

## You've Deployed your Hotline: Now What?

*What are we hearing?*

*Where should we be listening?*

*How should we be responding?*

Thomas O'Keefe

Executive Vice President, EthicsPoint

## Our Panelists

- Sheryl Vacca

— SVP/Chief Compliance & Audit Officer, University of California



- Rhonda Bishop

— University Compliance Officer, Virginia Commonwealth University



## Balancing Risk & Reward



## Three Things I Think I Know...

1. Increased competition
2. Productivity vs. Accountability
3. Amplified external scrutiny



## Increased Areas of Higher Ed Risk

- Intellectual Property
- Confidentiality
- Athletics/NCAA  
(Improper Giving/Gifts,  
Misuse of Assets/Players  
or Endorsements, etc.)
- Data Privacy/Data Protection
- EEOC/ADA Matters
- Fraud
- Improper Supplier or  
Contractor Activity
- Misuse of donor funds



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## 300+ Higher Education Customers



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## What are we hearing?

- Trending by issue category over 5 years
- Anonymous or Identified trending
- Trending by Information Source
- Issue Trending in Higher Ed



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## What are we hearing?

Trending by issue category over 5 years

9,000 issue types normalized to the OCEG STD

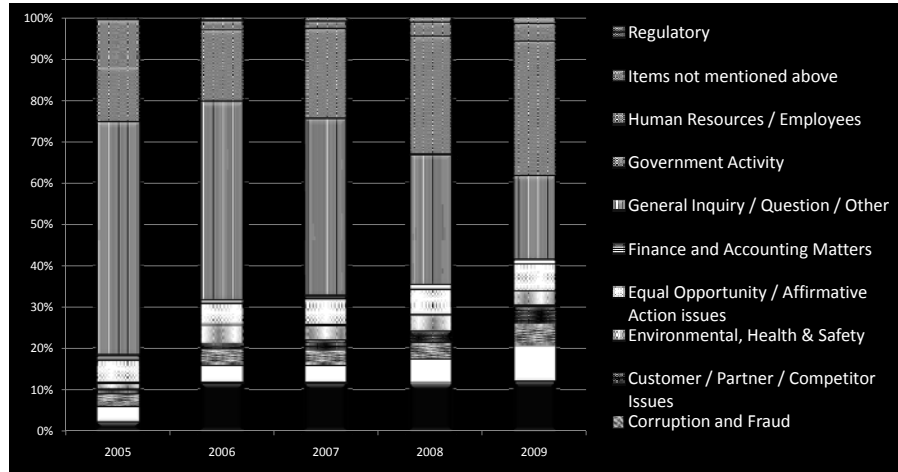
- Asset/Information Misuse & Access
- Company and Professional Code
- Corruption and Fraud
- Customer / Partner / Competitor Issues
- Environmental, Health & Safety
- Equal Opportunity / Affirmative Action issues
- Finance and Accounting Matters
- General Inquiry / Question / Other
- Government Activity
- Human Resources / Employees
- Items not mentioned above
- Regulatory



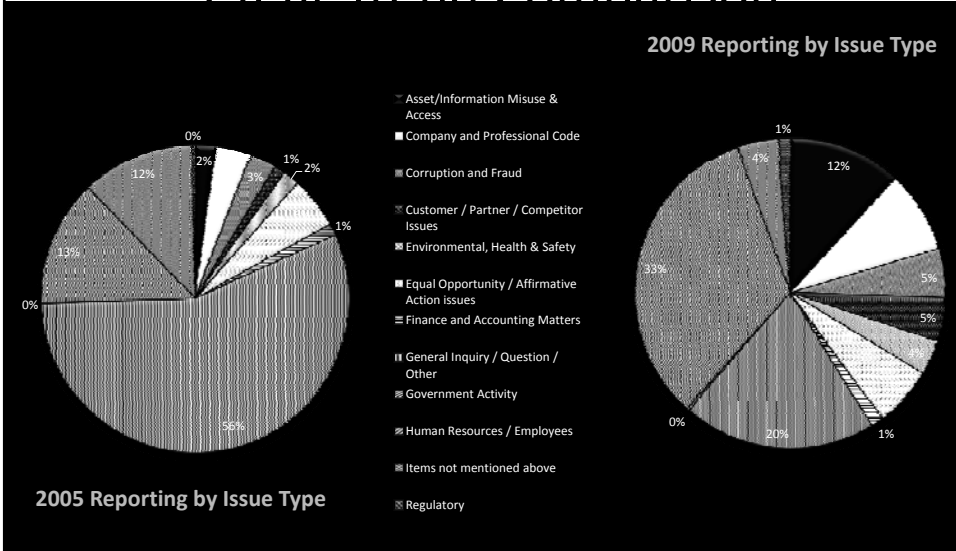
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# What are we hearing?

