KENTUCKY STATE UNIVERSITY
POLICIES AND PROCEDURES

POLICY TITLE:
Ethics Hotline Policy

VOLUME, SECTION & NUMBER:
5.1.6

ENTITIES AFFECTED:
All University Stakeholders

ADMINISTRATIVE AUTHORITY:
Board of Regents
Office of Finance & Business Affairs
Office of General Counsel

APPROVED BY:
The Kentucky State University Board of Regents

EFFECTIVE DATE:
November 28, 2023

POLICY STATEMENT:

The purpose of the Ethics Hotline Policy is to establish a confidential and anonymous mechanism for employees, students, and other University stakeholders to report unethical behavior, violations of University policies, or any other misconduct. This policy outlines the process for reporting, investigating, and addressing reported concerns through the designated Ethics Hotline.

Kentucky State University is committed to maintaining the highest ethical standards and fostering a culture of integrity, transparency, and accountability. The Ethics Hotline serves as a tool to facilitate the reporting of unethical conduct without fear of retaliation.

DEFINITIONS:

Ethics Hotline
A confidential and anonymous reporting channel established to receive and address concerns related to unethical behavior, policy violations, or misconduct.

Internal Auditor/Internal Auditor Team
The individual or group of individuals tasked with providing independent and objective evaluations of the

University's financial and operational activities.

Reporter
An individual who submits a report through the Ethics Hotline.

SUBMITTING A REPORT:

The hotline is available 24/7/365 for reporting. Reports can be submitted by calling 1-855-203-6657. Information about the hotline can be found at: www.securityvoice.com/reports.

ANONYMOUS REPORTING:

The hotline allows for anonymous reporting. Reporters have the option to remain anonymous throughout the entire process.

TYPES OF CONCERNS:

The hotline can be used to report any concerns related to unethical behavior, policy violations, financial misconduct, harassment, discrimination, safety violations, or any other matter that may impact the University's ethical standards.

INVESTIGATION PROCESS:

Initial Assessment: The Internal Auditor or Internal Auditing Firm will assess the report's credibility and severity to determine the appropriate course of action.

Investigation: If deemed necessary, a thorough investigation will be conducted by the Internal Auditor or Internal Auditing Firm to gather facts, evidence, and relevant information. The investigation will be conducted impartially and confidentially.

Communication: The reporter's anonymity will be respected throughout the investigation. The Internal Auditor or Internal Auditing Firm will communicate updates and findings to appropriate parties as needed.

RESOLUTION AND FOLLOW-UP:

Resolution: Based on the investigation's findings, appropriate action will be taken to address the concern, which may include corrective measures, disciplinary actions, or process improvements.

Feedback: Anonymous reporters will not receive direct feedback on the investigation's outcome due to the confidentiality of the process. However, general feedback about policy changes or improvements will be communicated to the University.

NON-RETALIATION:

The University strictly prohibits retaliation against individuals who report concerns in good faith. Any form of retaliation will be subject to disciplinary action.

RECORDKEEPING:

All reports, investigations, and outcomes will be documented and securely stored to ensure compliance with legal and regulatory requirements.

ETHICS HOTLINE AWARENESS:

Regular communication efforts will be conducted to ensure all employees and stakeholders are aware of the Ethics Hotline and its importance.

POLICY REVIEW:

This policy will be periodically reviewed and updated to ensure its effectiveness and alignment with changing circumstances and legal requirements.

CONTACT INFORMATION:

The contact information for the Ethics Hotline will be made available to all employees and stakeholders through internal communication channels, such as University webpages, email, handbooks, and training materials.