

- **Why does USP have an Ethics Helpline?**

USP believes that many issues can easily be prevented or resolved with appropriate early guidance. Also research shows that some individuals who witness unethical or illegal conduct are not comfortable identifying themselves when they report it. The USP Helpline has been created to provide a safe environment for employees to ask a question or report their concerns.
- **Why should I report when I become aware of an ethical concern?**

USP's reputation is one of our most valuable assets and will always be critical to our ongoing success. By reporting, you help protect our reputation. Additionally, the Code of Ethics requires you to speak up if you have a good faith concern of a violation.
- **How can I submit a report?**

Reports to the USP Helpline can be submitted online at www.usp.ethicspoint.com or by calling +1.866.429.3365 (US & Canada only). For those outside the US, please see posters at your site or visit www.usp.ethicspoint.com for local numbers.
- **What types of situation should I report to the USP Helpline?**

The USP Helpline is primarily intended for reporting illegal or unethical conduct. If you have a question or concern related to strategic direction, management style, personnel grievance, or other management consideration, we encourage you to talk to your management chain, Human Resources, or other senior managers first.
- **Is the USP Helpline appropriate for reporting emergencies?**

No, it is inappropriate for reporting emergencies or events presenting an immediate threat to life or property. If you require emergency assistance, please contact your local emergency authorities.
- **What if I only suspect something is wrong, should I report it?**

You should always speak up if you have a good faith concern that something is wrong. Your manager or others will have the resources to further look into the issue and determine what steps, if any, need to be taken.
- **If I know or suspect something, shouldn't I just report it to my manager or Human Resources and let them deal with it?**

You should report your concerns to anyone that you feel comfortable with. Resources include: Your immediate supervisor, management in your division, your Division Chief, any manager in USP, Human Resources, Global Legal Affairs, Global Compliance and Ethics, and the USP Helpline.

- **What if my supervisor or other managers are involved in a violation? Won't they get the report?**

You have the option of making a report to the USP Helpline without identifying yourself. However in order to investigate a complaint, an implicated individual may receive a summary of the allegation(s) so that they can defend themselves. As a matter of procedure, reports of misconduct, the identity of the reporter, and witnesses are kept confidential to the extent legally possible.

- **Am I required to identify myself when making report to the USP Helpline?**

No, you are not usually required to identify yourself. However, local laws in some Regions (such as the European Union) and countries restrict the scope of the issues that you can report anonymously.

- **What protection do I have when I report?**

Anyone who submits a report is protected by the non-retaliation policy in the Code of Ethics. The non-retaliation policy states that no one who submits a report or participates in an investigation in good faith will be subject to retaliation, or in the case of an employee, adverse employment consequences. Anyone who retaliates against such a person will themselves be subject to disciplinary action.

- **How can I be sure that any report I send from a USP computer will not identify me as a report originator?**

The Helpline is operated by a third party that does not have the capability to track such information. Additionally, USP neither tracks nor records calls to the helpline.

- **Can I file a report from home and still remain anonymous?**

Yes, you can file a report from anywhere and remain anonymous.

- **What if I want to be identified with my report?**

When you file a report, you will have the option to make it on a named or anonymous basis. Reports from named individuals are generally easier to investigate because we can follow up with questions if any facts are unclear.

- **Can Volunteers and Business Partners use the USP Helpline?**

Yes, anyone can use the USP Helpline to report illegal or unethical conduct affecting USP.