Trending by Issue Type...

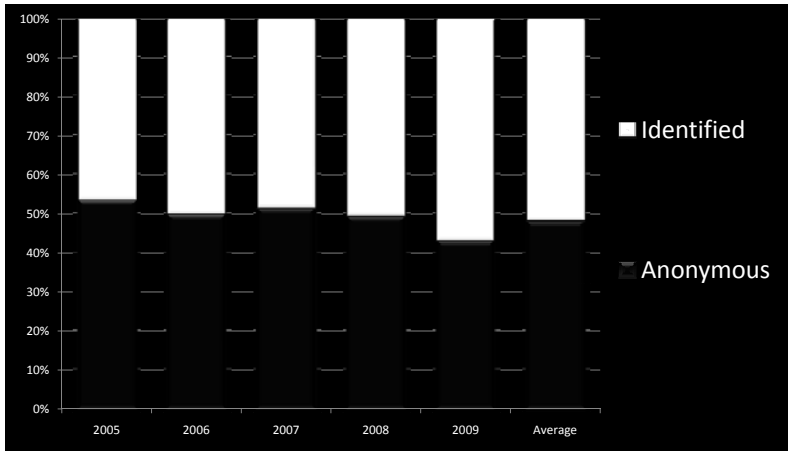


# 5 Year Trend Comparison



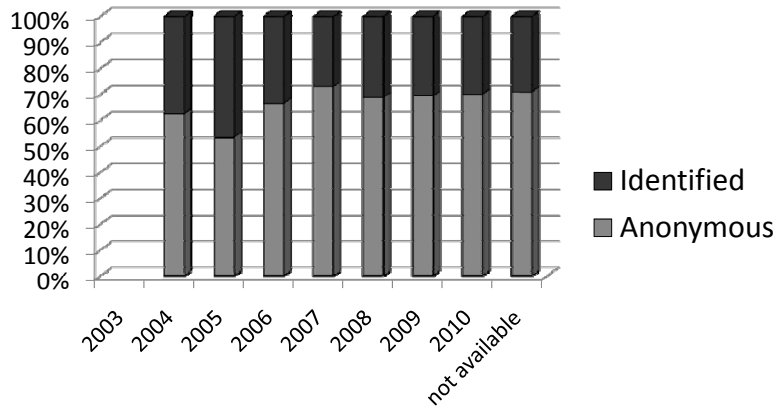
# What are we hearing?

Anonymous or Identified trending...

