Calendar Year 2014 Annual Report

University of Illinois Ethics and Compliance Office

February 26, 2015

Inspire integrity by speaking up.

Email: ethicsofficer@uillinois.edu  Ethics Line: 866.758.2146
Changes in 2014

• Expanded Mission and Responsibilities
  o University Ethics Office

• Increased Staff Size
  o Associate Director of University Compliance – Nov. 2014
  o Administrative Coordinator – Dec. 2014

• New Logo and Website Design

• “Do Your Part” Posters
Office Organization

University President
DR. ROBERT EASTER

University Ethics and Compliance Office
Executive Director of Ethics and Compliance
DONNA MCNEELY

Board of Trustees
Governance, Personnel, & Ethics Committee

Associate Director of University Ethics
TRACI ROLF

Associate Director of University Compliance
DAVID GROGAN

Administrative Coordinator
LEIGH VOLPERT
Compliance Function

• Promote culture of compliance
• Risk-based focus to identify compliance gaps and implement mitigation strategies/best practices
  o Preliminary risk assessment conducted involving over forty campus and UA administrators
  o Coordinating with Enterprise Risk Management, Audit and University Counsel to optimize coverage/avoid duplication of effort
• Identification of compliance population and individual owners
Compliance Function

- **Associate Director of Compliance – Nov 2014 staff addition**
  - position assists all three campuses in assessing risk, improving controls, and documenting, revising and implementing policies, as necessary, to ensure compliance

- **Initial focus areas:**
  - Clery Act, Title IX, Violence Against Women Act (VAWA), Export controls, Foreign Corrupt Practices Act, and Health Insurance Portability and Accountability Act (HIPAA)
Ethics Function

- Ethics Training - 2014
  - 99.9% compliance rate – full compliance anticipated by March 15, 2015
    - 49,750 employees completed annual training
    - 15,183 completed new hire ethics orientation
    - 30 employees remain noncompliant at February 13, 2015
  - Continued to develop and provide the other 8 public institutions with training via a fee-based structure
• **Statements of Economic Interests**
  - Approximately 9,100 U of I employees and **all BOT members** will be mailed forms March 16th
  - Original forms due by April 17th to University Ethics and Compliance Office

• **Anticipated changes with Ill. Exec. Order 15-09 (Jan. 13, 2015)** will likely result in a supplemental form being required by all 9,100 employees for submission to the Executive Ethics Commission
Ethics Case Load - 2014

- 120 active cases during 2014 (41% increase over 2013)
  - 71 required extensive follow-up
  - 11 referrals from the Executive Inspector General for the Agencies of the Illinois Governor (OEIG)
- 8 OEIG data requests were processed
In addition to formal concerns and cases:

- Daily calls to Ethics Line: 1-866-758-2146
- Daily emails to: ethicsofficer@uillinois.edu
- Inquiries/discussions regarding policies, procedures, advisory services, etc.
Common Advisory Areas

- Educational Materials and Mission exceptions - Vendor-paid travel, outings, conferences
- General Gift Ban Provisions
- Conflicts of Interest
- Prohibited Political Activity
- Procurement Communications Reporting
- University Policy – location and interpretation
- General Office and Personnel Management
Committee Memberships

University Ethics and Compliance Office staff serve on the following committees:

- University Administration Communications Committee
- Authorization Methods Task Force - OBFS
- Task Force to Prevent and Address Sexual Violence and Misconduct – University-wide
- Privacy and Security Committee (including HIPAA) – University-wide
- Compliance Advisory Committee – University-wide
Inspire integrity by speaking up.

University of Illinois
EthicsLine

Do your part.
Report perceived fraud, waste, abuse, mismanagement, misconduct, conflicts of interest, lack of compliance, or other violations of federal law, state law, contractual agreements or University policies.

Confidentially report ethics and compliance concerns
866-758-2146
ethics.uillinois.edu