**Reported Concern Policy Flowchart**

- **Reported within Unit/college**
  - Should someone else in the Unit handle this issue (e.g. Certified Approver, HR Pro, DKA, other)? Should someone else in management be notified? **Y**
  - Has a University Office been specifically identified to be notified of or handle this issue (see listed offices and subject areas)? **N**
    - Does the matter involve substantial investigation, records review, any potential obligation to report information to an outside entity, and/or otherwise present a situation that is potentially significant (i.e. where the solution does not appear straightforward without further inquiry)? **N**
      - Does the matter otherwise involve allegations of misconduct by a high-level University official or widespread or serious violations of law or University policy? **N**
        - Implement Solution
      - Notify General Counsel’s Office; collaborate as requested
    - Notify the Auditor; consult with Central Human Resources if involves employment issue or consequences; collaborate as requested
  - Investigating and handling non-minor concerns
    - Is there a concern of retaliation against reporter? **Y**
      - Notify Reporting party of protections
      - Consult with HR if a case liaison may be appropriate
      - Ensure protections against retaliation are in place
    - Establish Plan for handling report, considering:
      - Need for Task Force
      - Outside Reporting
      - Obligations
      - Communication Strategy
      - Documentation
      - Timeframe
    - Communicate resolution to mgt & relevant parties, including appropriate information to reporter, if any
    - Maintain appropriate documentation, including reporting within EP system
  - Communicate resolution to mgt & relevant parties, including appropriate information to reporter, if any

- **Reported to Central/Responsible U office**
  - Should another central University office be notified or handle the issue? **Y**
  - Should the appropriate collegiate/unit leadership be notified? **Y**
    - Notify the Auditor; consult with Central Human Resources if involves employment issue or consequences; collaborate as requested
    - Notify Central Office; refer matter where appropriate; collaborate as requested
  - Investigating and handling non-minor concerns
    - Is there a concern of retaliation against reporter? **Y**
      - Notify Reporting party of protections
      - Consult with HR if a case liaison may be appropriate
      - Ensure protections against retaliation are in place
    - Establish Plan for handling report, considering:
      - Need for Task Force
      - Outside Reporting
      - Obligations
      - Communication Strategy
      - Documentation
      - Timeframe
    - Communicate resolution to mgt & relevant parties, including appropriate information to reporter, if any
    - Maintain appropriate documentation, including reporting within EP system
  - Communicate resolution to mgt & relevant parties, including appropriate information to reporter, if any

- **Reported via Hotline**
  - Should another central University office be notified or handle the issue? **N**
    - Should the appropriate collegiate/unit leadership be notified? **N**
      - Input report information
      - Communicate as appropriate
    - Is there a concern of retaliation against reporter? **Y**
      - Notify Reporting party of protections
      - Consult with HR if a case liaison may be appropriate
      - Ensure protections against retaliation are in place
    - Establish Plan for handling report, considering:
      - Need for Task Force
      - Outside Reporting
      - Obligations
      - Communication Strategy
      - Documentation
      - Timeframe
    - Communicate resolution to mgt & relevant parties, including appropriate information to reporter, if any
    - Maintain appropriate documentation, including reporting within EP system