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About University Hotline

What is University Hotline? What is EthicsPoint?

University Hotline is a comprehensive and confidential reporting tool to assist management and employees to work together to address fraud, abuse, and other misconduct in the workplace, all while cultivating a positive work environment. The University of Miami chose EthicsPoint as its provider for the University Hotline.

Why do we need a system like University Hotline?

- We believe that our employees are our most important asset. By creating open channels of communication, we can promote a positive work environment and maximize productivity.
- Publicly traded companies are required by law to have an anonymous reporting vehicle to address accounting and auditing fraud directly to the audit committee. Even though the University of Miami is not a public company, providing a system like University Hotline is considered “best practice.”
- An effective reporting system will augment our other efforts to foster a culture of integrity and ethical decision-making.

Reporting – General

Who can file a report?

Reports may be filed by anyone – faculty, staff, students, parents, patients, volunteers, vendors, etc.

May I report using either the Internet or the telephone?

Yes. With University Hotline, you have the ability to file a confidential, anonymous report via either the telephone or the Internet.

What type of situations should I report?

The University Hotline system is designed for people to report concerns related to violations of policies and procedures, rules and regulations, or other irregularities and improprieties. It is not a 911/emergency service, however.

The University Hotline is not intended as a vehicle for resolving workplace disagreements or addressing communication issues between employees and their managers. Dedicated HR Client Services representatives are available to assist with these types of concerns and can be reached at <https://my.hr.miami.edu/contact-hr/hr-representatives/index.html>

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

When you observe behavior that you believe is inappropriate, we expect you to report it. Ideally, you should bring any concerns forward to your supervisor, Internal Audit, Human Resources, Faculty Affairs, Student Affairs or the University's controller, whichever is most appropriate. 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 University Hotline. We would rather you report anonymously than keep the information to yourself.

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

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 appropriate people know if someone is not acting appropriately. By working together, we can maintain a healthy and productive environment.

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 of Miami - both good and bad. You may have knowledge of an activity that may be cause for concern. Your reporting can reduce 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 University Hotline secure server to prevent any possible breach in security. University Hotline makes these reports available only to specific individuals within the company who are charged with evaluating the report, based on the type of violation. Each of these report recipients has had training in keeping these reports in the utmost confidence.

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

The University Hotline system concentrates on being a positive aspect of our overall philosophy, and allows us to assure a safe, secure, and ethical workplace. 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

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?

University Hotline does not generate or maintain any internal connection logs with IP addresses, so no information linking your PC to University Hotline is available. In fact, University Hotline is contractually committed not to pursue a reporter's identity.

If you feel uncomfortable making a report on your work PC, you have the option of using a PC outside our work environment (such as one located at an Internet café, at a friend's house, etc.) through the University Hotline secure website.



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

The University Hotline system is designed to protect your anonymity. However, if you wish to remain anonymous, you need to be sure that the information you provide 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 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 and an interviewer will type your responses into the University Hotline Web site. These reports have the same security and confidentiality measures applied to them during delivery.

What if I want to be identified with my report?

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

Miscellaneous

I am aware of some individuals involved with unethical conduct, but it doesn't affect me. Why should I bother reporting it?

Unethical conduct, at any level, ultimately hurts the University. You only have to read the newspaper to see examples of what can happen to an otherwise healthy institution as a result of seemingly harmless lapses in ethics. So if you know of any incidents of misconduct or ethical violations, consider it your duty to yourself and your coworkers to report it.

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

Discuss it with your manager, Internal Audit, Human Resources, Faculty Affairs, Student Affairs or the University's controller. If you don't feel comfortable doing so, then file a report. We'd rather you report a situation that turns out to be harmless than let possible unethical behavior go unchecked because you weren't sure.

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

The University Hotline system and report distribution are designed so 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 company has further questions for me concerning my report?

When you file a report at the University Hotline Web site or over the phone, you receive a unique user name and are asked to choose a password. You can return to the University Hotline system again either by Internet or telephone and access the original report to add more detail or answer questions posed by the University and add further information that will help resolve open issues. We strongly suggest that you return to the site in the time specified to answer questions. The University might propose an anonymous chat session with you to clarify what

you saw. In that session, you will only be identified as “reporter” to the University representative.

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

All University Hotline correspondence is held in the same strict confidence as the initial report; continuing under the umbrella of anonymity.

Can I still file a report if I don’t have access to the Internet?

You can file a University Hotline 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 University Hotline toll-free hotline 877-415-4357 which is available 24 hours a day, 365 days a year.

What if I’m not comfortable speaking English?

The University Hotline toll free number for University Hotline supports multiple languages including those most commonly spoken in South Florida. The University Hotline website provides information in Spanish and English.

How will I know the University took my report seriously?

After 5-6 business days, you can log back into the system (or call the toll free number) using your PIN and password. You will be able to see general information about the case status (e.g. “in process” or “closed”) as well as an indication of the outcome. If questions or comments have been posted by the University, you will see those as well. Note that you will not be able to see detailed information about the investigation or its outcomes.

I have a complaint about something the University did. Can I use University Hotline to make the University aware that I’m unhappy about it?

University Hotline is a hotline for reporting irregularities, improprieties, and unethical conduct. Complaints about other aspects of the University’s daily operations should be directed to the department directly involved so that they can evaluate your complaint as part of ongoing customer service improvements.