EthicsLine - Reporting Concerns and Suspected Misconduct [1]

The Principles of Ethical Behavior adopted by the Board of Regents and our Code of Conduct [2] reflect the university's commitment to creating and sustaining a work environment in which the university's affairs are conducted ethically, professionally, and according to applicable laws, regulations, and university policy. Each member of the university community is responsible for fostering a culture of compliance and preventing, detecting, and correcting
The Board of Regents has established the CU EthicsLine resource, hosted on the EthicsPoint platform by an independent third-party (NAVEX), to provide a simple, anonymous way to report concerns or suspected misconduct. Retaliation against those who report in good faith is prohibited.

MAKE A REPORT

You may submit a report by using one of the following methods:

MAKE A REPORT

OR

Via telephone, by dialing 800-677-5590 (in the U.S. and Canada)
Para presentar un informe por teléfono, llame al 800-677-5590

FOLLOW UP ON A REPORT

After filing a report, you are encouraged to follow up regularly to check the status or in case more information is needed.

FOLLOW UP ON REPORT [9]

You will need the report key given to you when you filed your report.

MESSAGE FROM CU PRESIDENT TODD SALIMAN
Welcome to the University of Colorado, a community of approximately 67,000 students and 37,000 employees on four campuses in Aurora, Boulder, Colorado Springs and Denver. As Colorado’s leading public academic and research institution, earning and maintaining public trust is vital. Students, faculty, staff, alumni, donors and all Coloradans have a vested interest in CU's success, which we strive to achieve with integrity, accountability, and transparency. Our codes of conduct, laws, and policies reflect this.

Should problems arise, however, we want faculty and staff to be comfortable communicating their concerns, asking questions, and reporting troubling situations. The CU EthicsLine was created for such instances, and I encourage you to use this valuable resource when needed.

Thank you for helping CU maintain high standards, deliver on our mission, and earn the public’s trust.

REPORTING CONCERNS & QUESTIONS

What should you do after submitting a report?

After you have completed your report, you will be given a report key assigned by the EthicsPoint system and asked to set up a personal password. Please save this report key and password. If the university needs to communicate with you, messages will be posted to
the report and accessed by you using this report key. You are encouraged to return to the EthicsPoint website within five to seven business days and periodically to view and respond to any follow-up questions or comments. By doing this, the university can communicate with you while your identity remains protected.

How will the university use my report?

Reports submitted through CU EthicsLine are independently reviewed by system administrators in the university's Internal Audit department and are forwarded to the appropriate university official(s) for investigation and action. Reports will be looked into as quickly and discreetly as possible. If you file a report anonymously, provide as much information as possible and be sure to check back in using your report key and password. Those responsible for reviewing your concern may have questions for you or need additional information to investigate the matter thoroughly. You will be notified in the system when the review is complete. However, due to confidentiality requirements, you may not necessarily be informed about the specific action taken to address your issue or concern.

What if I am concerned that I will be retaliated against for speaking up?

Under university policy and applicable law, any university employee who reports known or suspected violations of law or university policy in good faith is protected from retaliation. Specifically, Colorado law provides that an appointing authority or supervisor may not initiate or administer any disciplinary action against a public employee for disclosing information unless the employee knows the information is false (or the disclosure is made with disregard for the truth or falsity of the information) or the information disclosed is confidential under other applicable law. Several federal laws and programs also provide "whistleblower protection" to individuals who report concerns, including but not limited to protections for those who disclose information they reasonably believe to be evidence of gross mismanagement of a federal grant or contract, waste of federal funds, or similar concerns.

Not Sure If You Want to File a Report?

Do you have concerns, but you are not sure if you should file a CU EthicsLine report? Maybe you would like to talk to someone first to determine your options or find out what resources are available are available to you. There is a way to find that help! Call or email one of the individuals listed below, and you will be directed to the resources you need.

