

SAFE TO SPEAK UP SERVICE (ETHICSPPOINT)

Frequently asked questions

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About the Safe to Speak Up service (EthicsPoint)

What is the Safe to Speak Up service (EthicsPoint)?

The Safe to Speak Up service (EthicsPoint) is a comprehensive and confidential reporting tool created by NAVEX Global. It enables our leaders and other people to work together to address misconduct such as bullying and fraud in the workplace, while cultivating a positive work environment.

Why do we need a system like the Safe to Speak Up service (EthicsPoint)?

By creating open channels of communication, we promote a positive work environment and maximise productivity. An effective reporting system adds to our other efforts to build a culture of integrity and ethical decision-making. It also supports our vision for everyone at NZTE to feel safe, welcomed, valued and heard.

What kind of behaviour/incident should I report?

What types of situations should I report?

The Safe to Speak Up service (EthicsPoint) system allows our people to report any violation of The Fine Print, inappropriate behaviour, or other concern you may have.

If I see inappropriate behaviour, shouldn't I just report it to my leader, or People and Capability, and let them deal with it?

When you observe behaviour that does not support our vision of everyone feeling safe, welcomed, valued and heard, we expect you to report it. Ideally, you should bring any concerns forward to your people leader or other member of our leadership

team. We recognise, 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 NAVEX Global. 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 feel safe, welcomed, valued and heard at work. 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. Corporate misconduct can threaten the very existence of an entire organisation.

Do the Board and Lead Team really want me to report?

We certainly do. In fact, we *need* you to report. You know what is going on at NZTE - both good and bad. You may have initial knowledge of an activity that may be cause for concern. Your reporting can minimise the potential negative impact on NZTE and our people. It can also help us identify issues that can improve our culture and performance.

I am aware of some individuals acting unethically, but it doesn't affect me. Why should I bother reporting it?

NZTE promotes ethical behaviour. All unethical conduct, at any level, ultimately hurts NZTE and all our people, including you. We are all committed to upholding standards of integrity and conduct, which includes reporting any incidents of misconduct or ethical violations.

I am not sure if what I have observed or heard breaches the NZTE Fine Print, or involves unethical conduct, but it just does not look right to me. What should I do?

File a report. NAVEX Global can help you prepare and file your report so it can be properly understood. We would rather you report a situation that turns out to be harmless than let possible unethical behaviour go unchecked.

How do I report?

How do I make a report to the Safe to Speak Up service?

