



Ethics Hotline Report

2014, 2015 & 2016

March 3, 2017

Office of Internal Audit and Compliance



Missouri State
U N I V E R S I T Y

DATE: March 3, 2017
TO: Missouri State Board of Governors Risk Management and Audit Committee
FROM: Donna Christian, Director of Internal Audit and Compliance
CC: Rachael Dockery, General Counsel
Clifton M. Smart III, University President

ETHICS HOTLINE REPORT

BACKGROUND

The University has a third-party anonymous hotline service, provided by EthicsPoint. An individual may contact the hotline service either by the toll-free phone or via the internet, 24 hours a day, 7 days a week. EthicsPoint immediately prepares a report for each contact and sends the report to the Office of Internal Audit and Compliance and the Office of General Counsel where they are reviewed and directed to the appropriate University official for follow up. The University official receiving the report is required to provide resolution of each report to the Office of Internal Audit and Compliance or the Office of General Counsel. The Office of Internal Audit and Compliance tracks each report to ensure the assigned University official properly completes follow up actions.

This report summarizes the activity of the Ethics Hotline for 2014, 2015 and 2016.

OBJECTIVE AND SCOPE

The objectives of this review were to summarize the data related to the Ethics Hotline for the years ending December 31, 2014, 2015 and 2016.

SUMMARY

There have been 113 reports filed with the University's third party hotline vendor between the hotline implementation in September 2007 and December 31, 2016. An investigation has been completed on all 113 hotline reports. The Office of Internal Audit and Compliance tracks follow up action. There are currently no open or pending investigations.

Donna K. Christian, CPA, CGFM,
Director of Internal Audit and Compliance

ETHICS HOTLINE DATA

Missouri State University first implemented the Ethics Hotline in September 2007 in conjunction with the Board of Governors' approval of the University's Whistleblower Policy (G1.25). This policy encourages employees to come forward in good faith with reports or concerns about suspected compliance issues. The Ethics Hotline provides an avenue where anyone (employees, students, and others) can report compliance concerns to University officials.

An individual may contact the hotline service either by the toll-free phone or via the internet, 24 hours a day, 7 days a week. EthicsPoint, a third party provider, manages the hotline service. After each contact, EthicsPoint immediately sends a report to personnel within the Office of Internal Audit and Compliance and the Office of General Counsel. The report is reviewed immediately and the appropriate University administrator is contacted for follow up actions. University administrators are committed to conducting a complete, thorough, and timely follow up of each report. The Office of Internal Audit and Compliance tracks each report to ensure the assigned University administrator properly completes follow up actions.

Number of Reports

Since implementing the Ethics Hotline in September 2007, there have been 113 reports through the system. The chart below shows the variance in reports filed by year.

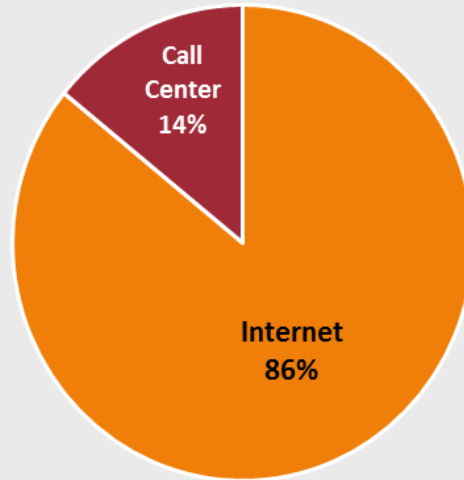


The Office of Internal Audit and/or the University's independent auditor tests the hotline service at least annually to ensure reports are properly recorded in the system and a response is made timely. Since 2007 the hotline service has been tested 13 times. These 13 test reports are not included in the report numbers cited above.

Reporting Method

Individuals overwhelmingly preferred to make reports via the internet rather than using the toll free phone number. Similar questions are asked and similar reports are prepared for both methods of contact.

