ETHOS

VIVAMOS LA INTEGRIDAD

Guide for Reporting Misconduct

Tecnológico de Monterrey

Contents

Guide for Reporting Misconduct

At the Tecnológico de Monterrey, we are committed to the education of innovative and entrepreneurial leaders who are aware of their actions and the ethical responsibility that this entails. *This will only be possible if each and every one of us **acts with integrity and puts people at the center** of our decisions and actions. We are committed to living with our core values which guide us in our daily activities inside and outside of the Institution.*

The objective of ETHOS** is to promote compliance with our standards of conduct, to strengthen our culture of integrity and respect the dignity of all people. It's a **safe and confidential space** in which students, faculty and employees can **submit a report on good faith regarding the behaviors that detract from

our ethics, values, human dignity, student conduct and academic integrity.

*In order to maintain environments that guarantee good practices and integrity in all areas and dimensions of the Institution, we invite all members of the Tec community to join this commitment by **reporting responsibly and honestly any action, occurrence or behavior that jeopardizes our institution's ethics, values and regulations through ETHOS.***

We trust that whoever uses ETHOS,** on any of its channels, will do **so responsibly and in good faith.

Our Commitment to Truth and Honesty

We encourage the community to make reports in good faith with the intention of strengthening our core values and promoting the respect for human dignity in our daily actions. No member of our institution should report behaviors, give false or inaccurate facts with a malicious or intentional purpose of harming third parties or obtaining some personal benefit. *In the case of having evidence or findings of reports made in bad faith**,** the consequences and sanctions applicable to those responsible will be determined subsequently. Thus, we want to make sure that all of our processes for reporting misconduct are fair and reliable.*

Our Commitment to Safeguard the Dignity and Integrity of the Person Reporting a Violation

We are committed to respecting the dignity and integrity of all people. Therefore, no member of the Institution may take adverse actions against any person who reports a breach of ethics, values or regulations at our Institution in good faith. *Retaliation is prohibited. It violates*

the principle of integrity and is a serious transgression of human dignity. Any form of retaliation will be subject to consequences determined by the Institution.

Our Commitment to the Proper Treatment of Information

The information provided in ETHOS is considered strictly confidential and the Institution is committed to treating it appropriately. *The data, evidence and reports that are provided will be processed under the parameters of respect, discretion and confidentiality. They will only be used for the purposes of investigation, and fair and impartial treatment of the reported action.*

Who can submit a report?

Any member of the Tec Community (students, faculty, employees, learning partners or suppliers) who is aware of any situation that implies a breach of our Code of Ethics, institutional values or institutional regulations.

What Should I Reflect On Before submitting a Report?

It's important that all behaviors, facts or reported situations are reported honestly and in good faith. Here are some reflections to consider prior to filing a report:

- ☐ *Is the situation I am going to report a violation of ethical principles, core values, regulations or is it of another nature?*
- ☐ *Is the situation I am going to report true?*
- ☐ *Did I obtain the information or evidence honestly?*
- ☐ *Am I sure that the person I am going to report is responsible for what happened?*
- ☐ *If I am not sure of what happened, do I consider that not reporting the situation could harm other people or the Institution?*

If your answer is yes to any of the above questions, we encourage you to submit the report.

What Can and Cannot Be Reported in ETHOS?

Through ETHOS, you can report any behavior, action or fact that detracts from the Code of Ethics, values and regulations of the Tecnológico de Monterrey. Here are some examples of what should and should not be reported in ETHOS:

Yes	No*
Violations of Human Dignity: *Harassment, psychological harassment, lack of respect or recognition, discrimination*	**Administrative matters:** *issuance of work certificates, course enrollment, questions about institutional events such as award ceremonies, conferences or congresses, reservation of rooms or spaces, campus access permits*
Gender issues: *Gender discrimination, sexual abuse, attempted rape, sexual harassment, sexual assault, gender violence*	**Work benefits:** *access to insurance, consultation about vacation time, savings account, voluntary insurance, social security, end-of-year bonus, grocery vouchers*
Acts of student misconduct: *disorderly conduct, disrespect, possession or consumption of alcohol or illegal substances, bullying, damage to the institution*	**Incidents regarding salary or payroll:** *payroll clarifications, request for payments or pending fees, questions related to deductions or perceptions*
Academic Integrity Misconduct: *Cheating on exams, plagiarism, contract cheating, stealing material or information from another source, collusion*	**Incidents related to technology or software:** *registration of equipment, access to the internet, problems with email or institutional platforms*
Acts of corruption: *manipulation of financial information, conflict of interest, money laundering, fraud, bribery, extortion*	
Non-compliance with policies, regulations, norms, or procedures: *violation of confidentiality agreements, possession or use of alcohol, drugs or illegal substances*	
Security violations: *Unauthorized access to information or facilities, vandalism*	
Misuse of financial resources: *Asset theft, improper use of institutional resources (tangible and intangible)*	
Other: *Any other conduct or situation that implies a breach of our Code of Ethics, institutional values or institutional regulations.*	

*All administrative or IT matters will continue to be attended to in accordance with the processes and areas that have been established for this.