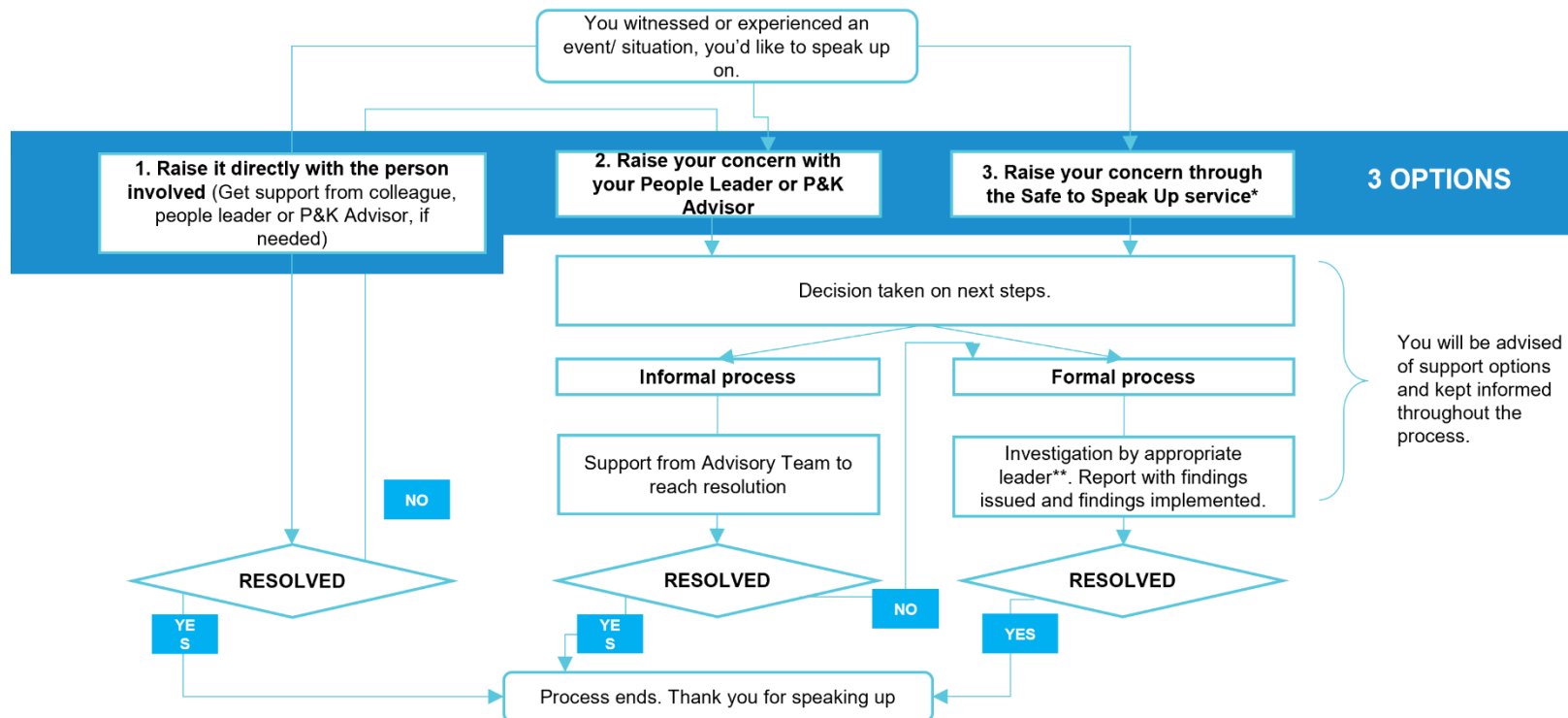
The Safe to Speak Up service (EthicsPoint) enables you to file a confidential, anonymous report via either the telephone or online.

What are the next steps?

What is the process at NZTE if I see or experience bullying, harassment and discrimination?

The flow chart below shows you the different reporting options for bullying, harassment and discrimination.

The process if you raise a concern (Bullying, harassment and discrimination)



* While you can report anonymously, it is important to note that it is extremely difficult – and in many circumstances impossible – to investigate concerns that are raised anonymously.

**The appropriate leader depends on the type of concern you are reporting.

Note that in the case of a formal investigation, you will be advised that appropriate action is being or has been taken. You may not be made aware of the nature of that action to protect confidentiality.

Where does my report go? Who can access it?

Reports are entered directly on the Safe to Speak Up service (EthicsPoint) secure server. NAVEX Global makes these reports available only to specific individuals at NZTE who are charged with evaluating the report, based on the type of violation and the seniority level of the person(s) reported.

The person evaluating the report will always be more senior to the person they are investigating. In cases involving the Lead Team, the investigator is a Board member, for example.

If the investigation finds that disciplinary action is needed, NZTE's normal disciplinary procedures apply.

Each of the report recipients listed has had training in keeping these reports in the utmost confidence.

Category	Primary investigator*	Person who decides action / outcome	Escalation contact**
<ul style="list-style-type: none"> Bullying, harassment and discrimination 	Director People Advisory Services	GM, People and Kōrako	Chair, Culture and People Committee
<ul style="list-style-type: none"> Conflicts of interest, financial investments and secondary employment Reputation and political neutrality Security, customer confidentiality or privacy breaches (digital and physical) Serious wrongdoing (Including fraud, corruption, bribery, insider trading, improper use of confidential information) Spending, travel and gifts Other 	Director, Business Assurance	Director, Business Assurance	GM Strategy, Performance and Partners, Chief Executive or Chair Audit and Risk Committee

*Unless there is a reason for this person not to see the report, this is the primary investigator receiving reports for this category of incident.

