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Frequently Asked Questions [1]

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Why are we making such a service available?

CU EthicsLine is a service for the majority of our employees who conduct themselves with the ethical standards expected of them. CU EthicsLine can be used to report issues that cannot be handled or reported through normal channels. This telephone and on-line system gives us an additional way to report suspected violations of laws, regulations or policies.

How does the CU EthicsLine work?

The service is provided by an independent company, EthicsPoint. It is manned 24 hours a day, 365 days a year. When you call, you?ll be asked to describe the nature of the suspected problem. When your call is completed, EthicsPoint will forward the information to Internal Audit within one business day. The on-line service requires that you fill out an interactive form. After the completed form has been submitted, the Internal Audit Department will be notified within one business

day.

When should I use the CU EthicsLine?

You are encouraged to speak with your supervisor or other appropriate manager within your organization as the primary means to resolve conflicts. Personnel issues, such as discrimination or harassment complaints, should be addressed with your supervisor or the Human Resources Department. However, some issues may require the assistance of an independent source to investigate the facts and circumstances or to address matters of a sensitive nature. In such an instance, the CU EthicsLine may be the most appropriate resource to report and resolve the issue.

How do I contact CU EthicsLine?

You can report concerns by calling the toll-free number, 1-800-677-5590 or by using an interactive questionnaire at: www.Ethicspoint.com [2]

Do I have to identify myself?

No. You can identify yourself, but only if you want to. No one will know that you called or submitted an electronic form unless you want to tell them.

Are CU EthicsLine phone calls recorded or can the on-line report be tracked back to me?

No. Phone calls are not recorded and information provided on a website form is maintained by EthicsPoint.

Who handles CU EthicsLine correspondence?

University personnel are not involved in handling phone calls initiated through the 800 number or in initially processing the on-line reports. When you phone CU EthicsLine, your message is handled by an independent company (EthicsPoint). They have trained professionals who will assist you through the process. On-line reports are interactive and maintained by EthicsPoint.

What happens after I call?

The university?s Internal Audit Department or other designated contact receives notifications of reports filed via the toll-free number or the Web-based system

within one business day. The contact accesses the information and has the knowledge to investigate your concern, or may assign the report to someone qualified to investigate the concern.

Will there be an investigation after the information is reported to the university?

Whether an investigation is initiated because of your CU EthicsLine report depends on several factors, such as the nature of the information, the specific details, the documentation, verifiable information, and policy. You may access your report periodically to determine the status.

To what extent will I be involved after I contact CU EthicsLine?

After you report your information to CU EthicsLine, we may need additional information to complete the investigation. Thus, you are encouraged to check back within seven business days to see if questions have been posted in your report that require your response. Likewise, if you have additional information to report regarding the issue, EthicsPoint?s computer databases can locate the exact report in question. This additional information will then be furnished to the university?s designated contact.

What if I only suspect something is wrong, but I'm not sure?

Many problems are uncovered as the result of tips and complaints from honest people who are not certain of all the facts. That?s perfectly all right. The information provided by you will be forwarded to the Internal Audit Department or another university contact for review and, if needed, further investigation. The more information you can provide, the more it will facilitate the review.

Is CU EthicsLine the only way to report suspected problems?

No. CU EthicsLine is being provided as an additional communications tool for employees. We recommend first speaking with your supervisor or other appropriate level of management within your organization to report or address conflicts and suspected problems. If your concern involves fiscal misconduct (fraud, theft, embezzlement, abuse or waste of university resources), you are encouraged to report the issue to Internal Audit via the CU EthicsLine or by contacting Internal Audit at 1800 Grant Street, Suite 600, Denver, Colorado 80203, by telephone: 303-837-2200, or by fax: 303-837-2190. Email can be directed to: Kevin.Sisemore@cu.edu [3].

You can report fiscal misconduct to the state of Colorado's fraud hotline at 303-866-6234. These calls are fielded by the State of Colorado's Controller's Office. For more information go to:

http://www.colorado.gov/dpa/dfp/sco/fhotline.htm [4]

How do I benefit when I call CU EthicsLine?

There are no rewards offered. However, fraud, serious violations of policies and illegal acts can result in the loss of jobs, raises and funding. Avoiding or correcting such problems will benefit students, fellow employees and constituents. In addition, you are responsible for reporting such issues by university policy.

If I make a report, how will I be affected?

Colorado state law and university policy provide that an appointing authority or supervisor shall not initiate or administer any disciplinary action against an employee for disclosing information in compliance with the requirements of the statute or policy.

How will I know if the problem was addressed?

If you follow-up on a report, you will see an indication as to whether your report matter is resolved, but, due to confidentiality requirements, you will not necessarily be informed as to how the matter was resolved.

Source URL: http://www.cu.edu/internalaudit%20/frequently-asked-questions

Links:
[1] http://www.cu.edu/internalaudit%20/frequently-asked-questions
[2] http://www.ethicspoint.com
[3] mailto:Kevin.Sisemore@cu.edu
[4] http://www.colorado.gov/dpa/dfp/sco/fhotline.htm