

Compliance Services

Use this list of questions when submitting a report by phone or email

WHO IS REPORTING? (not required but encouraged):

Please provide your name, title, department, home address, telephone number(s), and best date(s) and time(s) to make contact

WHAT IS BEING REPORTED?

Please describe the activity or incident that occurred, including as much detail as possible. What do you believe makes it an improper activity?

IS THERE ANY SUPPORTING DOCUMENTATION?

To your knowledge, do any documents exist that provide evidence of the alleged improper activity? If yes, where are the documents located and who controls them? (Please remember that you should not be conducting any investigation or data gathering.)

WHO IS INVOLVED?

Identify the person or people you believe were or are involved in the alleged improper activity? If you believe an external organization is involved, which organization is it and who are the contacts?

HAVE YOU DISCUSSED OR REPORTED THIS INCIDENT PREVIOUSLY?

If so, who have you talked to about this incident, when did you discuss the incident and do the subjects of the complaint know about your report?

WHERE DID THE INCIDENT OCCUR?

If the incident occurred on campus, on which campus and in which operating unit did the alleged improper activity occur (department, building, floor, office, room, etc.)? If the incident occurred off campus, please describe where the incident occurred.

WHEN DID THE INCIDENT OCCUR?

Please describe when the alleged improper activity occurred, when you became aware of the alleged improper activity, whether it is ongoing and how frequently it has occurred.

HOW DID YOU BECOME AWARE OF THE ALLEGED IMPROPER INCIDENT OR ACTIVITY?

Please describe.

HOW WAS THE INCIDENT CARRIED OUT?

Please describe any specific actions you are aware of that relate to the incident reported and describe who took those actions and when.

WERE THERE ANY CONTROLS IN PLACE TO PREVENT THE TYPE OF BEHAVIOR YOU HAVE REPORTED?

Please describe whether any person allegedly involved in the instances you have reported was able to get around checks and balances that are in place. If you believe that lack of controls is a factor, please describe.