**If the primary investigator is mentioned in the report or is not senior to anyone mentioned in the report, the report goes to the escalation contact

Confidentiality and anonymity

What is confidentiality?

Confidentiality is not the same as anonymity

Confidentiality means that information about your concern will only be shared with a limited number of people on a strict need-to-know basis. Information will only be disclosed outside this small group if we are required to do so by law or if an important public interest is at stake.

Often, in order to assess the concern, and certainly if your concern becomes a formal complaint, it is necessary to inform the implicated person that a concern has been raised or a complaint made against them. This means that your identity would need to be disclosed to ensure they get an opportunity to respond. It may not be possible to take your concern further if you do not wish your identity to be known.

What is anonymity?

You can make a report to the Safe to Speak Up service anonymously. This means you do not provide your name or other identifying information about yourself.

Therefore, when the service forwards your report on to NZTE, it will remain anonymous.

You should be aware that it is extremely difficult – and in many circumstances impossible – to investigate concerns that are raised anonymously.

What if my people leader or other leaders are involved in inappropriate behaviour? Won't they get the report and start a cover-up?

The Safe to Speak Up service (EthicsPoint) system and report distribution ensure that implicated parties are not notified or granted access to reports in which they have been named.

I am concerned that the information I provide to the Safe to Speak Up service (EthicsPoint) will ultimately reveal my identity. How can you assure me that will not happen?

The Safe to Speak Up service (EthicsPoint) system protects your anonymity to the extent it is possible. 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 desk next to Jan Smith..." or "In my 23 years at NZTE...".

Is the toll-free phone 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 Safe to Speak Up service (EthicsPoint) website. These reports have the same security and confidentiality measures applied to them during delivery.

What if I want to be identified with my report?

We welcome this and hope that you feel comfortable to tell us who you are. It is generally easier to investigate a report and act on the information you provide if you share your identity. Providing your contact information can help us investigate fairly and take the best course of action.

Reporting security

If I use my NZTE laptop, will I be identifiable?

NAVEX Global does not generate or maintain any internal connection logs with IP addresses, so no information linking your laptop to the Safe to Speak Up service (EthicsPoint) is available.

If you feel uncomfortable making a report on your work laptop, you have the option of using a device outside our work environment through the Safe to Speak Up service (EthicsPoint) secure website. Many people choose this option.

Can I file a report from home and remain anonymous?

A report from home or using a personal device via the online portal will remain secure and anonymous. The online portal never identifies a visitor by screen name and the Safe to Speak Up service (EthicsPoint) system strips away internet addresses so that anonymity is maintained.

What if I remember something important about the incident after I file the report?

When you file a report at the EthicsPoint website or call centre, you receive a unique, randomised number called a “Report Key” and are asked to choose a password. We encourage you to choose a memorable passphrase.

You can return to the Safe to Speak Up service (EthicsPoint) system again either by internet or telephone and access the original report to add more detail or answer questions posed by the person at NZTE looking into your report.

We strongly suggest that you return to the site in the time specified to answer questions. You and the NZTE investigator are now in “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 the Safe to Speak Up service (EthicsPoint) correspondence is held in the same strict confidence as the initial report, continuing under the umbrella of anonymity.

What if I lose my Report Key or forget the Password I created?

To ensure that security and confidentiality is maintained, if you lose your report key or password, you will need to file a new report. Mention in the new report that it is related to a report or question you previously submitted.

Got a question that's not answered here? We're here to help.

Contact the Director, People Advisory or the Director, Business Assurance.