

Q: What is EthicsPoint?

- EthicsPoint is a comprehensive and confidential Internet and telephone based reporting tool that helps the University and its employees work together to address fraud, abuse, misconduct or other violations in the workplace, all while cultivating a positive work environment.

Q: Why should I report what I know? What's in it for me?

- We all have the right to work in a safe and ethical environment and with that right comes the responsibility of acting in an ethical manner and letting the appropriate people know if someone is not acting appropriately. By working together, we can maintain a healthy and productive environment. Organization misconduct can threaten the livelihood of the entire University and the job security of our employees.

Q: What type of situations should I report?

- EthicsPoint is a communications tool providing an avenue to report suspected illegal, unethical, or otherwise fraudulent conduct. The purpose of the mechanism is to enable faculty and staff to communicate (anonymously, if they wish) concerns or irregularities about accounting, auditing or internal control processes. Other types of issues that may be communicated relate to confidentiality, fraud and theft, harassment and inappropriate behaviors, misuse of company resources, workplace violence, and unsafe work conditions.

Q: Shouldn't I just report my observation to my supervisor or Human Resources?

- Yes, you should report such instances to your supervisor or someone in Human Resources. The Ethical Violations Reporting System is not intended to replace or supersede normal managerial and Human Resources communication channels. Before filing a report with EthicsPoint, we strongly encourage you to consider whether you can raise your concern directly with someone at the University. Employees are responsible for alerting management of suspected illegal, unethical, or otherwise fraudulent conduct and should report these or other questionable activities to their supervisor and/or the Human Resources. We have established the reporting system for your use if you know of such problems and have been unable to resolve them with management, or if you strongly believe that management will be unresponsive or retaliate against you for making such a report and therefore you want to file a report anonymously and confidentially.

Q: As a union represented employee, may I submit a report through the system?

- Yes you can, however, the ethics reporting system is not a substitute for the grievance procedure provided by your collective bargaining agreement for matters governed by that agreement. Unless the report also involves matters outside the collective bargaining agreement, you should use the applicable grievance procedure.

Q: Does a report I send from a University computer generate a server log that shows every web-site that my PC connects with, and won't this log identify me as the report originator?

- EthicsPoint does not generate or maintain any internal connection logs with IP addresses, so no information linking your PC to EthicsPoint is available. In fact, EthicsPoint is contractually committed not to pursue a reporter's identity. Also, Industry trends indicate that fewer than 12% of reports are generated during business hours, meaning that most people prefer to report from the comfort of their home after hours and on the weekend.

Q: Where do these reports go? Who can see them?

- Reports are entered directly on the EthicsPoint secure server to prevent any possible breach in security. EthicsPoint makes these reports available only to designated individuals within the University who are charged with evaluating that type of report. Each of these report recipients has had training in keeping these reports confidential. EthicsPoint and the University work together to ensure that no report is ever shared with implicated parties. There are protocols for appropriately handling even those reports implicating high-level employees.

Q: What happens when I file a report? How do I follow-up on my report?

- When you file a report at the EthicsPoint Web-site or through the EthicsPoint Call Center, 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 access the original report to answer questions posed by a company representative and add further information or to answer questions posed by a University representative. We strongly suggest that you return to the site in 5-6 business days to check for any questions from the University of New Haven representative that would help resolve any open issues. You and the University now have entered into an "anonymous dialogue" where situations are not only identified but can be resolved, no matter how complex.

Q: Will I be required to give my name at any point in the process to EthicsPoint or the University of New Haven?

- You are not required to provide your name or any employee identification. If you choose to identify yourself, your identity will be provided only to those with a need to know. Everyone who receives such information is obligated to maintain confidentiality to the extent feasible. In addition, University policy strictly forbids any retaliation against anyone who, in good faith, reports an ethics or compliance violation.
- If you prefer to make an Internet or telephone report anonymously, continued follow-up on your part is particularly important since the investigator will have no other means to communicate with you.

Q: I am concerned that information I provide may reveal my identity.

- 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 inadvertently, for example, “From my cubicle next to Jan Smith...” or “In my 33 years...” . Also, if the investigators are able to identify you from your report, they are still bound to keep your name confidential.

Q: How do I access the EthicsPoint on-line system?

- You can access the EthicsPoint system from the Human Resources Wrongful Conduct Reporting web page (<http://www.newhaven.edu/about/employment/wrongful-conduct-reporting.php>) or myCharger page for internal audiences (<https://mycharger.newhaven.edu/web/mycharger/human-resources>). There will be an EthicsPoint link. Simply click on the box and you will be directed to the University of New Haven reporting page. If you prefer not to go through the University's myCharger page, you can access the EthicsPoint website at EthicsPoint.com, click on “File a Report” enter “University of New Haven” and click submit.

Q: What is the phone number to file a report?

- The University has a dedicated phone number with EthicsPoint where an individual familiar with the University of New Haven will take your call. The phone number is: 1-866-355-7878.