About EthicsPoint <u>Reporting – General</u> <u>Reporting Security & Confidentiality</u> <u>Tips & Best Practices</u>

About EthicsPoint

What is EthicsPoint?

EthicsPoint is a comprehensive and confidential reporting tool created by NAVEX that enables Fred Hutch to address misconduct in the organization in order to cultivate a positive environment.

Reporting – General

May I report using either the Internet or the telephone?

Yes. EthicsPoint enables you to file a confidential, anonymous report via either the telephone or the Internet. For Internet reporting, you have the option to report on a PC or mobile phone.

What types of situations should I report?

The EthicsPoint system allows employees, patients, visitors, vendors, affiliates, or anyone to report suspected violation to the Fred Hutch Standards of Conduct, internal policies, Federal regulations, or any other concerns.

Where do these reports go? Who can access them?

Reports are entered directly on the EthicsPoint secure server. NAVEX makes these reports available only to specific individuals within Fred Hutch who are charged with investigating the report, based on the type of violation. Each of these report recipients has had training in keeping these reports in the utmost confidence.

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

If you don't have access to or are uncomfortable using a computer, you can call the EthicsPoint toll-free hotline, which is available 24 hours a day, 365 days a year.

Reporting Security & Confidentiality

If I am an employee reporting a concern, won't any information I log be traceable back to my company computer?

NAVEX <u>does not generate or maintain</u> any internal connection logs with IP addresses, so no information linking your PC to EthicsPoint is available.

If you feel uncomfortable making a report on your work PC, you have the option of using a PC outside our work environment (such as one located at a public library or at a friend's house) or through your mobile phone via the EthicsPoint secure website.

Can I file a report from home and still remain anonymous?

A report from home, a friend'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.

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 protects your anonymity. However, if you wish to remain anonymous, you - as a reporting party - should 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 5 years as a patient with Dr. Jan Smith..."

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 Internetbased 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 to identify yourself, if you wish. You may choose to identify yourself at a later time in communication with the investigator as well.

Tips & Best Practices

I am aware of some individuals acting unethically, but it doesn't affect me. Why should I report?

Unethical conduct, at any level, is dangerous. Noncompliance or malicious behavior compromises the ability of Fred Hutch to continue providing quality care to vulnerable populations and sets us back from leading innovative research initiatives. If you know of any incidents of misconduct or ethical violations, consider it your duty to yourself and others to report it.

I am not sure if what I have observed or heard is a violation of policy, Federal regulation, or involves unethical conduct, but it just does not look right to me. What should I do?

File a report. We would rather you report a situation that turns out to be harmless than let possible bad behavior go unchecked. Additionally, if suspected unethical behavior is occurring, we need to know as soon as possible so that we can stop the action(s) immediately to reduce harm.

What if my boss or an investigator is involved in a violation?

The EthicsPoint system and report distribution ensure 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 Fred Hutch 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, randomized number called a "Report Key" 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 a company representative. We strongly suggest that you return to the site in the time specified to answer company questions. You and Fred Hutch now have entered 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.