Slide 1 – Compliance Awareness Training

Slide 2 - Compliance Awareness Training
Welcome to “Compliance Awareness Training.”

Alternative Text (Image)
Throughout the entire presentation the template has word art to the right with compliance terms such as, UNT System, rules, laws and regulations. At the bottom of the first slide you have four pictures representing the UNT Campuses.

Slide 3 - Compliance Awareness Training
The purpose of this training is to raise your awareness and increase your knowledge of institutional and individual compliance obligations.

The training helps you follow laws, UNTS Board rules, and UNTSA, UNT and UNTD policies.

As you progress through the slides, there will be brief pauses to allow you to review the information.

Note
At the completion of this training program you will be asked to answer 10 questions. You must score 70 percent or higher to successfully complete the training.

Slide 4 – Training Learning Objectives
The learning objectives for this training are as follow.

• Understand how institutional compliance assists each institution achieve its mission
• Define the UNTSA, UNT and UNT Dallas Compliance Program and Ethics Program
• Know your compliance obligations as an employee of UNTSA, UNT or UNTD
• Know how to report suspected misconduct
• Understand confidentiality as it pertains to reports and investigations
• Know that you are protected against retaliation

Slide 5 - What is Institutional and Individual Compliance?
Institutional Compliance

• Promotes a culture of adherence to federal and state laws, regulations and policies
• Builds compliance consciousness into daily activities and operations
• Supports the coordination, management, and monitoring of adherence to federal and state laws
• Encourages employees to conduct official business with the highest standards of ethics, honesty and integrity
Slide 6 - Individual Compliance
Encourages individual adherence to laws, regulations and policies
Encourages individuals to conduct themselves with the highest standards of ethics, honesty and integrity at all times

Slide 7 - UNT System Compliance and Ethics Program
Each institution’s program is created to assist the organization in the prevention and detection of violations of law, UNT System regulations and institution policies and to enable reporting of suspected misconduct.
The Office of Institutional Compliance
Provides advice and training related to ethics and standards of conduct
Assesses annually the applicable policies related to the prevention and detection of misconduct
Practices to identify circumstances and conditions that could result in misconduct or other compliance failures
Advises employees on compliance-related matters and investigates suspected compliance violations
Maintains a system that allows for anonymous reporting of suspected misconduct

Slide 8 - Key Compliance and Ethics Program Policies
Responsibilities and rights of employees under the UNT System and/or institution compliance programs are as follow.
• Fraud Policy
• Background Checks
• Reporting Suspected Wrongdoing
• The Ethics and Standards of Conduct Policy

Alternate Text (Image)
White cloud with the word compliance written inside of the cloud. Gavel with Law written under it, human head with a question mark inside of the head with Requirements written under it, triangle with an exclamation mark for Rules under it, clipboard with checklist for Standards under it, checked box for Governance under it, two books representing Regulations under it, magnifying glass for Transparency under it, and a paper and pen for Policies under it. All of these symbols appear around the outside perimeter of the cloud.
Slide 9 - Employee Responsibilities Under the Compliance & Ethics Program

Employee responsibilities and expectations are to:

- Conduct system and campus business with high ethical standards and integrity
- Follow federal and state laws, UNT System regulations and institution policies
- Report suspected misconduct
- Reports can be made through the chain of command or to the Office of Institutional Compliance bypassing anyone suspected of misconduct
- Participate in regular training on topics such as job-specific responsibilities and institutional compliance
- Cooperate and be truthful in all compliance investigations

Slide 10 - Supervisor/Manager Responsibilities Under the Compliance and Ethics Program

Supervisors and managers are expected to:

- Inform subordinates of federal and state laws, UNT System regulations and institution policies that relate to their unit’s operation and each employee’s duties and responsibilities
- Ensure subordinates receive training necessary to comply with applicable laws and policies
- Implement and enforce the program in their unit
- Report compliance violations to the appropriate official in their chain of command or to the Office of Institutional Compliance
- Refrain from engaging in conduct that could be perceived as retaliating against an employee who reported suspected misconduct or a policy violation
- Participate in annual compliance training

Slide 11 - Next, we will discuss Reporting. There are several options when reporting.

Alternate Text (Image)

Lesa B. Roe, UNT Chancellor, standing in front of the UNT System building, Dr. Neal Smatresk, UNT President, sitting at his desk with hands folded, Robert Mong, UNT Dallas President, standing and smiling in front of several students seated near him.
Slide 12 - “Good Faith” Reporting - Suspected Misconduct
Each employee is encouraged to

- Report suspected misconduct up the chain of command or to the Office of Institutional Compliance when they have a good-faith belief that a violation of law or policy has occurred
- Contact the Office of Institutional Compliance for advice or clarification when they are unsure whether an act or omission is a violation of UNT System or institution policy

**Good-Faith Belief**: the employee, based on experience and knowledge, reasonably and honestly believes there is a reportable offense against the law, or a system/campus policy.

Slide 13 - Voluntary Self-Reporting
Employees are encouraged to disclose when they have engaged in conduct that they reasonably believe violates the law, UNT System, or Campus policy.

**Note**: Employees who self-disclose do not avoid responsibility for their actions. However, the fact that an employee took responsibility may mitigate any disciplinary action imposed.

