NAVEXGLOBAL®

AUBURN
UNIVERSITY ™

Auburn University Builds Effective Higher Education Hotline System

"As an audit department we need to know what is happening at our institution. EthicsPoint helps us listen to the people who know most about what's going on: Our Employees."

Kevin Robinson
Executive Director of Internal Audit,
Auburn University

Solution

EP **ETHICSPOINT**®
Incident Management

| EP | NE | PT | RR |

Highlights

INDUSTRY
Education

NUMBER OF EMPLOYEES
10,000+

BEFORE
Inability to report suspected financial or human resources issues.

AFTER
EthicsPoint created a medium for employees to speak up.

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

Transparency & Trust

When an external auditor advised Auburn University to outsource its employee hotline system, Kevin Robinson, Executive Director of Internal Audit, was in complete agreement. It was essential for his department to provide employees an incident reporting system that can guarantee anonymity.

"We want our institution to operate in a financially and ethically responsible way. To ensure that outcome, we need to give employees confidence to report issues."

The effectiveness of a whistleblower program depends in large part upon employee confidence in the system and Auburn understood that confidence rises when the system is managed outside of the institution.

Before the recommendation, Robinson's department made do with an internally-operated phone number and recording device. When the audit department found the system unsuccessful, Robinson assembled an advisory board of campus stakeholders. After considering several options, the board unanimously selected NAVEX Global to provide a solution.

Listening & Responding with EthicsPoint®

During the implementation, Robinson and the advisory board at Auburn worked with NAVEX Global to customize the system according to the university's needs.

While employees can report any issue of concern, the audit department keeps a narrow focus on financial reports. Any other reports – including issues involving human resources and athletic compliance – are routed to the appropriate campus office.

When an employee makes a report, the audit department receives a notification and decides the appropriate steps to take in resolving the issue. Nearly every report is submitted online.

NAVEX Global's case management software allows the audit department to request more information or evidence from the reporter, who can provide answers while remaining anonymous. This feature ensures Robinson's team has complete, accurate information before proceeding with an investigation.

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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.

Insights & Visibility Drives Up Employee Confidence

The reporting system gave the audit department an additional source of information about potential issues on campus. While Robinson hopes to eventually progress to a fully integrated governance, risk and compliance program at Auburn, he has noted important benefits since implementing the NAVEX Global system. These included improved employee confidence, more accurate and timely information, and better visibility into potential risk areas before they become a problem.

About Auburn University

The Auburn University creed states, "I believe in honesty and truthfulness. I believe in obedience to law because it protects the rights of all." In the spirit of that creed, the 10,000 employees of Auburn University and its campuses have rededicated themselves to modeling ethical behavior. Auburn was established in 1856 and is now one of the largest universities in the South with more than 29,000 students.

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 13,000 customers, our solutions are informed by the largest ethics and compliance community in the world.

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