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About EthicsPoint

What is EthicsPoint?

EthicsPoint is a comprehensive, confidential reporting tool created by NAVEX Global to help management and employees work together in addressing fraud, abuse and other compliance concerns in the workplace 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 process exists so that no one is deterred from reporting.
- The *Federal Sentencing Guidelines*, which defines the criteria for an effective compliance and ethics program, recommends that organizations have a means for the 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 either online or by telephone?

Yes. With EthicsPoint, you have the ability to file a confidential, anonymous report either online or by telephone.

What type of situations should I report?

The EthicsPoint system is designed for employees to report any violation of UT's [Code of Conduct](#) or other compliance concern. You should report sexual misconduct, relationship violence and stalking directly to the campus/institute Title IX coordinator or through other reporting channels outlined in campus/institute policies.

If I see a violation, shouldn't I just report it to my manager, Human Resources or the Office of Audit and Compliance and let them handle it?

When you observe some behavior that you believe violates the University's Code of Conduct, we expect you to report it. Ideally, you should bring any concerns to your direct supervisor or other member of the 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.

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, 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—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 its employees. Also, offering information may help identify issues that can improve our culture and performance.

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 University who are charged with evaluating them, based on the type of violation and location of the incident. These individuals have received training in keeping the reports confidential.

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

The EthicsPoint system brings a positive aspect to our overall philosophy and allows us to assure a safe, secure and ethical workplace. Effective communication is critical in today's workplace, and this system 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.

Can I report sexual harassment or misconduct?

Concerns of sexual harassment or assault have separate reporting mechanisms. You should report sexual misconduct, relationship violence and stalking directly to the campus/institute Title IX coordinator or through other reporting channels outlined in campus/institute policies.

Reporting Security and Confidentiality

It is my understanding that any report I send from a University computer generates a server log showing every website my computer accesses. 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 computer 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 computer, you may use a computer outside the work environment (an internet café, a friend's house, etc.) through the EthicsPoint secure website. Many people choose this option. EthicsPoint's records indicate fewer than 12 percent 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 online portal will remain secure and anonymous. An online portal never identifies a visitor by screen name, and the EthicsPoint system strips away internet addresses to maintain anonymity. 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. 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, e.g., “From my cube next to Jan Smith...” or “In my 33 years...”. Even if you do not include personal information in your report, in the course of an investigation, employees may be able to determine the source of the complaint.

Is the toll-free hotline also confidential and anonymous?

Yes. You will be asked to provide the same information you would provide in an online report, and an interviewer will type your responses into the EthicsPoint website. These reports have the same security and confidentiality measures applied to them as online reports.

What if I want to be identified with my report?

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

Tips and Best Practices

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

The University of Tennessee chooses to promote ethical behavior. As noted in the [Code of Conduct](#), employees are expected to report any good-faith concern where compliance violations might have occurred. All unethical conduct, at any level, ultimately hurts the University and all employees, including you. So if you know of any incidents of misconduct or ethical violations, consider it your duty to yourself and your co-workers to report it.

I am not sure if what I have observed or heard is a violation of University policy or involves unethical conduct, but it just doesn't 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 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 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.

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 on the EthicsPoint website or through its Call Center, you will receive a unique user name and be asked to choose a password. You can return to the EthicsPoint system again either online or by telephone and access the original report to add more detail or answer questions posed by a University official to help resolve open issues. We strongly suggest that you return to the site in the time specified to answer questions. You and the University now have entered into an "anonymous dialogue," where situations are not only identified but can also be resolved, no matter how complex.

Are these follow-ups on reports as secure as the initial report?

All EthicsPoint 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 an EthicsPoint report from any computer that can access the internet. You can file from home or any public location, such as the public library. If you don't have access to a computer or are uncomfortable using one, you can call the EthicsPoint toll-free hotline at 855-461-2771, available 24 hours a day, year round.