Where Should I submit My Report?

ETHOS is the safe and confidential space to report breaches of ethics, core values or institutional regulations. To strengthen a comprehensive environment, this line of service, with its various channels, is offered by Letica, an independent external provider of the Tecnológico de Monterrey, which is committed to our high-quality standards in safeguarding and protecting information and personal data, allowing ETHOS to be a confidential and safe space for everyone.

You can submit a report through these channels at any time:

- ✓ *Web page: https://letica.mx/ethos*
- ✓ *Email: ethos@letica.email*
- ✓ *Phone: +52 800 099 1219*
- ✓ *Whatsapp: 811 917 9005*
- ✓ *APP (IOS/Android): LETICA (ETHOS)*

When Can I Submit a Report?

ETHOS allows you to submit a report at any time. However, as part of responsible behavior, we invite you to notify any situation as soon as possible in order to provide timely attention and follow up.

What Should I Include in My Report?

Your report should begin with the follow-up to the violation. All the references you provide are valuable. Try to provide information that answer the following questions:

- o ***What happened?*** *(What behavior is being analyzed)*
- o ***Who did it?*** *Include data or information that allow us to identify the person who is responsible (for example: complete name, student number or ID number, campus or city where the person is located).*
- o ***When did it happen?***
- o ***Where did it happen?***
- o ***What are the facts?*** *Describe the facts in detail, giving context and clarity of what happened.*

Remember to include all elements that support your statements and/or arguments (evidence), *so that the areas that are responsible for the follow-up can make the best decision. Some elements of verification may require compliance with certain formalities. Help us obtain them (for example, personal forms of communication must come directly from a direct participant and must be sent to us through the official channels). This evidence can be in the form of documents, photographs, screenshots, short videos, messages, emails.*

What Happens When I Have Already Made a Report?

Once your report is registered, you will receive a tracking number with which you can follow up. Your case will be assigned to the responsible area as follows:

Who Follows Up on My Report?

Depending on the action that is reported, we have various areas that specialize in the attention and follow-up of cases. They are the Center for the Recognition of Human Dignity, Leadership and Student Education (LiFE), Campus Academic Integrity Committees (CIACs), Talent and Experience (TyE), Auditing and Investigation.

When Can I Expect a Response?

We are committed to responding initially within 24 business hours and carry out the investigation process in a timely and efficient manner so that you can rest assured that your report was received and is being addressed. However, the time to complete the process may vary due to various factors:

- ☐ *The complexity of the case can trigger multiple investigations of a different nature.*
- ☐ *The case involves requesting information from various strategic areas.*
- ☐ *The reported action is serious or there are many people involved.*
- ☐ *There is not enough information in the report.*
- ☐ *The person who reports wishes to remain anonymous and does not follow up on the case.*
- ☐ *No timely response is received from the person filing the report when more information is requested.*

This is why we emphasize the importance of providing as much information as possible when submitting a report and keeping an eye on its progress.

How Can I Track My Report?

You can check the status of your report on the webpage (Received, In Progress, Closed), request more information about the progress, and provide additional data or evidence.

In case you have decided to provide your data (non-anonymous reports), the platform will be sending you notifications about the progress of your report. On the other hand, if you don't provide your data, you will be able to follow up on the case with the tracking number on: https://letica.mx/ethos

How is My Identity Safeguarded or Protected?

Your identity will always be protected. In case you provide your personal data, it will be treated in accordance with our Privacy Notice and only for the purposes that were provided. You can submit your report by providing your personal ID and contact information, such as full name, email and telephone number. The areas responsible for

monitoring will not provide or facilitate your personal data to third parties by any means without your authorization.

If you want to know our Privacy Notices, click on the name of your Institution:
[Tecnológico en Monterrey](#), [Universidad Tecmilenio](#), [Sorteos Tec](#), [TecSalud](#).

Contact

If you have any questions, please write to: TECservices@servicios.tec.mx

Annexes

Institutional policies and regulations
Other frequently asked questions.