

Questions and Answers for Employees

What is the Positive Workplace Hotline?

The Positive Workplace Hotline (PWH), hosted by Ethics Point, is a comprehensive and anonymous Internet and telephone based reporting tool that assists administration, faculty and staff to work together to address fraud, abuse, misconduct, and other violations in the workplace, while helping to cultivate a positive work environment.

May I report using either the Internet or the telephone?

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

What are my other reporting options?

Frequently, the best place to raise a concern or ask a question is within your own department through ordinary supervisory or departmental channels. You may also raise your concern with University offices such as the Special Assistant to the President for Equity, Finance, Human Resources, Student Life or other offices appropriate to the concern you have.

Why do we need a system like the PWH?

There are several reasons why we need a reporting tool:

1. Through open communication channels, employees can participate in improving the University and help to create a safe and ethical environment.
2. Reporting "hotlines" have proven to be an effective tool in reducing losses and helping to protect financial strength.
3. Your reporting can minimize potential negative impact on the university.

What are my responsibilities in making a report or in an investigation?

You are expected to be acting in good faith in making a report. This means that you provide information you know or suspect is true. You are also expected to cooperate in any investigation that may arise as a result of a report. Depending upon the allegations in your report, this could include discussions with you. All university employees are expected to be truthful and candid during any investigation of illegal or wrongful conduct. Indeed, providing information known to be false or intentionally misleading, either in a report or during the course of an investigation, is a serious matter that could result in discipline or termination.

Why should I report what I know?

We all have the right to work in a positive environment and with that right, comes the responsibility of acting in an ethical manner and letting the right people know if someone is acting inappropriately. By working together, we can maintain a healthy and productive environment.

What type of situations should I report?

You should report any situation or conduct of university faculty or staff you believe violates a law, regulation, government contract or grant requirement, or university policy. But use 911 for emergencies! If you suspect something is wrong, the better course of action is always to report it. Examples of issues to report include theft; wage, benefit, or work-hours abuses; discrimination or sexual harassment; misuse of university property or equipment; violation of safety rules; OSHA or environmental abuse concerns; conflicts of interest; and intentional misuse of the university's network or computers.

Why would I identify myself in a report?

There are many good reasons to provide your contact information to the university official handling a report by self-identifying. For example, if you are concerned about retaliation, the

university will be able to direct specific support to you to ensure you are protected in the event your identity becomes known. The university may have additional questions in order to fully investigate your report, may need to provide you with additional information, or may need you to help explain information contained in your report to ensure the issue is fully resolved.

I am concerned that the information I provide the PWH will ultimately reveal my identity. How do you protect my identity?

This reporting service is provided by an independent company called EthicsPoint. EthicsPoint provides phone and Web reporting services to organizations across the country. Reports from your computer come through a secure internet portal. EthicsPoint does not trace phone calls. EthicsPoint does not generate or maintain internal connection logs with IP addresses. The EthicsPoint system is designed to protect your anonymity. However, you as a reporting party need to ensure that the body of the report does not reveal your identity by accident, for example, "From my office next to Jan Smith..." or "In my 33 years..."

It is my understanding that any report I send from a university computer generates a server log that shows every web-site that my PC connects with, and won't this log identify me as a report originator?

An IP address log does not necessarily identify you as a reporter, only that you visited the EthicsPoint website. EthicsPoint does not generate or maintain any internal connection logs with IP addresses. However, St. Lawrence University does maintain such a log. If you are concerned about the potential for being identified as having accessed the EthicsPoint website you should contact the website through a computer outside of the university's network.

If I file a report anonymously, will anyone at the university ever learn my identity?

The university will not learn your identity from EthicsPoint if you file an anonymous report. In some circumstances, however, your identity may nevertheless become apparent. For example, this may occur where the particular facts of a report suggest that it must have come from one person, or the reporter's identity becomes clear during the course of investigating the report. In all cases, the university forbids retaliation based upon making a good faith report and provides resources to assist reporters concerned about retaliation.

Will anyone outside the university see my report?

Reports may be made available to other persons, agencies or organizations that have a statutory or other legal authority to gain access, for example to comply with a court order or subpoena.

Will my supervisor be told about the allegation? Who else in my unit might find out?