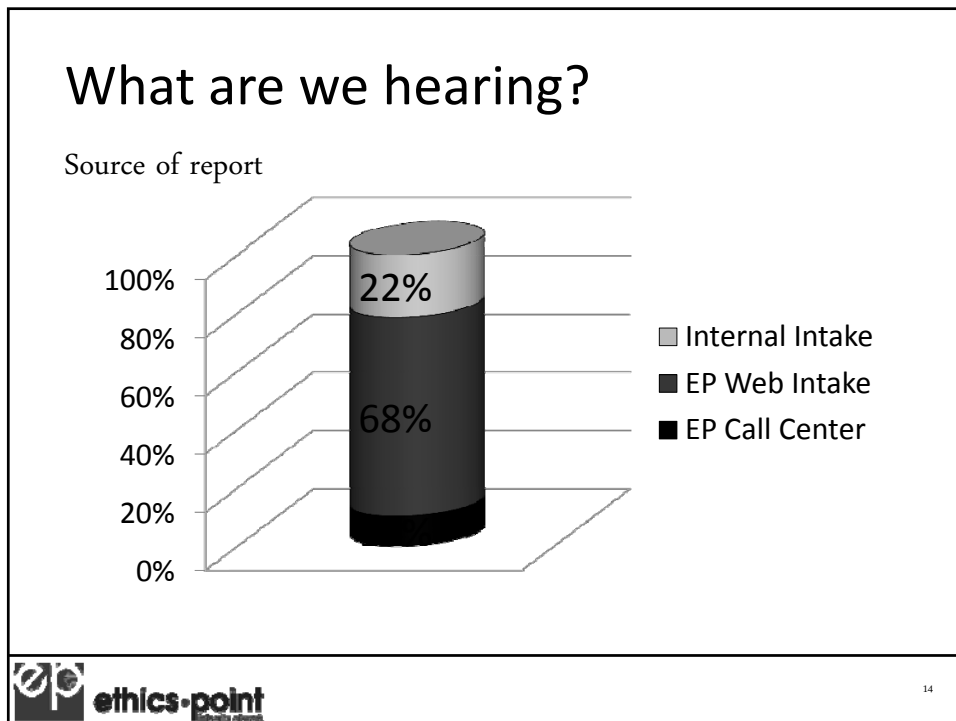
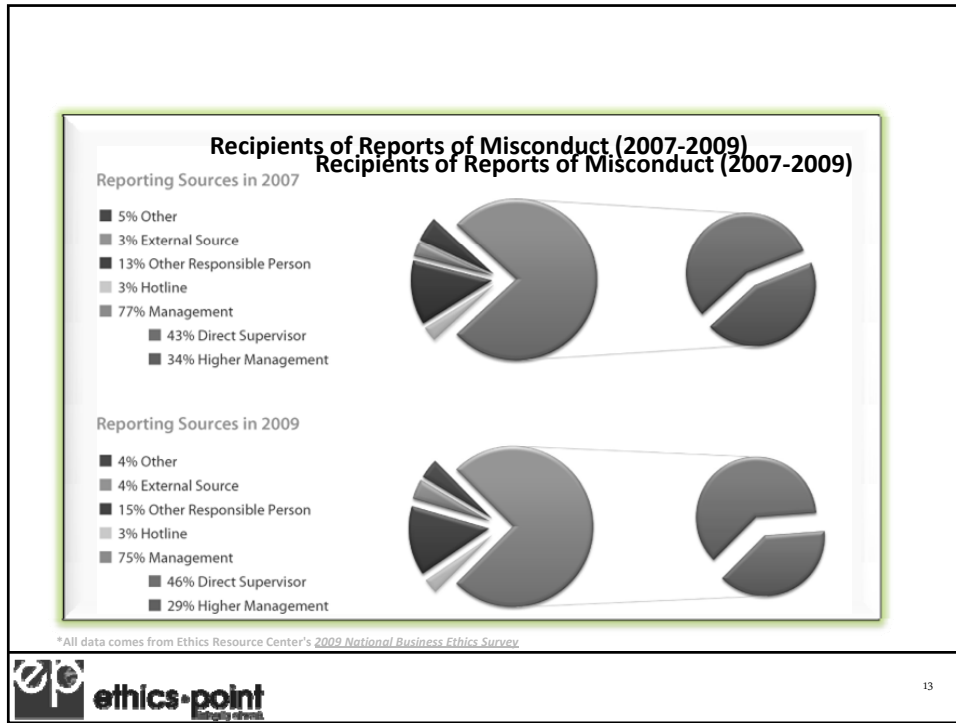


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# Higher Education



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## Where should we be listening?

- Leverage Traditional Internal silos
- Extension of compliance and feedback into the communications loop
- External sources – social media
  - especially important where students are concerned



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## How should you be responding?

- Publish sanitized examples
- Understand Systemic vs. Localized
- Track trends in your reporting
- Require “normalized” outcomes



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## How should you be responding?

### Avoid Retaliation...



\*All data comes from Ethics Resource Center's 2009 National Business Ethics Survey

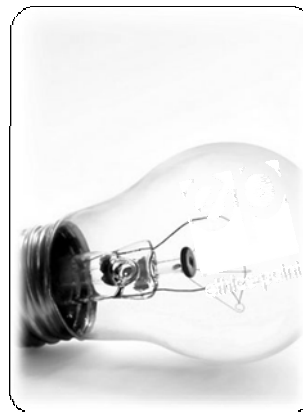


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## Next Steps

- Extend the reach of your compliance initiatives
- Train to ensure issues and events are being resolved consistently
- Identify patterns and trends within reported data
- Proactively mitigate risk

# Thank You!



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