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## About EthicsPoint

### What is EthicsPoint?

EthicsPoint is an independent, comprehensive, and confidential reporting tool created by NAVEX to assist the Archdiocese community to work together in addressing financial and operational misconduct or ethical violations in the Archdiocese, all while cultivating positive parish, school, and work environments.

EthicsPoint serves many archdioceses and dioceses in the United States. The EthicsPoint reporting system provides individuals at all levels in an organization with the appropriate tools and information for reporting, investigating, and resolving issues in a timely, cost-efficient manner.

It is the Archdiocese of Newark’s policy to encourage people to report concerns regarding unethical or illegal behavior, and to protect people who raise such concerns from retaliation. As stated in our policies, the Archdiocese does not permit discrimination or retaliation of any kind for good faith reports of illegal or unethical behavior. Retaliation is a serious violation of our Archdiocesan policies, and any retaliation by Archdiocesan personnel is subject to disciplinary action, up to and, if necessary, including termination of employment.

By placing your report with EthicsPoint, you acknowledge and agree that the Archdiocese of Newark may process, store, and otherwise use the reported information as they deem appropriate to investigate and take appropriate action in response to your report.

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

- We believe that all individuals in the Archdiocese community are our most important asset. By creating open channels of communication, we can promote a positive environment, and maximize the mission of the Archdiocese – to teach and to witness the Word of God, to build community, and to serve.
- An effective reporting system will augment our other 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 individuals to report any financial or operational misconduct or ethical violation of our stated Code of Conduct, other Archdiocesan policies and standards, or other concern you may have.

## **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 some behavior that you believe violates our Code of Conduct or other Archdiocesan policies and standards, we expect you to report it. From an employee perspective, 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.

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

We all have the right to work, worship, and learn 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. Misconduct can threaten the livelihood of an entire organization.

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

We certainly do. 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. Your reporting can minimize the potential negative impact on the organization and our people.

### **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 Archdiocese 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 these reports in the utmost confidence.

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

The EthicsPoint system concentrates on being a positive aspect of our overall philosophy, and allows us to assure safe, secure, and ethical parishes, schools, and workplace. Effective communication is critical in today's parishes, schools, or workplace, 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.

### **Should I report sexual abuse/misconduct using EthicsPoint?**

No. The Archdiocese has a well-established process for handling those types of issues separate from EthicsPoint. Any person who wishes to report an incident of sexual abuse of a minor or sexual assault committed by anyone serving in the Archdiocese of Newark should contact the Director, Department for the Protection of the Faithful, Archdiocese of Newark, 171 Clifton Avenue, Newark, NJ 07104.

## **Reporting Security & Confidentiality**

### **It is my understanding that any report I send from a work-based computer generates a server log that shows every website that my computer 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 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 have the option of using a computer 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 website. 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.

**Is "confidentiality" guaranteed if I use EthicsPoint?**

All reports submitted through EthicsPoint will be handled promptly and discreetly. Individuals have the right to remain anonymous, and confidentiality will be maintained insofar as is possible. However, an accusation may not be pursued based exclusively on an anonymous source. The person making the allegations may be requested to provide, or indicate the existence of, supporting evidence.

Reports of violations or suspected violations will be kept in confidence to the extent possible, consistent with the need to conduct an adequate investigation. The individual's identity, if known, also may have to be disclosed in order to comply with the law and to provide accused individuals with their legal rights of defense.

All individuals involved in the handling/investigation of reports are made aware of our policy about the appropriate handling of confidential information and understand that violating that policy will not be tolerated.

## 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?**

The Archdiocese chooses to promote ethical behavior. All unethical conduct, at any level, ultimately hurts everyone in the Archdiocese, including you. You only have to consider what happened in recent church and corporate scandals to see the disastrous effects that a lapse in ethics can have on an otherwise healthy church or other organization. So, if you know of any incidents of financial or operational misconduct or ethical violations, consider it your duty to yourself and your fellow parishioners, volunteers, or co-workers to report it.

### **I am not sure if what I have observed or heard is a violation of policy, or involves unethical conduct, 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 would rather you report a situation that turns out to be harmless than let possible unethical behavior go unchecked because you were not 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 organization 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 username 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 an organization 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 organization questions. You and the report recipient have now 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 first one?**

All EthicsPoint correspondences are held in the same strict confidence as the initial report, continuing under the umbrella of anonymity.

**What if I lose my report key or forget the password I created?**

To ensure that security and confidentiality is maintained, if you lose your report key or password, you will need to file a new report. Mention in the new report that it is related to a report or question you previously submitted.