, or division head and with the Office of Research and Economic Development for more information at http://research.unt.edu/ors/orshandbook.htm#personnel.

- **Leave.** Report any applicable leave taken and notify your department or division head when leaving for approved travel. Ensure these transactions are documented. For the procedures to utilize Family and Medical Leave, or for other questions related to time reporting, and any applicable leave. Consult with your office, department, center, or division head and with Human Resources at http://www.hr.unt.edu/main/ViewPage.php?cid=122.

- **Records Management.** All records, regardless of their category (financial, medical, or academic, etc.) or medium must be accurately maintained in the form prescribed by law and by UNT policy. Retain records for the periods required by the applicable UNT Record Retention Schedule. Use only approved methods to dispose of records at the end of their retention period. All record disposals must be documented by completing a record disposition log and submitting the log to the attention of the UNT Records Management Analyst in the Office of Institutional Compliance, Hurley Administration Building, Suite 135 (records.unt.edu or cfoster@unt.edu)

**Financial Matters**

- **Conflict of Interest Involving Research.** Employees may not have a direct or indirect significant financial interest in, or a business relationship with an activity that conflicts with the University’s interest or that might influence or appear to influence their job responsibilities. The University has a Committee in place to address how these conflicts or potential conflicts are evaluated and addressed. For more information or for information on the Conflict of Interest Review Committee, please review http://research.unt.edu/ors/compliance/conflict.htm.

**Dual Employment.** Any work outside of the job at UNT, either paid or unpaid, must not interfere with job responsibilities at UNT and must not represent a conflict of interest with the duties of the position. All UNT employees must receive permission in writing using the appropriate form before accepting any assignment or job outside of UNT. Questions or concerns related to a conflict of interest involving dual employment may be resolved by reviewing the Dual Employee And Other Activities policy at http://www.unt.edu/policy/UNT_Policy/volume1/1_2_2.html.

Should further assistance be necessary, consult with your office, department, center, or division head and with Human Resources at http://www.hr.unt.edu/main/ViewPage.php?cid=92. Questions or concerns related to a conflict of interest not already mentioned above or any type of conflict of commitment should be directed through the Office of Institutional Compliance at http://compliance.unt.edu/content/contact.

- **Personal Gifts.** Employees may not ask for or accept a gift that might influence or appear to influence work-related decisions. Employees may not accept a gift as a token of appreciation that has a value over $50. For additional questions concerning gifts and exceptions to receiving gifts valued at below the $50 value requirement or situations that do not allow acceptance of a gift at all, contact the Office of General Counsel after reviewing the Ethics Policy in paragraph 5., under Gifts at, http://www.unt.edu/policy/UNT_Policy/volume1/1_2_9.html. Faculty and Staff Gifts and Awards Policy at http://www.unt.edu/policy/UNT_Policy/volume1/1_6_6.html, and the Tax Rules for Employee Gifts and Awards at http://www.unt.edu/policy/UNT_Policy/volume1/1_6_6_1.html.

- **Gifts to the University.** If a donor wishes to make a gift to the University, refer the donor to the Office of Development at http://www.unt.edu/development/.
• **Contracts.** Do not sign a contract or make an agreement, verbally or in writing, on behalf of the University with any party unless you have the authority to do so. *For more information on the contract review and approval process review* [http://untsystem.unt.edu/generalcounsel/contracts/contract-home.htm](http://untsystem.unt.edu/generalcounsel/contracts/contract-home.htm).

• **Historically Underutilized Businesses (HUB).** Contributes to meeting State of Texas targets for use of certified HUB vendors. Units are encouraged to participate in implementing UNT HUB goals and objectives. *Consult with the HUB representative in Purchasing and Payment Services for assistance at* [http://pps.unt.edu/index.php?option=com_content&task=view&id=49&Itemid=100](http://pps.unt.edu/index.php?option=com_content&task=view&id=49&Itemid=100).

### Health and Safety

• **Workplace Safety.** Keep the work environment safe for all employees, students, and visitors. Report unsafe working conditions, injuries, or illness that are job-related to Risk Management Services at [http://rms.unt.edu](http://rms.unt.edu). Report unsafe worker behavior to the appropriate office, department, center, or division head.

