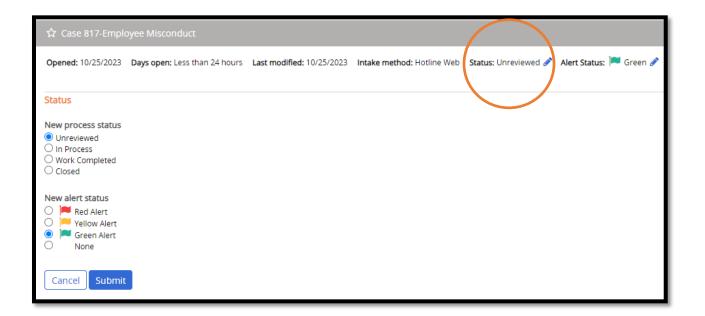## RECEIPT OF ETHICSPOINT CASES AND ASSIGNMENT

Auburn University currently has seven tiers for reporting in EthicsPoint – Athletics, Financial, Human Resources, Other, Regulatory, Research, and Student Conduct/Hazing. Student Conduct/Hazing reports are handled directly by the Division of Student Affairs. Athletics reports are handled directly by Athletics Compliance. All other reports are received by the Office of Audit, Compliance & Privacy (OACP) and assigned to the appropriate parties for review.

If you are assigned an EthicsPoint case for review, you will be notified via email. You can access and edit case details on the EthicsPoint website at https://auburn.navexone.com/incidents/. If you believe the report should be assigned to additional parties, please email the Associate Vice President for Audit, Compliance & Privacy.

When you receive a case and are ready to begin your review, please change the **Status** of the case to "In Process". The **Status** field can be accessed in the header for the case. See an example below. It is important to change the status, to accurately track time in each phase for reporting purposes.

NOTE: The **Alert Status** flags are not currently used.

A member of the Division of Internal Audit will contact you for an update two weeks after the EthicsPoint report is assigned to you if the review is still in process. The review does not need to be completed by that time. The status check is to assist in making sure reports are addressed in a timely manner.

DOCUMENTING THE REVIEW IN ETHICSPOINT

Please start the review by responding to the reporter, even those who have reported anonymously, using EthicsPoint's **Follow-ups** feature (located in the left ribbon in EthicsPoint). Please choose one of the following three options:

- Thank you for your report. Please follow up on a regular basis in case we have additional questions as we review this matter.
- Thank you for your report. To facilitate our review, we ask that you provide more details.
- Write your own message (used to ask more specific questions).

The **Follow-ups** screen can be used to communicate with the reporter throughout the review; however, this depends on the reporter periodically checking in on the report.

NOTE: The reporter can only see the report information they provided and **Follow-ups** communications. The information below will not be available to them.

The **Participants** screen is auto-filled with information provided by reporter. Although not required, you may update the information if additional details are learned about participants. You may also add other participants involved in the review (e.g., interviewees, etc.).

The **Tasks** screen can be used to assign specific tasks to those involved in the review. Due dates can be assigned to the tasks, and notifications can be sent via email.
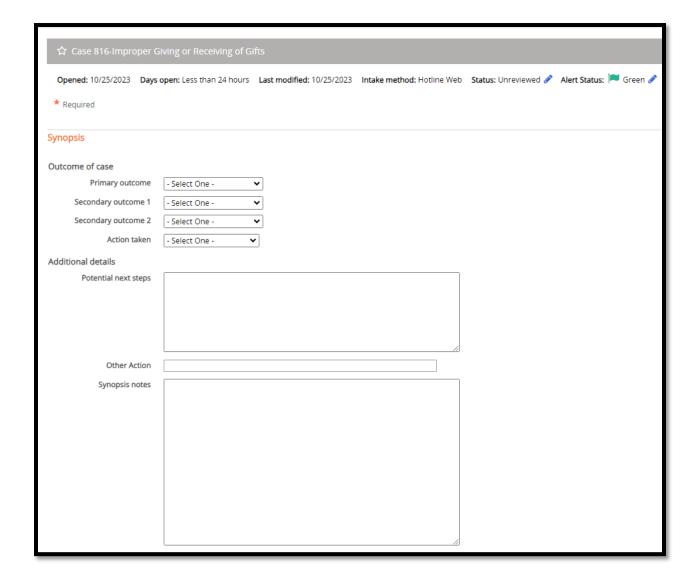
While the above screens are optional, the following information is required for our recordkeeping.

The **Case Notes** screen is used to document the progress of the review, to capture review findings, and to facilitate communications between the various parties responsible for the review. Information can be typed directly into a text field, or can be copy/pasted from a source document. Additionally, the **Attachments** screen is used to post various types of files to the case, including Word documents, spreadsheets, PDFs, photos, sound files, and video files. Please use a file name and description that will be meaningful to others involved in the review. Also, please include enough detail to explain how the review was conducted and who conducted it.

The **Synopsis** screen is used to capture the results of the review. An example is provided below.

☆ Case 816-Improper Giving or Receiving of Gifts

Opened: 10/25/2023 **Days open:** Less than 24 hours **Last modified:** 10/25/2023 **Intake method:** Hotline Web **Status:** Unreviewed 🖉 **Alert Status:** 🚩 Green 🖉

* Required

Synopsis

Outcome of case

Primary outcome	- Select One - ▾
Secondary outcome 1	- Select One - ▾
Secondary outcome 2	- Select One - ▾
Action taken	- Select One - ▾

Additional details

Potential next steps
[   ]

Other Action
[   ]

Synopsis notes
[   ]

One of the following outcomes should be selected for the **Primary outcome**:
- Substantiated - used when there is sufficient evidence that it appears the allegation(s) have merit
- Unsubstantiated - used when it appears there is no merit to the allegation(s)
- Partially Substantiated - used when multiple allegations have been made and some, but not all, of the allegations appear to have merit
- Frivolous – used when no actual allegation is made, the allegation does not involve the University, or an alleged behavior does not violate any regulations, policies, or guidance.
- Insufficient Information – used when the reporter has not provided sufficient detail for a review to be performed.

Secondary outcome 1 and **Secondary outcome 2** are not required.

One of the following outcomes should be selected for the **Action taken**:
- No Action Taken
- No Action Necessary
- Policy/Process Review
- Training
- Discipline
- Termination

The **Potential next steps** field should be used to provide additional information on corrective steps (if applicable). Please be as specific as possible, providing the names of the parties involved in the actions, what actions will be (or have been) taken, and the relevant date(s).

The **Other Action** field is optional.

The **Synopsis notes** field should be used to provide a short summary of the allegation(s).

COMPLETING THE REVIEW

Once the fields in the **Synopsis** screen have been completed, please change the status of the case to "Work Completed". This will send a notification to the Vice President for Institutional Compliance & Security, the Associate Vice President for Audit, Compliance & Privacy, and members of the Internal Audit team, letting them know that you have completed your work and documentation. Once the case information is reviewed by one of these individuals and there are no further questions, the case status will be changed to "Closed" by OACP.

Once the report is closed, the reporter will still be allowed to respond to questions or comments for an additional 30 days. If the reporter provides additional information, the case may be reopened for additional work, if it is deemed necessary.