MEMORANDUM

March 20, 2012

TO: Members of the Rice Community

FROM: Richard A. Zansitis
Vice President and General Counsel

RE: Reporting Illegal or Unethical Behavior

Recent news stories about child abuse, research misconduct and sexual harassment or assault at colleges and universities remind us of our individual responsibility to act in accordance with law, University policy and high ethical standards. But there is more: we should also come forward should any of us become aware of behavior or activities that put individuals at risk or violate Rice’s high ethical norms or the law. In University Policy No. 813, Rice “strongly encourages all faculty, staff and students to report suspected or actual wrongful conduct by University employees or others involving University matters.” Policy Nos. 427-96 and 813 also emphasize that there will be no retaliation against anyone who makes any such report in good faith.

Policy No. 813 explains that there are multiple avenues you may pursue in order to report concerns about illegal or unethical behavior or activities, depending upon the nature of the concern. You could go to your supervisor or dean (unless, of course, your concern is with those individuals). Moreover, for specific types of issues, certain offices have particular expertise that may help you in bringing an issue forward:

- **Financial issues**: Controller or the Vice President for Finance
- **Research issues**: Vice Provost for Research or the Provost
- **Athletics issues**: Compliance Coordinator in Athletics or the Athletic Director
- **Health and safety issues**: Director of Environmental Health and Safety or the Vice President for Administration
- **Employment issues**: Associate Vice President for Human Resources or the Vice President for Administration
- **Discrimination issues**: Director of Equal Employment Opportunity Programs or the Vice President for Administration
- **Student issues**: For undergraduates, the Assistant Dean or Dean of Undergraduates, and for graduate students, the Dean of Graduate and Postdoctoral Studies

You can also go to the Director of Internal Audit to report concerns about any issue [http://www.internalaudit.rice.edu/index.cfm](http://www.internalaudit.rice.edu/index.cfm). You can also file a report using EthicsPoint, including anonymously. To make a report via EthicsPoint, you can do so by calling Rice’s
EthicsPoint hot line [(866) 294-4633)] or via the secure EthicsPoint web site link:

If you are concerned about a violation of criminal law, you should make a report to the Rice University Police Department ("RUPD") or the Office of General Counsel. This is particularly important in any case of suspected child abuse, which must be reported to RUPD or my office immediately so that the matter can be investigated and appropriate authorities notified. If there is a concern about a possible significant violation of law that does not involve criminal activity, you should nonetheless report it to one of the offices noted above.

It is vital that any concerns about a violation of law, policy or ethical standards be reported so that the University can investigate and take prompt and effective action to remedy the situation. The success of our university depends on our full commitment to acting on our values, one of which is our integrity. Our value of responsibility demands not only that our own actions be in accordance with ethical and legal standards, but also that we take steps when we know of actions by others which do not meet those standards.

If you have any questions concerning reporting illegal or unethical behavior or actions, please do not hesitate to contact me or any of the other attorneys in the Office of the General Counsel (ext. 5237).