• **Hazardous Materials.** Use and dispose of hazardous materials in accordance with federal and state law, local ordinances, and internal policies and procedures. Risk Management Services (RMS) performs chemical waste pickups via an online form on the RMS website. The university chemical hygiene plan is available on the Risk Management Services website. *Contact Risk Management Services with concerns or for assistance at* [http://rms.unt.edu](http://rms.unt.edu).

• **Controlled Substances.** Possession or use of controlled substances, illegal drugs, and alcohol on campus and in the workplace is prohibited. To use alcohol on campus for special events consult with the Office of Business Services at [http://www.unt.edu/eventplanning/](http://www.unt.edu/eventplanning/) or call (940) 565-2033.

• **Firearms.** Firearms may not be brought onto campus, or be in the possession of anyone on campus, even if the person has a valid permit to carry a firearm. *Contact UNT Police at* [http://www.unt.edu/police/](http://www.unt.edu/police/) with concerns or for assistance.

### Use of UNT and State Property


• **University Property.** University property must not be used for personal activities and businesses, or for personal gain.

• **Property in Your Possession.** Employees must receive written permission from the unit (division, center, department, office, etc.) account holder to take UNT property off campus. If it is lost or damaged while in the employee’s possession as a result of employee’s lack of due care, the employee may be responsible for the costs of repair or replacement.

### Use of Computers and Information Resources

• **Authorized Use of Computing Resources.** Computing resources are provided for the purpose of accomplishing tasks related to the University's mission. The use of some computers, networks, and software located on or off the University campus may be dedicated to specific research, teaching missions, or purposes that may limit their use or access.

• **Misuse of Computing Resources.** Attempting to circumvent, assisting someone else or requesting that someone else circumvent any security measure or administrative access control that pertains to University computer resources are violations of the computer use policy. In addition the following are also considered violations: unauthorized access, use or misuse of computing resources, systems, or data; performing acts that disrupt computer operations or cause the unavailability of computing resources; using another individuals identification, password, or other credentials; unauthorized sharing of copyrighted materials through electronic means; and performing acts that initiate attacks against external networks or systems.
• **Use of Phones, Email, Internet, and Access to Other Information Technology** for personal purposes is limited to incidental use, if it does not interfere with job duties and performance, is not for personal gain, and does not pose a cost to the University. *Speak with the office, department, center, or division head if unsure of your usage requirements.*

• **Confidential Information.** Student records, employee records, financial records, and medical information, much of which is confidential by law and may not be released to anyone who is not authorized to view it. Use of confidential information by UNT personnel is limited to individuals who have obtained permission from the owner of the confidential information and to those who have received training on secure and appropriate use of the confidential information. *Refer requests by UNT personnel for confidential information to the respective owner of the confidential information. Refer any non-UNT requests for confidential information to the Office of General Counsel at [http://untsystem.unt.edu/generalcounsel/contact.htm](http://untsystem.unt.edu/generalcounsel/contact.htm).*

• **Access to Information Resources.** Employees may not access computer systems for which they are not authorized. Protect passwords for systems you are authorized to use. Do not give your password to any other person or allow them to gain unauthorized access to any UNT information technology systems. *For further information, see [http://security.unt.edu/policy/handbook](http://security.unt.edu/policy/handbook).*

**Research and Other Sponsored Projects (Consult with the Office of Research and Economic Development)**

• **Research Policies.** Federal and state laws determine University policies for applying for and conducting sponsored projects. Employees must comply with all required procedures related to human subjects, animal care and use, biosafety, radiation, conflict of interest, and research misconduct. These policies apply whether or not the project is externally funded. However, there may be some exceptions in reference to conflict of interest. If additional information is needed or further assistance is necessary, *review the Office of Research and Economic Development’s Research Compliance webpage which provides information involving grants and contracts for sponsored programs related to a variety of topics at [http://research.unt.edu/ors/compliance/compliance.htm](http://research.unt.edu/ors/compliance/compliance.htm).*

• **Project dollars** can only be spent in accordance with the purpose of the project and its budget.

• **Records.** Employees must keep accurate and timely records of time, effort, and budgetary expenditures.

• **Management Controls.** Employees must implement project management controls required by the funding agency, federal or state law, and UNT policy.