Slide 14 - False Reporting
False reporting is

- Knowingly reporting misconduct that did not occur, or,
- Knowingly accusing a person(s) who did not engage in the reported misconduct, action or decision

**Consequences**
- Intentionally making a false report or providing false information in the course of a compliance investigation or non-compliance is a serious matter that can result in disciplinary action including termination.

Slide 15 - Internal Reporting Options

- Employees may report suspected violations of law or policy to an official at UNT System Administration, UNT or UNT Dallas.
- Employees can report the issue through their chain of command, contact the Office of Institutional Compliance or use the anonymous online reporting system.
- Employees are not required to
- Report suspected misconduct to the individual they believe has engaged or is engaging in suspected misconduct, including the employee’s supervisor or manager
- Provide their own name, unit or any other information that could reveal their identity
Slide 16 - Reporting to Institutional Compliance
As part of your internal reporting options, employees may report suspected violations of law or policy directly to the Office of Institutional Compliance. Reports may also be made anonymously. Other reporting options include telephone, online, or in person.

**Online:**
For Anonymous reporting, visit http://compliance.untsystem.edu/content/hotline.
IP addresses are not collected.

**Telephone:**
The number is 940-565-4351. Allows caller to leave a message. This number does not allow anonymous reporting.

**In Person:**
Hurley Administration Building, Suite 316 or Room 340
1501 W. Chestnut St., Denton, TX 76201
940-565-4142 to make an appointment
Report to your UNT System or campus leader/manager

Slide 17 - External Reporting Options
Employees also may report suspected misconduct to external officials or organizations such as the following.
- State and federal law enforcement departments
- State Auditor’s Office
- Texas Office of the Attorney General
- National Institute of Health’s Office of the Inspector General

Slide 18 – What is Retaliation?
Retaliation is any adverse action taken against an employee because he or she filed a complaint, participated in a compliance investigation, or sought guidance or advice from the Office of Institutional Compliance.

Adverse action can include actions such as terminating the employee, giving them negative evaluations, disciplining or demoting them, reassigning them or reducing their pay.

Any employee who believes they have been retaliated against for reporting misconduct, seeking advice from the Office of Institutional Compliance or for participating in a compliance investigation should contact the Office of Institutional Compliance immediately.
Slide 19 - Protection Against Retaliation
Employees who report suspected misconduct or who participate in a compliance investigation or seek guidance or advice from the Office of Institutional Compliance are protected against retaliation.

Anyone who retaliates against an employee who reports a compliance failure or participated in a compliance investigation is subject to disciplinary action, including termination.

Supervisors and managers who retaliate by suspending, reassigning, denying a salary increase or terminating an employee are subject to a civil penalty.

Slide 20 - Review
This concludes our Compliance Awareness Training. At this time, we will review some key points mentioned in this presentation.

- Institutional Compliance promotes a culture that builds compliance consciousness into daily activities and operations.

- It encourages employees to conduct official business with the highest standards of ethics, honesty and integrity.

- The Institutional Compliance and Ethics Program was created to assist employees and the organization—to uphold the law, policies and to report suspected misconduct.

- Supervisors and managers are expected to refrain from engaging in conduct that could be interpreted as retaliation against an employee who reported suspected misconduct or policy violations.

Slide 21 - Review, continued
- Employees are expected to participate in institutional compliance training annually.

- Employees are encouraged to report suspected misconduct when there is a good-faith belief that a violation of law or policy has occurred.

- Employees may report suspected misconduct anonymously by using the online hotline.

- An individual knowingly making a false report of misconduct is subject to disciplinary action, including termination.
Slide 22 – Review, cont’d
- Employees are encouraged to inform their supervisor or manager of suspected misconduct but are not required to report the misconduct to a person they believe is engaged in the misconduct.
- Retaliation is any adverse action taken against an employee because he or she filed a complaint, participated in a compliance investigation, or sought guidance or advice from the Office of Institutional Compliance.
- Employees may report suspected misconduct to external officials and organizations.
- Employees who report suspected compliance failures in good faith are protected against retaliation.

Slide 23 – Contact Information – Office of Institutional Compliance
For questions or concerns pertaining to this training, or to report suspected misconduct, please contact the Office of Institutional Compliance.

Location: UNT Hurley Administration Building, Suite 316 or Room 340. The main phone number is 940-565-4142.

Slide 24 – Congratulations!
You have completed the first step in the Compliance Awareness Training.

Next, Take the Exam: A score of 70 percent or higher is required to earn a certificate of completion.

1. To launch the exam, return to the “Current Enrollments” tab in your browser
2. Click on the Launch button to begin the exam
3. Answer the 10 questions and click the Submit button
4. A Certificate of Completion is available upon passing

Optional: To print or view the certificate, click on printer icon next to course title in “My Learning” section of Learning Home.

Please see next slide for additional information.
Slide 25 – Additional information
If you scored below 70 percent, you will need to re-take the exam.

To re-take the exam:
1. Click on the “NavBar” button (top right) then the “Learning Home” button
2. Click on “My Learning” (left side)
3. Click on “Compliance Awareness Training”
4. Next to the Exam, click on “Re-Launch”

Note to Managers: use the Team Learning option to follow your team’s progress.
Click on the NavBar button (top right) and select Learning Home

A quick view of your team’s learning status will be displayed in the “Team Learning” pagelet (middle column)

This is the end of this presentation, thank you for your time.