Your supervisor may or may not be told about your allegation, depending upon the particular circumstances of your report. In most cases, leadership within the department or unit where the wrongdoing is alleged to have occurred will be notified, as well as others who may have a need to know parts of a report in order to do their jobs or assist in any investigation. This notice typically includes general information about the nature of the allegation. This is necessary in many cases because employees in the unit or department may be interviewed, asked for documents, or otherwise involved in an investigation. In some cases, a supervisor may not be told about an allegation until an initial investigation has taken place, documents or evidence secured, or other actions are taken to ensure the matter is fully investigated and resolved.

My report will say that a co-worker or supervisor is doing something wrong. Will that person learn I am the source of the report?

This depends upon the specifics of your allegation, and whether you report anonymously. If the incident you are reporting was observed by several people, or where documents or physical evidence exists (even if you don't have the evidence yourself), the university may be able to fully investigate the matter without revealing you as the reporter. If, for example, no documents or other evidence exists to support an allegation other than your report, the university may be

unable to further investigate the matter or to impose disciplinary action unless you come forward. In these cases, the university will work with you to provide you with appropriate resources and protection to assure you will not be treated unfairly for having raised a good faith concern in the event your identity is made known.

I have documentation to support my concern. What should I do with it?

If your documentation is in an electronic format, you may upload it to your online report. Select your campus location, violation category and violation description. After you select a violation, you will be directed to a Report Form. Use the link "Click here to upload files" that appears toward the end of the Report Form. If you make a report by telephone or have documentation that cannot be uploaded, you should indicate in your report that you have documentation that you haven't included. The university official handling the report will contact you about how to submit the information.

How long will the investigation take?

The length of the investigation depends upon many factors, such as the complexity of the issue, the number of people involved, the nature and extent of documents or other evidence involved, and the urgency of the matter. If you return to the Web homepage to follow-up on a report, you should receive an initial response within 10 business days.

How can I find out about the status of any investigation about my report?

If you have reported anonymously, you may post a request for an update. If you have provided your name, and have been contacted directly by a university official looking into your report, you should communicate directly with that official to determine the best method to learn about the status.

Will I be told about the details about an investigation or its outcome/result?

In most cases, you will be told whether your reported issue was investigated, and whether it was resolved. There are, however, legal and other restrictions on what information the university is allowed to provide. For example, you may not be told about actions taken against a university employee as a result of your allegation because that information may be deemed "private" under applicable law. You also may not be told information that is deemed to be legally privileged or otherwise confidential.

Where do these reports go? Who can access them?

Reports are entered directly on the EthicsPoint secure server to prevent any possible breach in security. EthicsPoint makes these reports available only to specific individuals within the university who are charged with evaluating the type of violation and location of the incident. Each of these report recipients has had training in keeping these reports in the utmost confidence. The EthicsPoint system and staff are trained and committed to ensure that no report is ever shared with implicated parties, their peers, or subordinates.

What if my boss or other managers are involved in a violation? Won't they get the report and start a cover-up?

The EthicsPoint system and report distribution are designed so that no report is ever shared with implicated parties, their peers or their subordinates.

What if I remember something important about the incident after I filed the report? Or what if the company has further questions for me concerning my report?

When you file a report, either by calling the toll-free number or by submitting a report online, you will receive a unique username and be asked to choose a password. You will need to retain these to return to a report you previously filed. To follow up on a report over the phone, call the toll free number again and tell the interviewer that you are following up on a report. You will be asked for your username and unique password. To follow up on a report over the internet, go to

the university's reporting Web homepage, click on the "Follow up on a Report" button, and enter your username and password. This will take you to the report you previously filed and a link to "Post a Follow-Up Note" or "Upload File." You may also go to www.ethicspoint.com, chose "File a New or Follow-up on a Report," enter "St. Lawrence University" in the organization name field, and follow the same steps for posting a note or uploading a file.

If I come across additional information or concerns, who should I contact?

You can always add additional information to your original report. The university official handling the report will be alerted that you have amended your report and will review any new information. If you have provided your name and are contacted by the university official handling the report, then communicate any further information or concerns directly to that official.

The EthicsPoint® name and logo are registered trademarks of Ethicspoint, Inc., all rights reserved