

Reported to the Board of Trustees  
March 12, 2015

# Calendar Year **2014** Annual Report



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speaking up.

University of Illinois  
Ethics and Compliance Office

February 26, 2015

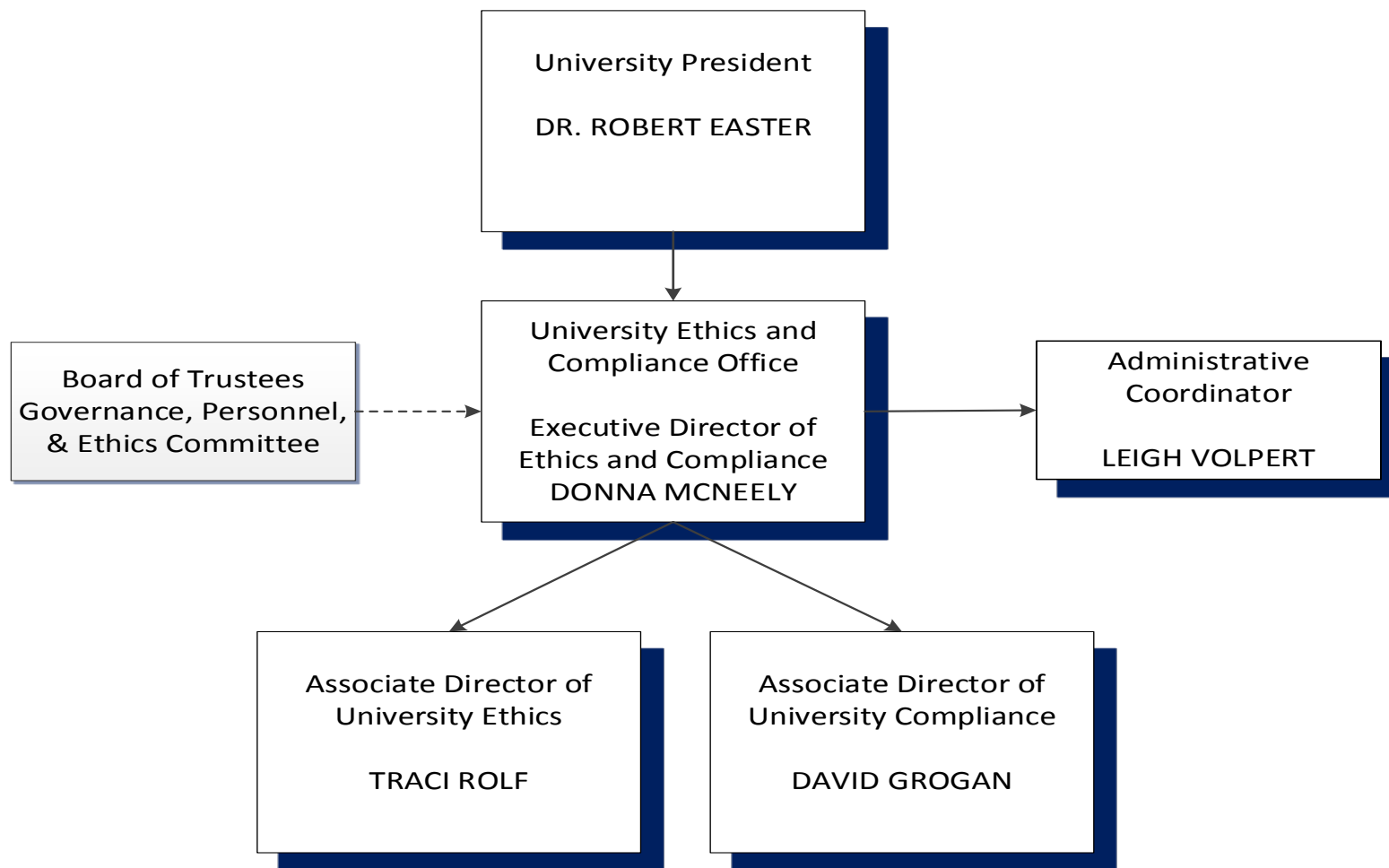
# Changes in 2014

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- Expanded Mission and Responsibilities
  - University Ethics Office → University Ethics and Compliance Office
- Increased Staff Size
  - Associate Director of University Compliance – Nov. 2014
  - Administrative Coordinator – Dec. 2014
- New Logo and Website Design
- “Do Your Part” Posters

# Office Organization

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# Compliance Function

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- Promote culture of compliance
- Risk-based focus to identify compliance gaps and implement mitigation strategies/best practices
  - Preliminary risk assessment conducted involving over forty campus and UA administrators
  - 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

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- 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

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- 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

# Ethics Function

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- Statements of Economic Interests
  - Approximately 9,100 U of I employees and all BOT members will be mailed forms March 16<sup>th</sup>
  - Original forms due by April 17<sup>th</sup> 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

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- 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



# Ethics Case Load - 2014

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In addition to formal concerns and cases:

- Daily calls to Ethics Line: 1-866-758-2146
- Daily emails to: [ethicsofficer@uillinois.edu](mailto:ethicsofficer@uillinois.edu)
- Inquiries/discussions regarding policies, procedures, advisory services, etc.

# Advisory Services

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## 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



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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](http://ethics.uillinois.edu)

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