

EthicsPoint[®]

Questions and Answers For the John Carroll Community

Q. What is EthicsPoint[®] ?

EthicsPoint[®] is a comprehensive and anonymous Internet and telephone-based reporting service that assists the University and its employees to work together to address fraud, abuse, misconduct, and other violations in the workplace while helping to cultivate a positive work environment.

Q. Why do we need a system like EthicsPoint[®] ?

The trust placed in John Carroll University by students, parents, donors and alumni must never be taken for granted. Responsibility for ethical behavior must be taken seriously — by everyone, at every level of the organization. While we recognize human mistakes cannot be entirely eliminated, the people of John Carroll University can and must conduct themselves honestly and in accordance with applicable professional standards.

Although there are internal mechanisms in place that provide the opportunity to discuss concerns face-to-face with the appropriate offices on campus (e.g. Human Resources, Sexual Harassment Committee, Campus Safety Services, and others), there are several reasons why we need to add this reporting tool:

1. The University wants to ensure there are multiple avenues for employees to report their concerns without fear of retaliation. EthicsPoint is designed to protect the anonymity and confidentiality of those who use the system.
2. Employees are John Carroll's most important resource. Established complaint and grievance procedures, coupled with this new, online reporting service, will enable faculty, staff, and administrators to participate more fully in creating and maintaining a safe and ethical environment.
3. Reporting "hotlines" are now required by federal law and have proven to be an effective tool in reducing losses and helping to protect an organization's financial strength and public reputation.

Q. May I report using either the Internet or the telephone?

Yes, you may. By giving you choices, EthicsPoint helps ensure that employees can file a report anonymously and in the manner most comfortable or convenient to them.

EthicsPoint toll-free hotline 866-860-1886 (available 24 hours a day, 365 days a year.)

Q. Does the University really want me to report?

Yes, The University wants you to report activities that may be cause for concern and have a potentially negative impact on members of the University community and the University's reputation. Also, constructive critique may identify issues whose resolution can contribute to a healthy ethical climate and outstanding organizational performance.

Shared ethical values unite the people of the John Carroll community and are the basis for a common culture. These values form the foundation for always doing the right thing, sustaining the public trust, and meeting commitments to each other.

Q. What type of situations should I report?

Report any situation or conduct that you believe violates an applicable law, regulation, government contract or grant requirement, or University policy. You do not need to know the exact law or requirement or be certain that a violation has occurred or will occur. If you suspect something is wrong, the better course of action is to report it. Examples include theft; wage, benefit, or hours abuses; discrimination or sexual harassment; misuse of University property or equipment; violation of safety rules; OSHA or environmental abuse concerns; conflicts of interest; NCAA violations; and intentional misuse of the University's network or computers.

Please keep in mind that, in cases where you are personally affected by a situation involving a complaint or grievance and you are seeking a resolution for your own benefit, it will be necessary to identify yourself to the University person / office that is responsible for investigating and responding to the situation.

Q. If I see a violation, shouldn't I report it to my manager, to campus safety, or to human resources and let them deal with it?

That is the normal procedure. However, if you believe your anonymity is essential to the proper investigation of a suspected violation or if there is another important reason, you may want to use EthicsPoint; that ensures that your report will be given to the appropriate people. All report information is secure and held in the strictest confidence.

Q. Is it true that any report I send from a JCU computer generates a server log that shows every web-site to which my PC connects? Won't this log identify me as the originator of a report?

EthicsPoint does not generate or maintain any internal connection logs with IP addresses, so no information linking your PC to EthicsPoint is available from EthicsPoint.

If the report to EthicsPoint is sent via the link from the John Carroll website, it is technically possible for this link to be logged and possibly traced to the computer used. However, John Carroll does not log such access and has no intention of doing so.

A separate privacy concern relates to the browser cache on an individual's computer. The cache will maintain the addresses of websites accessed from that computer until it is cleared by the user (which can be done in Internet Explorer).

Typically, few reports are generated during business hours. Most people prefer to report from home after hours or on the weekend.

