**EthicsPoint Reporting Policy**

**Date of Initial Approval:** 3/23/2022 **Date Revised:** 1/30/2025

**Category:** University Policy **Responsible Department:** Administration and Governance

**Stakeholders Involved in Review:** Leadership Council, Legal Counsel, Compliance Office

**Purpose & Scope**

This policy supports Rocky Vista University’s (RVU’s) commitment to maintaining a culture of ethical conduct, transparency, and accountability. This policy applies to all RVU employees and students to enable the reporting of unprofessional behavior, compliance violations, harassment, or ethical concerns through EthicsPoint® which will serve as the primary confidential reporting system.

**Policy**

Rocky Vista University (RVU) emphasizes a responsibility to report ethical concerns, compliance violations, or unprofessional conduct of any student or employee. The official platform for secure and confidential reporting is the EthicsPoint® system. RVU enforces a non-retaliation policy, fostering open communication and integrity across all aspects of the RVU community.

Title IX cases are to be brought to the immediate attention of the Title IX Coordinator. In the event a case is opened in EthicsPoint® details of the case and findings will not be updated or maintained in the system.

**Roles & Responsibilities**

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| **Senior Compliance Manager** | Oversee EthicsPoint® review reports, and delegate cases to relevant personnel. |
| **Case Assignee(s)** | Investigate reports and maintain confidentiality while managing resolution efforts. Communicate with complainants through follow-up. Add case notes about resolution. Close case in the electronic complaints system once resolved. |
| **HR** | Work with case assignee when it involves an employee. |
| **Provost** | Handle student appeals and escalations. |
| **President/CEO** | Handle employee appeals and escalations, including cases that may involve the RVU Board of Trustees.  |

**Related Processes, Procedures, and/or Definitions**

* Appendix 1: EthicsPoint® Reporting Procedures
* Appendix 2: Whistleblower and Retaliation Protection Policy

**Policy Revision History**

11/04/24 Transferred to new policy template. Policy content condensed and two appendices added.

01/30/25 Reviewed by legal counsel and edits corrected.

**Appendix 1: EthicsPoint**® **Reporting Procedures**

**Responsibility to Report Concerns**

* RVU community members are encouraged to report legal, compliance, and ethics questions or concerns, especially if there is uncertainty regarding a course of action or suspected misconduct.
* Title IX cases should be reported directly to the Title IX Coordinator and should not be reported via EthicsPoint.

**Reporting Channels**

* Phone Reporting: Available 24/7 at 844-936-2729, managed by an independent third-party service, ensuring anonymity.
* Web Reporting: Accessible at rvu.ethicspoint.com (<http://rvu.ethicspoint.com>) for confidential, anonymous submissions.
* All reporting parties are provided with a reference number for follow-up.

**Anonymity and Confidentiality**

* Anonymity: Individuals may submit reports anonymously.
* Confidentiality: If a report includes identifying details, RVU will prioritize confidentiality, sharing information only on a need-to-know basis.
* Employees named in a report are not able to view the report.

**After Submission**

* A report is securely entered into the EthicsPoint® server and reviewed by the Compliance Manager.
* The report is assigned to designated personnel for evaluation and response, ensuring those named in a report do not have access to it.

**Bad Faith Allegations**

* People making claims in bad faith or with ill intent are subject to disciplinary action.

**Appeals Process**

* Grounds for appeal include procedural irregularities, new evidence, or conflicts of interest.
* Appeals must be submitted in writing within seven business days of the outcome notice.
* Appeals regarding students should be directed to the Provost, who will review and adjudicate the case.
* Appeals regarding employees and cases that require the input of the RVU Board of Trustees will be directed to the President, who will review and adjudicate the case.
* All appeals decisions are final.

**Case Escalation**

* In critical or emergency situations, cases may be escalated directly to the President/CEO.
* Allegations or cases pertaining to the President/CEO will be escalated to the Chair of the RVU Board of Trustees.

**Appendix 2: Whistleblower and Retaliation Protection Policy**

**In DynamicPolicy at:** [**https://policies.rvu.edu/read\_policy.php?doc\_id=15730001**](https://policies.rvu.edu/read_policy.php?doc_id=15730001)