

- **What if I want to remain anonymous?**

If you are uncomfortable reporting your concerns to your supervisor or to the officials listed in this brochure, you may report your concerns anonymously through the *Compliance and Ethics Helpline* (toll free at **1-855-350-9396** or online at www.thecatholicuniversityofamerica.ethicspoint.cfm).

- **What is the Compliance and Ethics Helpline?**

The *Helpline* is a telephone and online system that allows members of the University community to report suspected violations of laws or University policies.

The *Helpline* is administered by a third party, **not** the University, and you have the option to make your report **anonymously**.

Please note that the *Helpline* is not a 911 or emergency service. Emergencies should be reported directly to the **Department of Public Safety** at **202-319-5111**.

- **How do I make a Helpline report?**

You may telephone the *Helpline* at **1-855-350-9396** toll free, 24 hours a day, or use the online reporting portal at www.thecatholicuniversityofamerica.ethicspoint.com. Be sure to provide as much detail as possible so that your report can be properly investigated.

- **What happens when I make a Helpline report?**

The third party vendor that administers the *Helpline* will forward your report to the Compliance and Privacy Officer for investigation and you will be provided with a unique code to use in order to periodically check the status of your report.



THE CATHOLIC UNIVERSITY OF AMERICA
Compliance and Ethics Program
202-319-6170
CUA-COMPLIANCE@CUA.EDU
<http://compliance.cua.edu>

COMPLIANCE *and* ETHICS PROGRAM



THE
CATHOLIC UNIVERSITY
of AMERICA 

Frequently Asked Questions

• What is compliance?

Compliance means following the laws and University policies that apply to our daily activities when acting on behalf of the University.

• Why is compliance important to the University?

In support of its mission and core values, The Catholic University of America is committed to conducting its activities with the highest integrity and ethical standards, and in accordance with all applicable laws. Compliance is *everyone's* responsibility.

• I'm an ethical person. Why do I need to be concerned about compliance?

Higher education is a highly regulated and complex environment. It can be difficult, *even for ethical people*, to identify and follow all the laws applicable to an activity.

• What should I do to meet my compliance responsibilities?

Become familiar with the Compliance and Ethics Program resources discussed in this brochure. These resources will help you meet your compliance responsibilities and determine the right course of action in specific situations.

When you are uncertain whether an activity has compliance implications, seek guidance in advance of taking action.



Compliance and Ethics Program Resources

- Complete the online **Compliance Awareness Training**, which will educate you about common compliance risks and how to avoid them. The module is available under Training News and Events on the Human Resources website at training.cua.edu/compliance.
- Know and follow the University's **Code of Conduct** and the **University policies** applicable to your position and activities. The Code of Conduct and all University policies are published at policies.cua.edu.
- Know and follow the laws applicable to your position. Applicable laws by job title and subject area are published on the **Compliance Partner websites** at compliance.cua.edu/complianceindex.cfm.
- If you are unsure about your compliance responsibilities in a specific situation, seek guidance from the **Compliance and Privacy Officer** by calling **202-319-6170** or emailing CUA-COMPLIANCE@CUA.EDU.
- Report suspected violations of law or University policy to your supervisor, to one of the University officials listed in this brochure, to the Compliance and Privacy Officer, or anonymously through the *Compliance and Ethics Helpline* (toll free at **1-855-350-9396** or online at www.thecatholicuniversityofamerica.ethicspoint.com).

Report Your Concerns!

• What should I report?

If you suspect that a law or University policy is not being followed, or that something just is not right, you should report it.

• What if I don't have all the facts?

You should report your concerns as soon as possible even if you do not have all of the facts. All good faith reports, *whether or not they turn out to be true*, can be made free from fear of retaliation in accordance with University's **Non-Retaliation Policy** (visit policies.cua.edu/governance/nonretaliation.cfm).

• Where should I report my concerns?

Discrimination

Equal Opportunity Officer/Title IX Coordinator
202-319-6594
TITLEIX-COORD@CUA.EDU

Emergency issues

Department of Public Safety
202-319-5111

Occupational safety and health issues

Director, Environmental Health and Safety
202-319-5789
CUA-EHS@CUA.EDU

Loss or theft of confidential information

Compliance and Privacy Officer
202-319-6170
CUA-COMPLIANCE@CUA.EDU

Research misconduct

Associate Provost for Research
202-319-5218
CUA-OSP@CUA.EDU

Sexual harassment or violence

Equal Opportunity Officer/Title IX Coordinator
202-319-6594
TITLEIX-COORD@CUA.EDU

Theft, fraud, or misuse of University resources

Vice President for Finance and Treasurer
202-319-5607

Or

Compliance and Privacy Officer
202-319-6170
CUA-COMPLIANCE@CUA.EDU

Any other violation of law or University policy

Compliance and Privacy Officer
202-319-6170
CUA-COMPLIANCE@CUA.EDU

Or

Office of General Counsel
202-319-5142