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## About EthicsPoint

### What is EthicsPoint?

EthicsPoint is a confidential and anonymous reporting tool that can help all members of the University community address possible compliance issues in a positive manner. Concerns regarding compliance with federal or state law, administrative regulations, and University policies, regulations and procedures, as well as other issues in the workplace, may be anonymously reported through EthicsPoint.

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

- We believe that employees are the University's most important asset. By creating open channels of communication, we promote a positive work environment and maximize productivity.
- Through Federal Sentencing Guidelines and best practices in higher education, ECU is required to establish an anonymous reporting system for employees to address potential or actual compliance issues without concern of retaliation.
- An effective reporting system supports other efforts, such as the *Colonels Comply* initiative and the Reporting Policy 1.6.1, to foster a culture of accountability, 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 an anonymous and confidential, to the extent permitted by Kentucky law, report via the telephone or the Internet.

### What type of situations should I report?

The EthicsPoint system is designed for all members of the University community to report any possible violation of federal or state law, administrative regulation, and University policy, regulation, procedure or other concerns.

### What type of situations should I NOT report?

Do **NOT** use EthicsPoint to report events presenting an immediate threat to life or property. Reports submitted through EthicsPoint may not receive an immediate response.

If you require emergency assistance, please contact ECU Police at 859-622-1111 or 911 immediately.

### If I see what I believe to be a violation, shouldn't I just report it to my supervisor, ECU Police, or Human Resources for them to investigate and address?

When you observe behavior that you believe violates federal or state law, administrative regulation or University policy, regulation, or procedure, you should report it. Ideally, employees should bring any concerns forward to:

- Appropriate University administrator/office as designated by the relevant University policy or regulation  
(Please see “Who Do I Call If?” for a list of University administrators/offices to help determine the appropriate contact)
- Supervisor
- Next highest level of supervisor
- Human Resources
- Chief Ethics and Compliance Officer

We recognize that there may be circumstances when you’re not comfortable reporting an issue as outlined above. That’s why we’ve partnered with EthicsPoint. We would much rather be aware of a situation through an anonymous report instead of not knowing about a situation at all.

### **Why is it important for me to report what I know?**

As a University community, we all need to work together to maintain a positive and productive environment. We can accomplish that by upholding our high standards of responsible behavior. If you are aware of a situation that could be potentially harmful to the University, it is your responsibility to report the situation to the appropriate person. Early intervention can prevent a situation from progressing into a more serious matter.

### **How do administrators feel about this?**

You are critical to the success of ECU, so we *need* you to report. You may have knowledge of an activity that may be cause for concern, and your report can alert the University to a situation before it becomes a serious problem. Also, offering positive input through a report may help identify issues that can enhance institutional culture and performance.

### **Where do these reports go? Who can access them?**

Reports are entered directly on the EthicsPoint secure server, which prevents possible security issues. EthicsPoint makes reports available only to specific individuals within the University who are responsible for evaluating reports based on the type and location of the incidents. Each person who has been designated to receive reports has been trained on how to keep these reports confidential.

### **What are the benefits of this system?**

The EthicsPoint system helps us ensure a safe, secure and ethical workplace. You are encouraged to:

- seek guidance pertaining to ethical issues,
- provide positive suggestions, and
- communicate a concern.

Effective communication is critical in today's workplace, and this is a great tool to enhance that communication. We have carefully chosen the best reporting tool to meet our compliance requirements while maintaining a positive reporting environment.

## Reporting Security & Confidentiality

### Will a report I send from my University computer identify me?

EthicsPoint **does not** generate or maintain any internal connection logs with computer IP addresses, so there is no available information linking your computer to EthicsPoint. In fact, EthicsPoint is contractually committed not to pursue a reporter's identity. If you're not comfortable making a report on your work computer, you have the option of using a computer off campus (such as one located at an Internet café, at a friend's house, etc.) to submit a report through the EthicsPoint secure website. EthicsPoint's data show that fewer than 12% of reports are generated during business hours, so many people regularly choose to use an off-site computer.

### 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 removes Internet addresses to maintain anonymity. As a reminder, 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 reporting system is designed to protect your identity. However, please be careful not to include information within your report that could inadvertently identify you. Carefully check the details to be sure that it does not contain information such as, "From my office next to Jan Smith..." or "In my 33 years...".

### Is the toll-free telephone hotline 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 website. The same security and confidentiality measures are applied to these reports.

### What if I *do* want to be identified?

There is a section in the report where you may choose to identify yourself.

## **Tips & Best Practices**

### **If I am aware of individuals who are involved with unethical conduct that does not affect me, should I still report it?**

Encouraging ethical behavior within our University community is vital to the welfare of everyone. Any conduct that is not ethical ultimately causes harm to the University and for all of us as individuals. If you know of any incidents of non-compliance, misconduct or ethical violations, it is important to the well-being of your co-workers and to yourself to report it.

### **What should I do if I'm not sure that what I've seen or heard is truly a violation of University policy? What if I'm not sure that a matter involves unethical conduct?**

You should still file a report. We'd much rather that you alert the University to a questionable situation even if the investigation proves it to be harmless. By not filing a report, the University could possibly not be made aware of a situation that actually is harmful. EthicsPoint assists you in preparing and filing your report for clarity.

### **What if my boss or other supervisors are involved in a violation?**

The EthicsPoint system and report distribution are designed so that those who are named in the report are not notified and are not 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 University 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 you are asked to choose a password. You can return to the EthicsPoint system either by Internet or telephone and access the original report to add more detail or answer questions posed by a University representative. We encourage you to return to the site in the time specified to answer University questions since additional information may help resolve the situation much more quickly.

### **Are these follow-ups on reports as secure as the initial report I file?**

Yes. All EthicsPoint correspondences are held in the same strict confidence as the initial report.

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

Yes, you can file an EthicsPoint report from any computer with Internet access, including your home, the public library, an Internet café, a friend's home, etc. If you don't have access to a computer, or if you are uncomfortable using a computer, please call the EthicsPoint toll-free telephone hotline, which is available 24 hours a day, 365 days a year.