NAVEXGLOBAL®
The Ethics and Compliance Experts

THE TEXAS A&M UNIVERSITY SYSTEM

Texas A&M University System Integrates Scattered Lines of Communication

"NAVEX Global offered a reporting system that matched our structure and gave each institution a separate reporting page, as well as the ability to track specific risks at each individual institution."

Cathy Smock
Chief Auditor

Solution

EP ETHICSPOINT®
Incident Management

EP | NE | PT | RR

Highlights

INDUSTRY

Education

NUMBER OF EMPLOYEES

27,000+

BEFORE

Multiple hotline systems make seeing the big picture challenging.

AFTER

Centralized and integrated reporting allow university system to identify trends.

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An organization's hotline reporting system serves many purposes, such as providing:

» A confidential place for employees to clarify policy and discuss or report concerns

» A communications channel beyond the rumor mill

» A way to direct employee questions to the appropriate resource

» An opportunity to provide guidance before a poor decision is made

» An early warning of issues or problem areas brewing in the organization

» A last internal stop for whistleblowers before they take an issue outside the organization to a regulator or attorney

Download the Definitive Guide to Incident Management to Learn More

Challenge: Scattered Hotline Systems Reveal Gaps

In keeping with its obligation to students, employees and other stakeholders to maintain the highest ethical standards and principles, the Texas A&M System needed to bring multiple universities and agencies into a single, centralized system that would help protect against anything that could put the institutions, agencies, staff or students at risk.

In the past, hotlines were scattered throughout the A&M System. There were hotlines for security, student safety, research impropriety, human resources, ethics and financial fraud, to name a few. What was missing was a central function for intake, tracking and understanding the issues that could threaten students, faculty or the reputation of the A&M System.

At the time, these hotlines were managed by each of the universities and agencies within the A&M System, resulting in a lack of a big picture perspective according to Cathy Smock, Chief Auditor for the university system. "We realized we should track these risks as a system rather than piece by piece, but each university still needed to manage its own sub-set of issues," said Smock.

Solution: EthicsPoint® Brings Disparate Reporting Systems Together

Recognizing that it would be more efficient to bring all of the hotline resources together and analyze system-wide risks with a centralized, integrated reporting function, the A&M System, with support from the Board of Regent's Committee on Audit, selected EthicsPoint® incident management system to provide a centralized structure.

Working with NAVEX Global's Implementation Services team, the A&M System customized the reporting system. Within the overall structure, each institution and agency needed a unique reporting structure to gain deeper insight into its risk areas.

With EthicsPoint in place, all reports automatically trigger a notification for Smock, along with Robin Woods, Manager of Investigative Audit Services, the Deputy General Counsel and two designated employees from the institution or agency involved. "The hotline is set up to give everyone confidence that any issue will be documented and handled correctly," said Woods. Woods and the designated university or agency report recipients assess every report to ensure they are reviewed by the appropriate party and in a timely manner. This allows for a higher level of oversight and more consistency in how reports are handled.

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Whistleblower Hotline Intake

Trusted by thousands of clients around the world, our hotlines help employees, customers, suppliers and other stakeholders quickly and easily report potential ethics and compliance issues. Our hotlines also provide you with the E&C data you need to inform your program, helping you spot trends and take corrective action before minor issues become major.

Incident Management: EthicsPoint®

Capture and investigate E&C reports from across your organization in a centralized database. Our EthicsPoint Incident Management solution gathers data from all of your reporting channels—including your ethics hotline, web intake, and reports forms for open door conversations—to create a systematic approach to documenting case assignments and streamlining workflow.

Awareness Solutions

Raise awareness of key E&C program components, including your hotline and key training messages, with NAVEX Global's proven awareness materials.

Results: Centralized Database Improves Ability to Monitor and Track Risk

Since every issue is stored within a central database, the A&M System can now study the accumulated data in search of trends in the number and type of reports received and the university system or agency involved. "With all of the information in one database, we can monitor every type of issue to get a holistic view of where risks exist across the system," said Woods.

The A&M System now has more accurate case histories, which include the actions taken to review the reports and the associated resolutions. Bringing issue reporting and investigations together across the A&M System has been a marked improvement.

"Employees know that we care about wrongdoing, so we expect them to report anything they suspect to be wrong. They know they have an avenue to bring any issues forward so they can be resolved. NAVEX Global offered a reporting system that matched our structure and gave each institution a separate reporting page, as well as the ability to track specific risks at each individual institution," said Smock.

About Texas A&M University System

The Texas A&M University System is one of the largest and most complex systems of higher education in the United States, consisting of eleven universities, eight state agencies and a health science center. The Texas A&M University System educates more than 110,000 students and reaches more than 15 million people each year through service.

ABOUT NAVEX GLOBAL

NAVEX Global's comprehensive suite of ethics and compliance software, content and services helps organizations protect their people, reputation and bottom line. Trusted by 95 of the FORTUNE 100 and more than 12,500 clients, our solutions are informed by the largest ethics and compliance community in the world.

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