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## **About EthicsPoint**

### ***What is EthicsPoint?***

EthicsPoint is a comprehensive and confidential reporting tool created by Navex Global to assist management and employees to work together in addressing fraud, abuse, and other misconduct in the workplace, all while cultivating a positive work environment.

### ***Why do we need a system like EthicsPoint?***

- 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.
- Reporting concerns is often difficult, and we want to ensure a confidential, anonymous method exists so no one is deterred from reporting.
- The *Federal Sentencing Guidelines*, which define criteria for an effective compliance and ethics program, recommends that organizations have a means for reporting anonymous reporting of concerns.
- An effective reporting system augments our efforts to foster a culture of integrity and ethical decision-making

## **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.

### ***What type of situations should I report?***

The EthicsPoint system is designed for employees to report any violation of laws, University policy or standards, or any other compliance concern. Reports of sexual misconduct or violence should be reported to the appropriate Equity and Title IX Coordinator.

***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 that you believe violates the law, a University policy or standard, or the University's commitment to accountability, transparency and the protection of students, employees, patients and visitors we expect you to report it. Ideally, you should bring any concerns forward to your direct manager, or other member of our management team. We recognize, however, that you may not always be comfortable reporting issues 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.

***Does management really want me to report?***

Yes. In fact, we need you to report. You know what is going on in our organization - both good and bad. You may have initial knowledge of an activity that may be cause for concern. Offering information may help identify issues that can improve our culture and performance, as well as minimize the potential negative impact on the University and its employees.

***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 within the organization who are charged with evaluating the report, based on the type of violation and location of the incident. Each of these report recipients has had training in keeping the reports confidential.

***What if my boss or other managers are involved? 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.

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

The EthicsPoint system is tool to promote a positive environment and culture, and helps us assure a safe, secure and ethical workplace. Effective communication is critical and this is a great tool to enhance that communication.

### ***Can I report sexual harassment of misconduct?***

Concerns of sexual harassment or assault have a separate reporting mechanism. You should make reports of sexual misconduct or violence to the appropriate Equity and Title IX Coordinator, or through other reporting channels outlined in university policies. Any reports of sexual harassment or misconduct reported on the UMS Integrity and Accountability Hotline will be immediately forwarded to the appropriate Equity and Title IX Coordinator.

### ***How will I know that an investigation has been started, or when it has been completed?***

After you complete your report you will be assigned a unique code called a “report key.” Write down your report key and password and keep them in a safe place. After 5-6 business days, use your report key and password to check your report for feedback or questions, as well as to check back periodically for investigation updates, requests for you to submit additional information, and to view a statement on the outcome or resolution of the investigation when it is complete.

Due to the confidential nature of any investigation, findings must remain confidential and cannot be shared, but a statement of the final outcome of the investigation will be provided.

## **Reporting Security and 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; 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 work PC, you have the option of using a PC outside the University 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.

We respect your right to remain anonymous; however, please note certain types of reports made anonymously may be difficult for the University to investigate fully. If you are willing to speak confidentially to an investigator, please make note of this in your report and we can provide an investigative contact in our response back to you.

***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. To assure your anonymity - as a reporting party – you will need to take care that any description in the report does not reveal your identity by accident. For example, "From my cube next to John 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 misconduct, but it doesn't affect me. Why should I bother reporting it?***

Misconduct, at any level, ultimately hurts the entire organization and all employees, including you. So if you know of any incidents of misconduct, 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 misconduct, but it just does not look right to me. What should I do?***

File a report. EthicsPoint can help you prepare and file your report so it can be properly understood. We'd rather you report a situation or interaction that turns out to be harmless than let possible unwanted behavior go unchecked because you weren't sure.

***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 Website or through the EthicsPoint Call Center, you receive a unique user name and are asked to choose a password. This allows you to return to the EthicsPoint system by phone or Internet at a later time to access the original report, add more information, or to answer questions posed by a university representative. We strongly suggest that you return to the site in the time specified to respond to any questions or requests for additional information. This process allows you and the university to have an “anonymous dialogue.”

***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, **1-866-447-9821** which is available 24 hours a day, 365 days a year.

## **Clinical Ethics Consultation**

***Can I use the EthicsPoint system to report an ethical dilemma experienced during patient care?***

Yes, you can use the EthicsPoint system to report ethical issues you encounter in practice. However, if you are experiencing a patient-related ethical concern which needs immediate attention and/or directly relates to patient-specific clinical decisions, it is recommended that you utilize the Clinical Ethics Consult Service.

***How do I request a Clinical Ethics Consult?***

Paging the on-call ethicist at 573-397-0111 is the best way to request a consult, 24 hours a day. Other ways to make a request include calling our main office during regular business hours (573-882-2738), using text paging (search for clinical ethics), or by calling the main switchboard (573-882-4141) and asking them to assist you with paging the Clinical Ethics Consult service.

***Who can request a Clinical Ethics Consult?***

Patients, their surrogates, or any University of Missouri Health employee who is in need of assistance with identifying the “right thing to do” for a patient is able to request a consult. Patients or surrogates can facilitate the process by informing their physician, nurse, social worker or chaplain that they would like an ethics consult.

***Does the attending physician need to approve or “order” the consult?***

No, any individual participating in the care of a patient who feels there is an ethical concern may request a consult.

***What happens during an ethics consult?***

The ethics consultant will contact the person requesting a consult. If further discussion is needed, the ethics consultant will facilitate dialogue between relevant stakeholders by encouraging open and honest discussion to resolve the ethics concern. The ethics consultant may offer suggestions about the situation; however, the final decision is left to the patient or his/her surrogate(s) with the support of the health care team.

***Is the ethics consult entered into the medical record?***

Yes, after a formal ethics consultation, the ethics consultant enters a summary of the meeting including recommendations into the electronic medical record.