**Intellectual Property**

• **Ownership.** If employees or students create intellectual property, the degree of ownership and the University’s interest in the property is determined by University policy. *Review the Office of Research and Economic Development’s webpage at [http://research.unt.edu/techtransfer/techtransfer.htm](http://research.unt.edu/techtransfer/techtransfer.htm). Contact the Office of Research and Economic Development regarding intellectual property matters, except for distributed learning educational materials that are coordinated by the Center for Learning Enhancement, Assessment, and Redesign (CLEAR) at [http://clear.unt.edu/](http://clear.unt.edu/).*

• **Software Licenses.** Do not make or distribute copies of software, media, or other copy protected materials beyond what is permitted by the license agreement. Certain licenses specify that a copy of the software may be used both in the workplace and at home for University-related activities. *Check with the office, department, center, or division head if unsure of the license requirements.*


• **Fair Use and Permission.** UNT employees are responsible for determining whether the materials they use are copyright protected. If materials are protected, employees must obtain permission to use them or determine whether or not any exceptions such as the Fair Use Defense or TEACH Act provisions apply. *UNT’s Copyright Resource Center may be found at [http://www.unt.edu/copyright](http://www.unt.edu/copyright).*
Political Activities

- **Participation.** Employees may participate in political activities if they do not interfere with job duties and University operations.

- **Funds and Resources.** Employees may not use University personnel, funds, or other resources for any political activity or for political contributions.

- **Political Positions.** Employees cannot represent that their personal political positions are the position of UNT.

- **Public Office.** If employees are elected to a political office, they may not accept a salary for such public service. Any faculty and staff who intend to be candidates for any public office, other than local offices for which no emolument of any kind is received, must resign unconditionally from employment prior to announcing their candidacy. Review [http://untsystem.unt.edu/generalcounsel/faqs/faq-politicalactivity.htm](http://untsystem.unt.edu/generalcounsel/faqs/faq-politicalactivity.htm) to answer any additional frequently asked questions and then contact the Office of General Counsel for any further assistance at [http://untsystem.unt.edu/generalcounsel/contact.htm](http://untsystem.unt.edu/generalcounsel/contact.htm). Also review UNT Policy 1.2.9, #6.7

Media and External Organizations


- **External Organizations.** Refer external organizations that have subpoenas or administrative orders to the Office of General Counsel at [http://untsystem.unt.edu/generalcounsel/contact.htm](http://untsystem.unt.edu/generalcounsel/contact.htm). Review [http://untsystem.unt.edu/generalcounsel/subpoena.htm](http://untsystem.unt.edu/generalcounsel/subpoena.htm) for information pertaining to responding to a subpoena and then contact the Office of General Counsel if you need further assistance. Refer information requests to the Office of General Counsel.

- **Attorneys.** Do not provide information to outside attorneys unless directed to do so by the Office of General Counsel. Refer outside attorneys to the Office of General Counsel at [http://untsystem.unt.edu/generalcounsel/contact.htm](http://untsystem.unt.edu/generalcounsel/contact.htm).

- **Public Information Requests.** Review [http://untsystem.unt.edu/generalcounsel/pub-information.htm](http://untsystem.unt.edu/generalcounsel/pub-information.htm) for information pertaining to public information and then contact the Office of General Counsel if you need further assistance. Refer information requests to the Office of General Counsel.

Additional Responsibilities of Managers and Supervisors

- **Climate of Compliance.** Create a unit atmosphere that promotes the highest standards of both ethical behavior and compliance, and that encourages faculty and staff to report concerns about suspected violations because that genuine concern serves to improve our campus business efficiency. Contact Institutional Compliance through a variety of options. Contact Institutional Compliance directly at (940) 565-4080/4364, use the Compliance Telephone Hotline at (940) 565-4351, or anonymous reports can be filed on-line through the Compliance Hotline Website via [https://web3.unt.edu/compliance/hotline/](https://web3.unt.edu/compliance/hotline/).

- **Role Model.** Act as a role model for ethical professional conduct and compliance in their units (divisions, centers, departments, offices, etc.). Other faculty and staff will follow the example you set.

- **Training.** Ensure that employees receive all the compliance training that their job duties require. You are also required to complete prescribed training for your position.

- **Performance Reviews.** Include compliance expectations in performance reviews, and administer appropriate disciplinary action, if it is appropriate, following University policy.