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About EthicsPoint

What is EthicsPoint?

EthicsPoint is a comprehensive and confidential reporting tool created by NAVEX that enables managers and employees to work together to address fraud, abuse, and other misconduct at the university and in the workplace while cultivating a positive environment.

Why do we need a system like EthicsPoint?

- Our students, faculty, and staff are our most important assets. Creating open communication channels promotes a positive learning and work environment and maximizes productivity.
- An effective reporting system augments our other efforts to foster a culture of integrity and ethical decision-making.

Reporting – General

May I report using either the Internet or the telephone?

Yes. EthicsPoint enables you to file a confidential, anonymous report via telephone or the Internet.

What types of situations should I report?

The EthicsPoint system allows anyone to report any violation of law, university policy, the Principles of Ethical Conduct, or any other concern.

If I see a violation, shouldn't I just report it to my manager, security, or human resources and let them deal with it?

When you observe behavior you believe violates the law, the Principles of Ethical Conduct, or university policy, we expect you to report it. Ideally, you should bring any concerns forward to

your direct manager or another member of your management team. We recognize, however, that there may be circumstances when you are not comfortable reporting the issue in this manner. It is for such circumstances that we have partnered with NAVEX. We would rather you report anonymously than keep the information to yourself.

Does management really want me to report?

We certainly do. In fact, we *need* you to report. You know what is going on at the university - good and bad. You may have initial knowledge of an activity that may be cause for concern. Your reporting can minimize the potential negative impact on the university and our people.

Where do these reports go? Who can access them?

Reports are entered directly on the EthicsPoint secure server. NAVEX makes these reports available only to specific individuals within the university who are charged with evaluating the report based on the type of violation and location of the incident and maintaining confidence while doing so.

Isn't this system just an example of someone watching over me?

No. EthicsPoint is a positive aspect of our overall philosophy that allows us to ensure a safe, secure, and ethical learning and work environment. You are encouraged to seek guidance on ethical dilemmas, provide positive suggestions, or communicate concerns. Effective communication is critical, and this is a great tool to enhance that communication.

We have carefully chosen the best reporting tool to meet our compliance obligations while maintaining a positive reporting environment.

Reporting Security & Confidentiality

Can I file a report from home and 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 to maintain anonymity.

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

The EthicsPoint system protects your anonymity. However, if you wish to remain anonymous, 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 cube next to Jan Smith..." or "In my 33 years..."

Is the telephone toll-free hotline confidential and anonymous too?

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

What if I want to be identified with my report?

The report has a section to identify yourself, if you wish.

Tips & Best Practices

I am aware of some individuals acting unethically, but it doesn't affect me. Why should I bother reporting it?

All unethical conduct, at any level, ultimately hurts the university and all employees, including you. If you know of any incidents of misconduct or ethical violations, consider it your duty to yourself and others to report it.

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

File a report. NAVEX can help you prepare and file your report so it can be properly understood. We'd rather you report a situation that turns out to be harmless than let possible unethical behavior go unchecked.

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 ensure that implicated parties are not notified or granted access to reports in which they have been named.

What if I remember something important about the incident after I file the 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 through the EthicsPoint Call Center, you receive a unique, randomized number called a "Report Key" and are asked to choose a password. You can return to the EthicsPoint system by Internet or telephone and access the original report to add more detail or answer questions posed by a university representative. We strongly suggest that you return to the site in the time specified to answer any follow-up

questions. You and the university now have entered into an “anonymous dialogue,” where situations are not only identified, but can also be resolved, no matter how complex.

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

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

What if I lose my Report Key or forget the Password I created?

To ensure that security and confidentiality are maintained, if you lose your report key or password, you will need to file a new report. Mention in the new report that it is related to a report or question you previously submitted.

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 to or are uncomfortable using a computer, call the EthicsPoint toll-free hotline, which is available 24 hours a day, 365 days a year.