



## HLC Accreditation Evidence Document

**Title:** UNM Compliance Hotline

**Office of Origin:** Office of the President

**Description:** Information on the UNM Compliance Hotline, a service provided by the Compliance Office. The hotline uses a system called EthicsPoint and is available at *unm.ethicspoint.edu*. Screenshots of relevant webpages are below, as well as a FAQ about EthicsPoint.

Date: 2018


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## UNM Compliance Hotline

Call 1-888-899-6092  
or use the web reporting tool  
[unm.ethicspoint.com](http://unm.ethicspoint.com)

The hotline can be used to report concerns for all of UNM.  
[Learn More](#)

### Compliance Office

MSC05-3150  
1 University of New Mexico  
Albuquerque, NM 87131

### Physical Location:

Office of Equal Opportunity

Phone: 505-277-0169

[compliance@unm.edu](mailto:compliance@unm.edu)

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## UNM Compliance Hotline

The UNM Compliance Hotline is the main reporting system for the UNM community to make inquiries, file complaints, and report alleged misconduct and violations of laws, regulations and policies. The confidential Compliance Hotline operates 24 hours a day, seven days a week. The Compliance Hotline uses EthicsPoint, a case management system provided by Navex Global that has the capability to accommodate allegations and document information gathered from an investigation. This operating system is used by numerous colleges and universities who are peer institutions to UNM. The Main Campus Compliance Office administers the Compliance Hotline for UNM Main and Branch Campuses, UNM Health Sciences Center, UNM Hospital, UNM Medical Group and Sandoval Regional Medical Center. Every employee has an obligation to report in good faith known or suspected violations of laws, regulations, and UNM policies or procedures.

- Have you observed a possible violation of laws, regulations, University policy, or unethical behavior?
- If you have information about such behavior you are encouraged to discuss this with your department chair, supervisor or another member of management.

Call the UNM Compliance hotline or file a report using the web reporting tool, [unm.ethicspoint.com](http://unm.ethicspoint.com), if you are uncomfortable discussing concerns with your department chair, supervisor or another member of management and wish to remain anonymous.

- **CONTACT THE UNM COMPLIANCE HOTLINE AT:**
  - [unm.ethicspoint.com](http://unm.ethicspoint.com)
  - or call 1-888-899-6092
- **Click on the link below to download a copy of the UNM Compliance Hotline Poster**  
[UNM Compliance Hotline Poster](#)

The UNM Compliance Hotline is a way to express your concerns regarding any potentially unethical or illegal situation in your workplace. The toll-free Hotline and the web reporting tool are available 24 hours a day, so you can even call or fill out the web reporting form from the privacy of your own home.

**Possible concerns might include: Conflicts of Interest, Financial and Business Integrity, Misuse of University property, Wage Claims, Research issues, Discrimination, Drug and Alcohol Abuse, Harassment, Safety Violations, Theft and Fraud, Workplace Misconduct, Ethics, Violations of Laws and Regulations and Violations of University Policies.**

### REPORTING

The Main Campus Compliance Office has developed strategies to ensure that UNM is promoting a compliant and ethical environment. Inquiries, allegations and complaints reach the Main Campus Compliance Office through many channels, including walk-ins, letters, emails and the hotline.

All complaints received through the Compliance Hotline are reviewed to determine 1) the significance/urgency of the matter; 2) whether sufficient information exists to initiate further review; and 3) the most appropriate office or person to address the situation in the allegation. People reporting through the Compliance Hotline have the option to maintain their anonymity and the Compliance Hotline handles the information in a confidential manner to the extent allowed by law and policy.

