

EthicsPoint Confidential Reporting System FAQs

About EthicsPoint

Q. What is EthicsPoint?

EthicsPoint is a confidential reporting system created by NAVEX Global to assist organizations like UMass Memorial support its caregivers to address fraud, abuse, privacy, information security and other misconduct in the workplace – all while cultivating a positive work environment.

Q. Why do we need a system like EthicsPoint?

Caregivers are UMass Memorial's most important resource. By creating open channels of communication, we can promote a positive work environment that supports our standards of respect and culture of integrity as we work to become the best place to give care and the best place to get care.

Making a Report in EthicsPoint

Q. How do I report a potential violation? What are my options?

With EthicsPoint, you have the ability to file a confidential, anonymous report via phone or online.

Q. What type of situations should I report?

The EthicsPoint system allows caregivers to report any suspected violation of our Code of Conduct, policies and procedures, or other question or concern you may have about the right thing to do, as well as to report privacy and information security incidents.

Q. If I see a violation, shouldn't I just report it to my manager, Compliance, Privacy, Information Security or Human Resources and let them handle it?

When you observe behavior that you believe violates our Code of Conduct or policies and procedures, you are required to report it. Ideally, you should bring any concerns forward to your direct manager, other management team member, or to Compliance, Privacy, Information Security or Human Resources. We recognize, however, that there may be circumstances when you are not comfortable reporting an issue this way. That's why we have partnered with EthicsPoint, which allows you to report issues confidentially or anonymously. We would rather you report using EthicsPoint than keep the information to yourself.

Q. Why should I report what I know?

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 or something isn't right. By working together, we can support our standards of respect and culture of integrity, which will allow UMass Memorial to be the best place to give care and the best place to get care.

Q. Does management actually want me to report?

Absolutely. In fact, we *need* you to report. Caregivers across UMass Memorial know what's happening in their work areas – 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 UMass Memorial, your colleagues and our patients.

Q. Where do these reports go? Who can access them?

Reports are entered directly on the EthicsPoint secure server. EthicsPoint makes these reports available only to specific individuals within UMass Memorial who are charged with evaluating the report, based on the type of issue reported and location of the incident. Each of these report recipients has had training to appropriately respond to reports.

Security & Confidentiality

Q. If I use a UMass Memorial computer to make an EthicsPoint report, won't that identify me?

If you don't feel comfortable making a report on your work computer, you have the option of using a computer outside your work environment (such as one located at an Internet café, at a friend's house, your home, etc.) through the EthicsPoint secure website. Many people choose this option; EthicsPoint's data shows that fewer than 12% of reports are generated during business hours. In addition, EthicsPoint does not generate or maintain any internal connection logs with IP addresses, so no information linking the computer you use to file a report is available from EthicsPoint.

Q. I am still 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 should ensure that the body of the report does not reveal your identity by using personally identifiable information. Examples of statements that may reveal your identity could be: "From my cube next to JanSmith..." or "In my 33 years in the Accounting department...". In addition, do not report your location, department or cost center if any has fewer than 10 people.

Q. Is the telephone toll-free hot line confidential and anonymous too?

Yes, phone calls to the toll-free number are also confidential and anonymous. An employee from NAVEX Global will take your report over the phone. You will be asked to provide the same information 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 as online reports. NAVEX Global employees are not located on site at UMass Memorial.

Q. 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

Q. I am not sure if what I have observed or heard is a violation of UMass Memorial's Code of Ethics or Policies and Procedures, but it just does not seem right to me.

What should I do?

You should still 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 or illegal behavior go unchecked because you weren't sure.

Q. What if my boss or other managers are involved in a violation? Won't they get the report?

The EthicsPoint system and report distribution are designed so that individuals are not notified or granted access to reports in which they have been named.

Q. What if I remember something important about the incident after I file the report? Or what if UMass Memorial has further questions for me concerning my report?

When you file a report at the EthicsPoint Web site or through the EthicsPoint Call Center, you receive a unique report key and are asked to choose a password. This allows you to remain anonymous and return to the EthicsPoint system again either by Internet or telephone. You may then access the original report to add more detail or answer questions asked by a UMass Memorial 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 asked by UMass Memorial individuals investigating the issue you reported. Using your report key and password to access the follow-up function in EthicsPoint, you can also schedule a two-way, live, anonymous chat with UMass Memorial representatives.

Q. 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.

Q. 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 – from home or anywhere else with internet access. Many public locations, including the public library, have computers with free internet access. If you don't have access to or are uncomfortable using a computer, you can call the EthicsPoint toll-free hotline, at 844-744-9212, which is available 24 hours a day, 365 days a year.