

Dear members of the UVI community,

The University is committed to communicating and demonstrating the highest standards of ethical behavior. Along with the Board of Trustees, we have a fiduciary responsibility to ensure that the University is a good steward and makes the best possible use of the Federal and local government funds that it receives.

As part of that commitment, I believe that administrators, employees, faculty, and students, (collectively the University community), and other individual should be able to voice concerns, without fear of retaliation, and have those concerns addressed and responded to by an objective party. Accordingly, in order to encourage a member of the University community or any other individual to address ethical issues that arise in the workplace, I am pleased to announce that the University has established a Hotline within the Office of Internal Audit to receive, respond, and report on good-faith concerns of improper activities and fraud, waste, and abuse that may be occurring at the University.

The Hotline is an alternative mechanism for a member of the University community or any other individual to report good-faith concerns regarding matters pertaining to: accounting, purchasing, finance, human resources, information technology, research and public service, institutional advancement, risk and safety, and academic or campus affairs.

I encourage you to bring forward good-faith concerns to your immediate supervisor, manager, or component head. But, if you are not comfortable bringing forward your concern to these individuals, you have the option of reporting your concern to the Hotline. You may contact the Hotline by:

- Calling the Hotline number at **(340) 693-1576**
- Sending an email to hotline@uvi.edu
- Calling the Internal Auditor directly at (340) 693-1218
- Sending a letter to the Internal Auditor through the interoffice mail - Room 223 ACC Building
- Dropping a note in the lockbox outside of the Office of Internal Audit- Room 223 ACC Building
- Making an in-person report to the Internal Auditor at Room 223 ACC Building

The Hotline telephone number has been established without caller identification, so if you choose to use this method to bring forward a good-faith concern, you can remain anonymous. If you make your identity known to the Internal Auditor, you can request confidentiality and that confidentiality will be upheld to the extent permitted under the law.

One element of an effective ethics and compliance program is to have in place and to publicize a system whereby any member of the University community or any other individual can report concerns regarding suspected improper activities or seek guidance on any matter, without fear of retaliation. The University is committed to reviewing and maintaining a log of every concern brought forward through the Hotline. When a matter is brought forward to the Hotline, you can expect the Internal Auditor to conduct a professional, thorough, and courteous interview in order to obtain sufficient information to warrant further review. Each matter brought forward through the Hotline will be triaged and reported to me and the Chairperson of the Audit Committee. From this triage process, a determination will be

made as to whether or not your allegation constitutes unethical or illegal behavior and if specific information or corroborating evidence warrants further review. The University is committed to providing an appropriate and timely response to each report submitted through the Hotline, as well as appropriate and timely closure to those allegations which proceed to the investigation process.

If we have unethical behavior that results in the inappropriate use or misappropriation of resources, the University deserves the right to know about it. I know and appreciate that our University community is primarily comprised of honest employees and students who want to do the right thing. The fact is that only a small percentage of fraud, waste, and abuse is uncovered by managers and auditors during the conduct of their job duties. A Hotline is one of the most effective ways to encourage members of the University community or any other individual to bring forward good-faith concerns and thwart inappropriate behavior. I encourage you to read the attached Frequently Asked Questions developed by the Office of Internal Audit to further introduce and explain the University's Hotline.

If after reading the FAQs (attached) you still have questions about the Hotline, please contact Ms. Stacey Chados, Internal Auditor, at extension 1218 or by e-mail at schados@uvi.edu.

David Hall
President

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