University System of Georgia

Ethics & Compliance Hotline Trends

March 18, 2014
Agenda

• Why Have a Hotline?
• Hotline Status Report
Why Have A Hotline? (1/1)

• Proven Tool to prevent Fraud, Waste and Abuse
  – Used by faculty, staff, students, parents and the public
  – Provides for anonymous reports of problems

• Part of USG Compliance and Ethics Program
  – Promotes compliance with policies, regulations & laws.
  – Part of the Federal Sentencing Guidelines requirements
  – Protects USG where Federal funds are involved
  – Can reduce fines up to 60% as mitigation program
### Hotline Cases - 2011, 12 & 13

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<th>Month</th>
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- **Total Cases:**
  - 2011: 336 Cases
  - 2012: 455 Cases
  - 2013: 497 Cases

**Average Hotline Cases with Three-Month Moving Average:**

- **2011:** 11.67
- **2012:** 37.33
- **2013:** 53.67

**Note:** The chart illustrates the number of hotline cases reported each month from January 2011 to December 2013. The total number of cases for each year is provided at the bottom of the chart.
Complaints By Category

- Conflict, Harassment or Discrimination by Supervisor: 24%
- Fraud, Waste or Abuse: 24%
- Student Reports - Poor Service & Conflict: 20%
- Academic Misconduct: 11%
- Deficient Employee Services or Conditions: 5%
- Unsafe Conditions: 4%
- Other: 12%

“Corrective Action” is taken in 30% of cases
Review of the Top Areas

• **Resources not used properly**
  – Used to identify control weaknesses
  – Actual malfeasance turned over to law enforcement

• **People unhappy with supervisors**
  – Not a System issue
  – Provides an outlet for personnel issues
  – OIAC shares cases with VC for HR and Academic Affairs
    • Taking steps to redirect these calls to institutional channels

• **Student complaints - other students, instructors, etc.**
  – Responded to quickly
  – Provides positive impact and management awareness
  – Becomes customer service tool versus wrong doing reporting
Questions?