After a matter is reported through the Compliance Hotline, the Compliance Office staff begins to process the complaint, which typically takes less than 24 hours. All inquiries, complaints and allegations must be evaluated and documented regardless of the source and before any action is taken. Proper evaluation is necessary, although many issues will not require a full investigation. The purpose of investigations is to evaluate information provided by the source. Information gathered through review of materials and interviews (as necessary) is evaluated to determine whether there is sufficient evidence to support a conclusion regarding the allegation. If an allegation is substantiated, it is forwarded to the appropriate department or unit for disposition. If it is determined there is not sufficient information or evidence to support an allegation, the case is documented and closed until further information is available. The UNM Compliance Hotline has the capability to inform the reporter that a case has been closed, even if the reporter submitted the inquiry or allegation in a confidential manner. However, the reporter is not provided with specific information regarding the ultimate outcome of the investigation.

*The UNM Compliance Hotline is managed by an independent outside vendor.*



## Make a Report

You may use either of the following two methods to submit a report:

1. **Submit a report online, choose a location where the violation occurred.**



OTHER

1-800-541-8888 (toll-free within the United States, Puerto Rico and Canada)  
8-899-6092

When you complete your report you will be assigned a unique code called a "report key." Save your report key and password and keep them in a safe place. After 10 business days, use your report key and password to log in to your report for feedback or questions.

**EthicsPoint is NOT a 911 or Emergency Service:**

Do not use this site to report events presenting an immediate threat to life or property. Reports submitted through this service may not receive an immediate response. If you require emergency assistance, please contact your local authorities.



## Our Commitment

The University of New Mexico is committed to strong values of integrity, respect and accountability at all levels. The University's policies, procedures and compliance obligations contain guidelines for conducting business with the highest standards of ethics.

The University of New Mexico fosters an environment where open, honest communication is expected. The University strongly encourages all University faculty, staff, students, community members, independent contractors and volunteers acting in good faith, to report any suspected misconduct that may be taking place at the University. The University is committed to protecting those individuals who report suspected misconduct in accordance with the Whistleblower Protection and Reporting Suspected Misconduct policy. Retaliation will not be tolerated and will be promptly investigated by the University.

The University of New Mexico wants you to feel comfortable in approaching a supervisor or management in instances where you believe violations of policies, procedures or compliance obligations have occurred. In situations where you prefer to place an anonymous report in confidence, you are encouraged to use this hotline, hosted by a third party hotline provider EthicsPoint. You are encouraged to submit reports relating to violations stated in our written policies and procedures, as well as guidance related to policies and procedures.

The University of New Mexico has selected EthicsPoint (NAVEX Global) to provide an incident reporting system. Reports submitted through EthicsPoint will be handled timely, discreetly in an appropriate manner. The University will receive reported information from EthicsPoint on a confidential basis, necessary facts being shared only with those individuals essential for the investigation and resolution of potential concerns. The information you provide will be sent to us by EthicsPoint on a totally confidential and anonymous basis if you should choose. You have our guarantee that your comments will be heard.

See [EthicsPoint FAQs](#) for more information

[Follow-up on a Report](#)

**Attention!** This web page is hosted on EthicsPoint's Secure servers and is not part of the University of New Mexico's web intranet.



### Make a Report

You may use either of the following two methods to submit a report:

Submit a report online, choose a location where the violation occurred.



**OTHER**

1-800-527-8888 toll-free within the United States, Alaska, Hawaii, Puerto Rico and Canada  
8-899-6092

When you complete your report you will be assigned a unique code called a "report key." Please save your report key and password and keep them in a safe place. After 10 business days you may use your report key and password to check the status of your report for feedback or questions.

**EthicsPoint is NOT a 911 or Emergency Service:**

Do not use this site to report events presenting an immediate threat to life or property. Reports submitted through this service may not receive an immediate response. If you require emergency assistance, please contact your local authorities.



THE UNIVERSITY of  
NEW MEXICO

## To Make a Report for University of New Mexico

Please select the Area where the violation took place.

- Select -

See [EthicsPoint FAQs](#) for more information

[Follow-up on a Report](#)

**Attention!** This web page is hosted on EthicsPoint's Secure servers and is not part of the University of New Mexico's web intranet.