Q. Can I file a report from home and still remain anonymous?

A report from home, a neighbor's computer, or any Internet portal will remain secure and anonymous. An Internet portal never identifies a visitor by screen name, and the EthicsPoint system strips away Internet addresses so that anonymity is maintained. Plus, EthicsPoint is committed contractually to not pursue a reporter's identity.

Q. I am concerned that the information I provide EthicsPoint may reveal my identity. How can you assure me that will not happen?

The EthicsPoint[®] system is designed to protect your anonymity. However, as a reporting party you need to ensure that the text of the report does not reveal your identity accidentally; for example, "From my cube next to Jane Doe ..." or "In my 33 years...".

Q. Isn't this just a "Big Brother" program that may make everyone suspicious of each other?

The EthicsPoint[®] system is designed to enable employees to help assure a safe, secure and ethical workplace. John Carroll University relies on the good-faith and common sense of its employees. Nonetheless, if a situation arises where you are unsure of the ethicality or legality of an activity, you may use the system to seek guidance, provide suggestions, or communicate a concern.

Q. Suppose I become aware of someone involved with unethical conduct, but it doesn't affect me. Why should I bother reporting it?

The University requires ethical behavior. All unethical conduct, at any level, ultimately hurts the University and all employees, including you. You only have to consider what happened in recent corporate scandals to see the disastrous effects that a serious lapse in ethics can have on an organization. So if you know of any incidents of misconduct or ethical violations, we hope that you will be motivated to report it.

Q. What if I am not sure what I have observed or heard is a violation of policy, or involves unethical conduct, but it just does not look right to me? What should I do?

File a report. The EthicsPoint[®] system is designed to help you prepare and file a report so it can be properly understood and fairly reported. We would rather that you report a situation that turns out to be harmless than let possible unethical behavior go unchecked because you weren't sure.

Q. Where do these reports go? Who has access to them?

Reports are entered directly on the EthicsPoint secure server to prevent any breach in security. Initially, reports from EthicsPoint will be made to the Audit Committee of the Board of Directors and to the President. (After the search for the University Legal Counsel is completed, the University Legal Counsel will have primary administrative responsibility.) The President / University Legal Counsel will be responsible for evaluating and taking appropriate action on each report. "Taking appropriate action" may include referring the report for investigation to the division vice president where a violation is alleged to have occurred. Each recipient of a report will receive training to assure confidential treatment. The University will ensure that no report is ever provided to implicated parties, their peers, or subordinates.

Q. What if my boss or other managers are involved in a violation? Will they get the report and possibly start a cover-up?

The EthicsPoint[®] system is designed so that reports are never shared with implicated parties, including administrative officers, or their peers or subordinates. If a report implicates individuals within the University who otherwise would be charged with evaluating and responding to an alleged violation, the report will be routed so as to exclude them from the review process.

Q. What if I remember something important about the incident after I have filed a report? Or, what if the University has further questions for me concerning my report?

When you file a report at the EthicsPoint Web site or via its toll-free number, you receive a unique user name and are asked to choose a password. You can return to the EthicsPoint system again either by internet or telephone and obtain access to the original report to answer questions posed by a JCU representative and / or to add further information that may help to answer unresolved questions. We strongly suggest that you return to EthicsPoint, either by internet or telephone, in 10 business days to answer questions that John Carroll may have posed. You and the University have entered into an "anonymous dialogue" where situations are not only identified but can be resolved, no matter how complex.

Q. Are these follow-on reports as secure as the first one?

All EthicsPoint correspondence is held in the same strict confidence as the initial report, continuing under the umbrella of anonymity.

Q. What if I want to be identified with my report?

There is a section in the report for identifying yourself, if you wish.

Q. Can I still file a report if I don't have access to the Internet?

You can file an EthicsPoint[®] report from any computer that can access the Internet. You can file from home. Many public locations, including the public library, have Internet computers. If you don't have access or are uncomfortable using a computer, you can call the EthicsPoint toll-free hotline 866-860-1886, which is available 24 hours a day, 365 days a year.

Q. Is the telephone toll-free hot line confidential and anonymous too?

Yes. You will be asked to provide the same information that you would provide in an Internet-based report. An interviewer will type your responses into the EthicsPoint Web site. These reports have the same security and confidentiality measures as are applied to Internet-based reports.