

[About the UA Confidential Hotline](#)

[Reporting – General](#)

[Confidentiality & Reporting Security](#)

[Tips & Best Practices](#)

About the UA Confidential Hotline

What is the UA Confidential Hotline?

The UA Confidential Hotline is a comprehensive and confidential Internet and telephone based reporting tool to assist management and employees in working together to address fraud, waste, abuse, and other misconduct in the workplace, all while cultivating a positive work environment. It is hosted by a third-party company called EthicsPoint.

The hotline should be use when all established avenues to fix the issue have been tried, if there is no clear reporting line, or anonymity is required by the reporter.

Why do we need a system like EthicsPoint?

- University policy encourages staff and faculty to report suspected legal, regulatory or policy violations to the appropriate university official.
- Federal guidelines for compliance programs include establishment of a channel of communication that permits anonymous reporting of potential regulatory compliance problems and concerns.
- University of Alaska’s external auditors have recommended, as a best practice, that we implement such a system.
- In January 2005, the American Institute of Certified Public Accountants recommended that all organizations develop an anonymous reporting system, preferably operated by a third party as ours is with EthicsPoint.

Won’t this tool encourage individuals to gripe or make wild charges about others?

The hotline provides a channel of communication for good faith reports of suspected legal, regulatory or policy violations. A good faith report means an allegation made with the honest belief that violations may have occurred. A false allegation is a report that is made with reckless disregard for or willful ignorance of facts that would disprove the allegation.

What about reprisal or retaliation for making the report?

The University of Alaska follows all federal and state laws regarding retaliation. Specifically:

- Students are protected from reprisals arising from good faith reporting under Board of Regents Policy (P09.01.090).
- Employees are protected from reprisal due to good faith allegations by the Alaska Whistleblower Act (AS 39.90.100 - 39.90.150).

Reporting – General

May I report using either the Internet or the telephone?

Yes. With EthicsPoint, you have the ability to file a confidential, anonymous report via either the telephone or the Internet. To report via the toll free phone number call **855-251-5719**. To make a report via the internet use: www.alaska.ethicspoint.com and follow the steps after clicking on “Make a Report.”

What type of situations should I report?

The EthicsPoint system is designed to receive reports regarding violations of laws, policies or regulations in the following areas:

- Accounting and financial
- Athletics
- Discrimination, harassment, equal opportunity
- Human resources
- Information security
- Research
- Risk management and safety

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

Ideally, you should bring any concerns forward to your direct manager, or other member of our 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 EthicsPoint. We would rather you report anonymously than keep the information to yourself.

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

File a report. The hotline 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 violations go unchecked because you were unsure.

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

As stewards of public and research-grant funds, misconduct has implications for the entire institution and consequently all employees. Unethical conduct ultimately hurts everyone. If you know of any incidents of misconduct or ethical violations, non-compliance with federal, state, local and activity specific laws and regulations (i.e. NCAA) consider it your duty to yourself and your coworkers to report it.

Does the university really want me to report?

We certainly do. In fact, we *need* you to report. You know what is going on at our university - both 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.

Confidentiality & Reporting Security

What do I need to know about confidentiality?

- In certain cases, the university may be legally compelled to disclose your identity. If possible, we will attempt to give you notice and obtain your consent prior to releasing information about you.
- Due to privacy and legal reasons, you may not receive a response regarding the outcome of your call or report.
- No information you receive in response to your report should be construed as legal advice, and at no time will any such response constitute an attorney-client relationship.

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

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 at the University of Alaska who are charged with evaluating the report, based on the type of violation and location of the incident.

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?

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.

If you feel uncomfortable making a report on your university 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 EthicsPoint secure website. Many people choose this option, as EthicsPoint's data shows that fewer than 12% of reports are generated during business hours.

Can I file a report from home and still 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 so that anonymity is totally maintained. Plus, EthicsPoint is contractually committed not to pursue a reporter's identity.

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

The EthicsPoint system is designed to protect 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 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 EthicsPoint 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.

Tips & Best Practices

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

As stewards of public and research-grant funds, misconduct has implications for the entire institution and consequently all employees. Unethical conduct ultimately hurts everyone. If you know of any incidents of misconduct or ethical violations, consider it your duty to yourself and your coworkers to report it.

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 EthicsPoint Web site or via the toll-free telephone number, 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 add more detail or answer questions posed by a university representative 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. You and the University of Alaska now have entered into an "anonymous dialogue," where situations are not only identified, but can also be resolved.

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.

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, you can call the EthicsPoint toll-free hotline, which is available 24 hours a day, 365 days a year.

What other resources I should be aware of?

Diversity and Equal Opportunity

University of Alaska Anchorage <http://diversity.uaa.alaska.edu>

University of Alaska Fairbanks <http://www.uaf.edu/oeo/>

University of Alaska Southeast http://www.uas.alaska.edu/aa_eoe/

Financial Fraud, Waste and Abuse

Statewide Office of Audit and Consulting Services <http://www.alaska.edu/audit>