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## About EthicsPoint

### What is EthicsPoint?

EthicsPoint is a comprehensive and confidential reporting tool to assist management and employees to work together to address fraud, abuse, and other misconduct in the workplace, all while cultivating a positive work environment.

### Why do we need a system like EthicsPoint?

The University of New Mexico is committed to strong values of integrity, respect and accountability. We believe that our employees and students are our most important assets. By creating open channels of communication, we can promote a positive environment and maximize productivity. An effective incident reporting system will foster a culture of integrity and ethical decision making.

# Reporting – General

**May I report using either the Internet or the telephone?**

Yes. With EthicsPoint, you have the ability to file a confidential, anonymous report via either the telephone or the Internet.

**What type of situations should I report?**

The EthicsPoint system is designed for University employees, students, community members, independent contractors and volunteers, acting in good faith to report any violation of the University's policies, procedures, compliance obligations, or any other concerns you may have.

**If I see a violation, shouldn't I just report it to my manager, security, or human resources and let them deal with it?**

When you observe some behavior that you believe violates the University's policies, procedures or compliance obligations, we expect you to report it. Ideally, you should bring any concerns forward to your direct manager, or other members of University management. We recognize, however, that there may be circumstances when you are not comfortable reporting the issue in this manner. It is for such circumstances that we have partnered with EthicsPoint. We would rather you report anonymously than keep the information to yourself.

**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 letting the appropriate people know if someone is not acting appropriately. By working together, we can maintain a healthy and productive environment. Misconduct can threaten the livelihood of an entire University.

**Does management really want me to report?**

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

**Where do these 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 company who are charged with evaluating the report, based on the type of violation and location of the incident. Each of these report recipients has had training in keeping these reports in the utmost confidence.

**Isn't this system just an example of someone watching over me?**

The EthicsPoint system concentrates on being a positive aspect of the University's overall philosophy, and allows us to assure a safe, secure, and ethical workplace. You are encouraged to seek guidance on ethical dilemmas, provide positive suggestions, or communicate a concern. Effective communication is critical in today's workplace and this is a great tool to enhance that communication.

We have carefully chosen the best reporting tool to meet our compliance obligations while maintaining a positive reporting environment.

# Reporting Security & Confidentiality

**It is my understanding that any report I send from a company 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. In fact, EthicsPoint is contractually committed not to pursue a reporter's identity.

If you feel uncomfortable making a report on your work PC, you have the option of using a PC outside the University's work environment (such as one located at an Internet café, at a friend's house, etc.) through the EthicsPoint secure website. Many people choose this option, as EthicsPoint's data shows that fewer than 12% of reports are generated during business hours.

**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 totally maintained. Plus, EthicsPoint is contractually committed not to pursue a reporter's identity.

**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, if you wish to remain anonymous, 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 cube next to Jan Smith..." or "In my 33 years...".

**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 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 during delivery.

**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

**I am aware of some individuals involved with unethical conduct, but it doesn't affect me. Why should I bother reporting it?**

The University of New Mexico chooses to promote ethical behavior. All unethical conduct, at any level, ultimately hurts the University and all employees and students, including you. You only have to consider what happened in recent scandals to see the disastrous effects that a seemingly harmless lapse in ethics can have on an otherwise healthy University. So if you know of any incidents of misconduct or ethical violations, consider it your duty to yourself and your coworkers to report it.

**I am not sure if what I have observed or heard is a violation of company policy, or involves unethical conduct, 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 weren't sure.

**What if my boss or other managers are involved in a violation? Won't they get the report and start a cover-up?**

The EthicsPoint system and report distribution are designed so 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 company 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 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 add more detail or 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 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.

**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 to or are uncomfortable using a computer, you can call the EthicsPoint toll-free hotline, 1-888-899-6092, which is available 24 hours a day, 365 days a year.