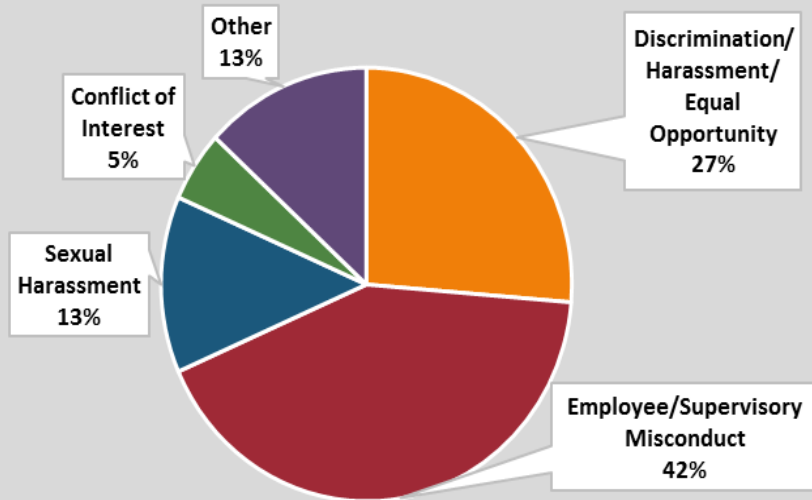
Ethics Hotline Reporting Method



Reporting Allegations

For the purpose of this review, we summarized the reporting allegations for only the most recent three years (2014, 2015 and 2016). There were 38 total reports received during this three-year time span. As shown in the chart below, allegations are summarized into five main areas:

Report Allegations

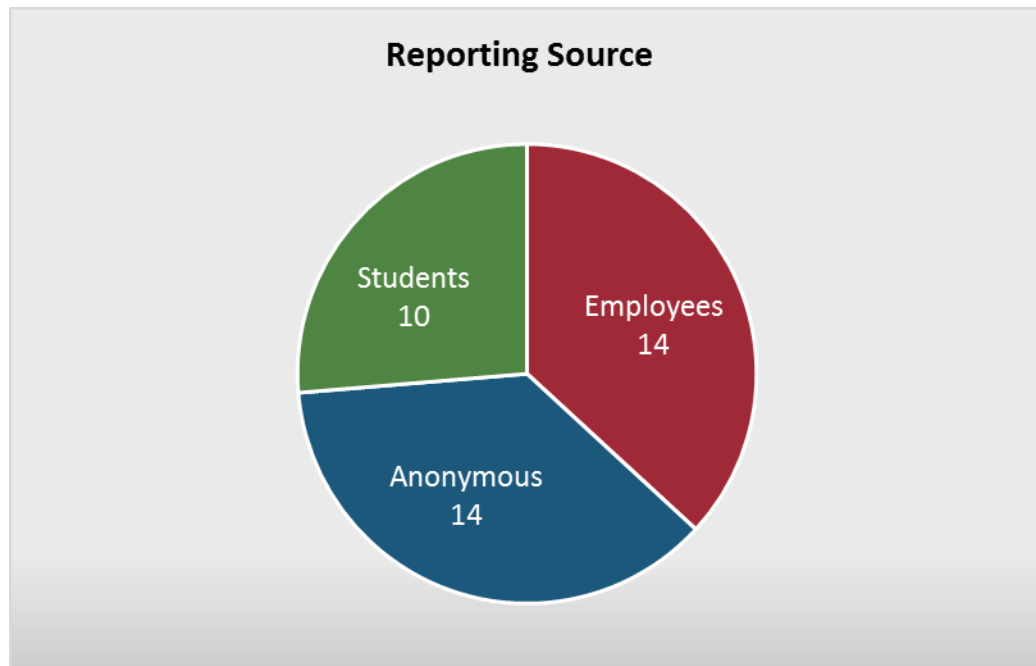


Employee/Supervisor misconduct was the most reported concern during the last three years with 16 of the 38 total reports relating to this allegation. The "other" classification for report allegations includes one

report from each of these five areas: campus/workplace violence, cheating/plagiarism, confidentiality, retaliation and student safety.

Reporting Source

The Ethics Hotline allows individuals to remain anonymous if they choose. It also provides the individual the opportunity to identify themselves by either including their name or only including their connection to the University, such as a student or employee. The chart below identifies the sources of reports from the most recent three years.



Report Resolutions

The Office of Internal Audit and Compliance has documented resolutions for all 113 reports received through the hotline. There are no open or pending hotline reports at the date of this report.