

Marquette University Reporting Hotline (EthicsPoint) - FAQs for Employees

1. What is EthicsPoint?

EthicsPoint is an anonymous Internet and telephone based reporting tool that allows management and employees to work together to address financial misconduct in the workplace, while helping to cultivate a positive work environment.

2. May I report using either the Internet or the telephone?

Yes you may. By giving you choices, EthicsPoint helps ensure that employees can file a report anonymously and in the manner most comfortable or convenient to them.

3. Why do we need a system like EthicsPoint?

There are several reasons why we need a reporting tool:

- a. We believe that employees are the University's most important asset. Through open channels of communication, you can participate in improving the University and helping create a safe and ethical environment.
- b. Publically traded companies are required by law (Sarbanes-Oxley Act of 2002) to have an anonymous reporting system to address accounting and auditing misconduct. University management desires to provide the same reporting tools to you.
- c. Reporting "hotlines" have proven to be an effective tool in reducing losses and helping to protect a university's financial strength.

4. Does management really want me to report?

We certainly do. In fact, we *need* you to report. You know what is going on at the University – 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 University and its people. Also, offering positive input may help identify issues that can improve the University culture and performance.

5. Why should I report what I know? What's in it for me?

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 notifying management if someone is not

acting appropriately. By working together, we can maintain a healthy and productive environment. As we have seen in the news, corporate misconduct can threaten the livelihood of an entire organization.

6. What type of situations should I report?

EthicsPoint is a communications tool providing an avenue for sharing information regarding financial misconduct.

7. If I see a violation, shouldn't I just report it to my manager, Public Safety, or Human Resources?

You certainly can, but there are several good reasons why you should use EthicsPoint as well. First, EthicsPoint ensures that your report gets to the appropriate people. That may or may not happen if you simply report something to your manager, especially when dealing with issues not under his/her control. More importantly, reports can be filed anonymously and all report information is secure and held in the strictest confidence.

8. It is my understanding that any report I send from a university computer generates a server log that shows every web-site that my PC 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 PC to EthicsPoint is available.

With fewer than 12% of reports generated during business hours, most people prefer to report from the comfort of their home after hours and on the weekend.

9. 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 maintained. Plus, EthicsPoint is contractually required not to pursue a reporter's identity.

10. 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, 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 cubicle next to Jan Smith..." or "In my 33 years ...".

11. Isn't this just a "Big Brother" program making everyone suspicious of everyone else?

Absolutely not – the EthicsPoint system concentrates on being a positive aspect of the overall university culture and allows employees to partner with management to assure a safe, secure and ethical workplace. We encourage you to use the system to seek guidance on ethical dilemmas, provide positive suggestions, or communicate a concern. Effective communication is the lifeblood of any organization, and EthicsPoint is a great way to enhance that communication.

12. I am aware of some individuals involved with financial misconduct, but it doesn't affect me. Why should I bother reporting it?

The University chooses to promote ethical behavior. All unethical conduct, at any level, ultimately harms the company and all employees, including you. You only have to consider what happened in recent corporate scandals to see disastrous effects that a seemingly harmless lapse in ethics can have on an otherwise healthy organization. So if you know of any incidents of financial misconduct, consider it your duty to yourself and your co-workers to report it.

13. I am not sure if what I have observed or heard is a violation of University policy or involves financial misconduct, 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'd rather you report a situation that turns out to be harmless than let possible unethical behavior go unchecked because you aren't sure.

14. Where do 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 University who are charged with evaluating the type of violation and location of the incident. The highest priority for each of these report recipients is to maintain the utmost confidence. The EthicsPoint system and staff are trained and committed to ensure that no report is ever shared with implicated parties, their peers, or subordinates.

15. What if I remember something important about the incident after I filed the report? Or what if the University has further questions for me concerning my report?

When you file a report at the EthicsPoint website or via the toll free number, you receive a unique user name 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 answer questions posed by a University 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. You and the University now have entered into an

“anonymous dialogue” where situations are not only identified but can be resolved, no matter how complex.

16. Are these follow-on reports as secure as the first?

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

17. What if I want to be identified with my report?

There is a section in the report for identifying yourself, if you wish.

18. 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. You can file from home. Many public locations, including the public library, have Internet computers. If you don't have access or are uncomfortable using a computer, you can call your EthicsPoint toll-free hotline **1-800-445-7068** which is available 24/7.

19. Is the telephone toll-free hotline 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.

20. What is the website address?

You can access the hotline to file a report at:

https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=13821