

# Frequently Asked Questions Regarding the Integrity Line

## Contents

1. About EthicsPoint .....	1
2. Reporting – General Information .....	1
3. Reporting – Security and Confidentiality .....	3
4. Tips & Best Practices .....	4

## 1. About EthicsPoint

### What is EthicsPoint?

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

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

- An effective reporting system will augment our other efforts to foster a culture of integrity and ethical decision-making.
- GCERF adopts a zero tolerance approach towards fraud, misuse or any form of misconduct.
- Not everyone may have access to or feel comfortable using existing formal reporting channels. In many instances people prefer reporting incidents anonymously, and this is an option available with EthicsPoint.

## 2. Reporting – General Information

### What type of situations should I report?

You should report any form of inappropriate behaviour, wrongdoing or misconduct that you witness, or any other situation that does not seem right to you. It is important that you file a report whenever you feel that a situation violates GCERF policies or regulations, including the Standards of Conduct

for GCERF Staff and Contractors, the Code of Conduct for Recipients of GCERF Funding, and any legal obligation that GCERF or the organisations it funds or external parties it contracts with are subject to.

### **Why should I report what I know? What's in it for me?**

GCERF adopts a strict approach when addressing any form of misconduct that can occur in its own operations or the activities it funds or pays for. We are keen on not allowing our mission to be subject to any compromise by any form of misconduct or misuse. We also believe that it is intrinsic to work in a positive environment, which lays 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. Corporate misconduct can threaten the livelihood of an entire organisation.

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

You have the ability to file a confidential, anonymous (if you prefer) report via the Internet only.

### **What is the scope of this integrity line and what does it cover? What are other places where I can report?**

The integrity line is open to anyone who wants to speak up on any violation of the stated code of conduct and/or Standards of Conduct for GCERF Staff and Contractors, as well as any other concern you might have over a certain situation that you have witnessed. This includes reporting on any kind of misconduct, inappropriate behaviour, abuse, harassment, or any other wrongdoing. You can also always choose to report to someone (ex: your supervisor or HR if you are a GCERF staff member) or send an email to [\*\*ethics@gcerf.org\*\*](mailto:ethics@gcerf.org) for any complaints/issues.

### **Does GCERF really want me to report?**

We certainly do. In fact, we *need* you to report. You are familiar with what is going on in our organisation and/or programmes of funding, both the good and the bad. You may have initial knowledge of an activity that may be a cause for concern. Your reporting can minimize the potential negative impact on the programmes that GCERF funds or on GCERF itself.

### **How will GCERF respond to my report?**

Your report will be reviewed and taken into consideration by an ethics and compliance specialist. The specialist will analyse the content of the report and engage in processes that are appropriate and relevant to the issue(s) presented in the report. This process may include a formal and external investigation. It may lead to sanctions and other decisions.

### **Will I get updates on what is happening with the case or will I be able to track its status?**

You will be provided with a unique code called a "report key" which you should write down along with the password you choose so that you can access your report for any updates or questions.

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

The EthicsPoint system concentrates on being a positive aspect of our overall philosophy, and allows us to assure a safe, secure, and ethical environment. You are encouraged to seek guidance on ethical dilemmas, provide positive suggestions, or communicate a concern. Effective communication is critical in the work that GCERF conducts. We have carefully chosen a very reputable reporting tool to meet our compliance obligations while maintaining a positive reporting environment.

**What is the statute of limitations on reporting incidents that happened before? What is the actual timeframe regarding reporting an incident?**

There is no time limit. You can report an incident at any time but it is always encouraged to speak up as soon as possible. Also, if the incident happened before and gets reported recently, it might give perspective and support on another reported incident to which it can be related.

**Can I report on more than one person at the same time?**

Yes. You have the option of listing anyone involved in the case in the report you submit.

**Does this platform replace reporting a "Loss and Misuse Incident Report"?**

No, it is complementary. The "Loss and Misuse Incident Report" should be sent in accordance with the procedure laid out in the Grant Agreement. This platform encourages you to report any kind of misconduct in case you feel more comfortable in reporting through a system and if you prefer reporting anonymously.

**Do I have the option to withdraw my report/complaint at any time in case I realize that the case is not what I thought it to be?**

You can reconnect to the integrity line and provide additional information at any time.

**Will fund recipients be able to file a report? Is this integrity line open to each and every person working in a PR/SR for example?**

Anyone can have access to the platform and should be able to report through it.

### 3. Reporting – Security and Confidentiality

**It is my understanding that any report I send from a 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 our 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...".

#### **What if I want to be identified with my report?**

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

#### **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 to an ethics and compliance specialist who is charged with evaluating the report, based on the type of violation and location of the incident. The report recipient will keep these reports in the utmost confidence. The specialist will contact the appropriate individuals in GCERF depending on the nature and scope of the case to ensure that adequate and timely action is taken. For example, if the case is HR related, it would be directed to the appropriate person in HR.

#### **Will these reports be documented in a certain database? If so, who will be accessing it?**

Reports are stored in a very secure database where access will be decided by the ethics and compliance specialist on the basis of pre-determined processes and depending on the nature and scope of the claim.

## **4. 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?**

Our organisation chooses to promote ethical behavior. All unethical conduct, at any level, ultimately hurts the organisation. If you know of any incidents of misconduct or ethical violations happening at the Secretariat level or in the activities funded by GCERF, consider it your duty to report it.

**I am not sure if what I have observed or heard is a violation of GCERF policy, or involves unethical conduct, but it just does not look right to me. What should I do?**

File a report. We prefer you report a situation that you are not sure about rather than not reporting at all. It is always better to speak up even if it's only about an unsure concern than to let possible unethical behavior go unchecked.

**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 organisation has further questions for me concerning my report?**

When you file a report at the EthicsPoint Web site, you receive a unique user name and are asked to choose a password. You can return to the EthicsPoint system again via the internet and access the original report to add more details or answer questions posed by an ethics and compliance specialist 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 any questions. You and the ethics and compliance specialist retained by GCERF 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 have Internet computers as well.

**What if the misconduct was done by someone external to GCERF, like a visitor or a consultant who came for a short period of time (like one day)?**

Normally your first reflex should be to report to your supervisor or the relevant person. However, you can use this platform if you prefer anonymity.

**What if the incident (ex: my colleague sexually harassing me) happened outside the office and outside working hours (ex: weekend), can I still report it using the integrity line?**

Yes. You should be able to report about anything related to the GCERF “ecosystem” because it might also have an impact on your usual workday.

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

When you observe or get exposed to any form of misconduct or wrongdoing, inappropriate behaviour or language, harassment or abuse or some other behaviour that you believe violates the Standards of Conduct for GCERF Staff and Contractors, we expect you to report it. Ideally, you should bring any concerns forward to your direct manager, or other member of our management team as per the Grievance Regulation. 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 through the integrity line than keep the information to yourself.