



General Investigations	
Responsible Official: <b>Compliance Counsel</b>	Responsible Office: <b>Office of University Counsel</b>

### Policy Purpose

This policy specifies when investigations will be initiated related to allegations of wrongdoing, ethical misconduct, or violations of ETSU policy or rule or state or federal law.

### Policy Statement

The Office of University Counsel or its designee has the discretion to investigate or delegate the investigation of any allegations of wrongdoing, ethical misconduct, and/or any violation of ETSU policy or rule or state or federal law involving ETSU students or employees or contractors.

Investigations may only be conducted pursuant to this policy where no other ETSU policy or rule or state or federal law with an investigative directive or procedure applies (e.g., Policy on Discrimination, Harassment, and Sexual Misconduct; ETSU's Title IX Rule; etc.).

- A. Investigations will commence under this policy at the request of the Office of University Counsel. The breadth and scope of such investigations will be determined by the Office of University Counsel.
- B. ETSU employees involved in an investigation pursuant to this policy will be asked to keep information related to the investigation confidential.
- C. Reports drafted as a result of investigations initiated pursuant to this policy will be kept confidential to the extent allowed by law. Any reports distributed pursuant to this paragraph will be redacted for any privacy and/or attorney-client privilege concerns.
- D. ETSU employees are required to cooperate with and participate in any investigation conducted pursuant to this or any other ETSU policy.
- E. Investigations initiated pursuant to this policy and any disciplinary actions will comply with all due process requirements.

- F. Neither the university nor any employee may retaliate or attempt to retaliate against anyone for making a report, assisting in an investigation, or being regarded as making a report or assisting in an investigation. All suspected reports of retaliation should be reported immediately to the Office of University Compliance.
- G. Recommendations regarding employee discipline will be made to the supervisor and the Office of Human Resources pursuant to the appropriate ETSU policy.
- H. Nothing in this policy requires an employee to breach legally protected confidences or privileges.

Authority: § 49-8-203, et Seq.

Previous Policy: Reporting and Investigating Allegations of Wrongdoing

## Defined Terms

## Policy History

Effective Date: 12/21/2021

Revision Date:

## Procedure

Employees or students may request an investigation of alleged wrongdoing, ethical misconduct, or violations of ETSU policy or rule or state or federal law by contacting the [Office of University Compliance](#). Investigations will be conducted at Compliance Counsel's discretion.

## Procedure History

Effective Date: 12/21/2021

Revision Date:

## Related Form(s)

## Scope and Applicability

Primary: Compliance Counsel

Secondary: Office of University Counsel