CU Boulder
*Catherine Oja, Director of Integrity and Compliance*
303-735-4721
catherine.oja@colorado.edu

CU Denver | Anschutz Medical Campus
*Lori Hopper, Director of Institutional Compliance and Privacy Officer*
303-724-0983
lori.hopper@cuanschutz.edu

CU System Administration
*Valerie Simons, Chief Compliance Officer and System Title IX Coordinator*
FREQUENTLY ASKED QUESTIONS

- Why are we making such a service available?
- How does the CU EthicsLine work?
- When should I use the CU EthicsLine?
- How do I contact CU EthicsLine?
- Do I have to identify myself?
- Are CU EthicsLine phone calls recorded or can the online report be tracked back to me?
- Who handles CU EthicsLine correspondence?
- What happens after I call?
- Will there be an investigation after the information is reported to the university?
- To what extent will I be involved after I contact CU EthicsLine?
- What if I only suspect something is wrong, but I'm not sure?
- Is CU EthicsLine the only way to report suspected problems?
- How do I benefit when I call CU EthicsLine?
- If I make a report, how will I be affected?
- How will I know if the problem was addressed?

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 online 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 online 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: [https://secure.ethicspoint.com/domain/media/en/gui/14973](https://secure.ethicspoint.com/domain/media/en/gui/14973)

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 online 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 another 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: 303-837-2195, or by fax: 303-837-2190. Email can be directed to: Agnessa.Vartanova@cu.edu [20].

You can report fiscal misconduct to the state of Colorado's fraud hotline at 303-869-3020. These calls are fielded by the State of Colorado's Controller's Office. For more information go to: [http://leg.colorado.gov/agencies/office-state-auditor/report-fraud-conce...](http://leg.colorado.gov/agencies/office-state-auditor/report-fraud-conce...)[21]

**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.

FRAUD & FISCAL MISCONDUCT

Report Fraud, Theft, Embezzlement, Abuse or Waste of University Resources

Fiscal misconduct involves intentional acts or failures to act in order to obtain unauthorized or unlawful gain. The primary factor that distinguishes fiscal misconduct from error is the intent of the person taking the underlying action.

If you are an employee of the University of Colorado, you are obligated by university policy to promptly report fiscal misconduct and fraudulent acts, as well as incidents of suspected misconduct. For more information see Board Policy 13-E Fiscal Misconduct [22] and the University’s Administrative Policy Statement Fiscal Misconduct Reporting.

Options for Reporting Fiscal Misconduct and Other Matters

- CU EthicsLine is a way to anonymously report concerns involving fiscal misconduct by university employees, violations of state or federal law, serious or recurring violations of university policy, or gross waste of university funds or property. The CU EthicsLine is accessible via a toll-free phone number (1-800-677-5590) or a web-based reporting system (www.Ethicspoint.com [23]). This service is provided by EthicsPoint, an independent company that provides similar services for hundreds of companies and universities. The service provides a communication option available seven days a week, 24 hours a day.

Frequently Asked Questions About Fraud Reporting [24]

- Fraud, theft, embezzlement, abuse or waste can also be reported to the Internal Audit Department in person, in writing, via telephone, fax, or email. We are located at: 1800 Grant St., Suite 600, Denver, CO 80203-1148. Phone: 303-837-2195 Fax: 303-837-2190. Email can be directed to Agnessa.Vartanova@cu.edu [29]; Fiscal misconduct can also be reported to the state of Colorado's fraud hotline [21] at 303-869-3020. These calls are fielded by the Colorado Office of the State Auditor.
- Some concerns must be raised through a specialized campus office. For example, allegations of sexual harassment are required to be reported to the campus sexual harassment officer.

Protection for Reporting

If you are an employee of the state of Colorado, including its institutions of higher education, you have protections under Title 24, Article 50.5 of the Colorado Revised Statutes against
disciplinary action or any retaliation for good faith reporting of fraud, waste and abuse. If you would like more information contact our office, the State Personnel Board at 303-866-3300 or prsnl.board@state.co.us [25], or the Office of the State Controller at 303-866-6200.

Source URL: https://www.cu.edu/ethicsline

Links