

Version 02



Whistleblower Hotlines No Longer a Luxury



Society of
Corporate
Compliance
and Ethics

YOUR FACILITATOR

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Ms. Lowry has her Master's degree in Forensic Psychology, which includes extensive training and experience in clinical interviewing and conducting psychological evaluations. Her interviewing expertise include populations of criminals, severely mentally ill, and employees from a wide variety of industries and settings. She has specific violence risk assessment, de-escalation, and intervention training and a history of assisting organizations in identifying and mitigating workplace violence.



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OBJECTIVES

"Educators must establish ways for students and others to anonymously report statements or conduct that worries them."

*The Columbine Report,
Governor Bill Owens
(2001)*

- Quickly examine the myths of modern schoolplace misconduct and aggression
- Review the evolution and role of whistleblower hotlines
- Learn how modern whistleblower hotlines work
- Discuss why these tools are necessary and how they should be used
- Examine current best practices



Requirements:

- Curiosity
- Open mind

OBJECTIVES

"Schoolplace violence is a term that refers to an assortment of behaviors that are intended to frighten, intimidate or harm, where there is a nexus between the perpetrator(s) and the organization or its employee(s) regardless of when or where the behavior(s) occur."

Only reason for human intra-species violence is to establish or reestablish control.



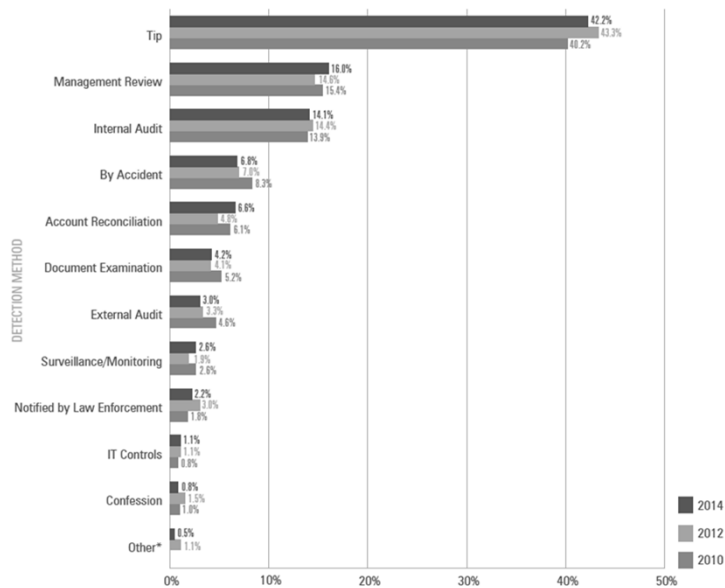
PRE-SESSION ASSESMENT

Most institutional misconduct is revealed by?

- a. tipster
- b. chance
- c. audit

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DETECTION OF OCCUPATIONAL FRAUD



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*"Other" category was not included in the 2010 Report

PERCENT OF CASES

PRE-SESSION ASSESMENT

Most tipsters request anonymity?

- a. true
- b. false

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PRE-SESSION ASSESMENT

Monetary incentives increase the volume and quality of tips?

- a. true
- b. false

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PRE-SESSION ASSESSMENT

A tip which is anonymous usually cannot be acted upon?

- a. true
- b. false

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COMMON MYTHS

We live in a culture of violence
and no campus is safe
Prevention is expensive and time
consuming
Having good policies and response
plans is enough
Predicting violence is impossible
because those who are violence
often just snap



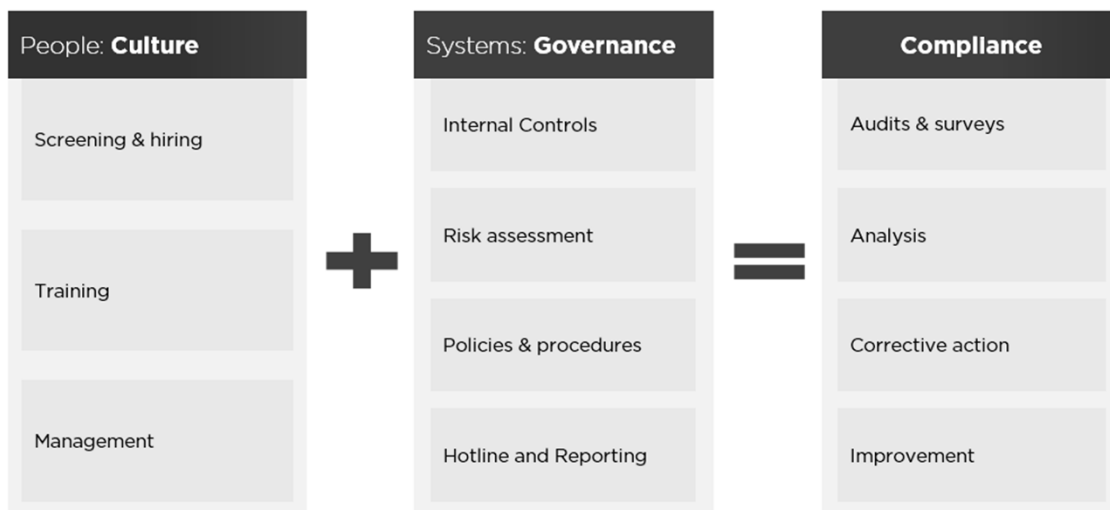
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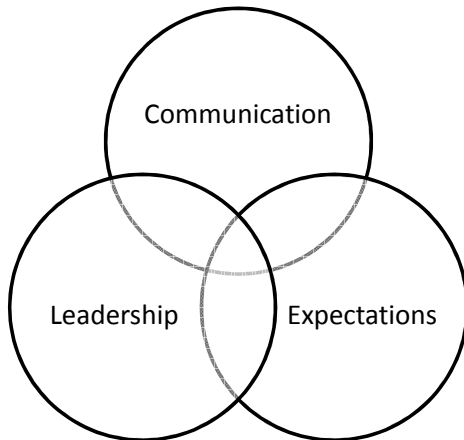
COMMON MYTHS AND FAILURE POINTS

We live in a culture of violence and no campus is safe
 Prevention is expensive and time consuming
 Having good policies and response plans is enough
 Predicting violence is impossible because those who are violence often just snap

The lack of information and unavailability of actionable intelligence are the principle failure points in preventing schoolplace violence.



MULTIDISCIPLINARY APPROACH



"The lower your expectations, the greater your disappointments."

MODERN WHISTLE BLOWER STATUTES

False Claims Act 1863 (amended three times since 1986)

Title IX Civil Rights Act

Clery Act 1990

Violence Against Women Act (VAWA)

Campus Against Sexual Violence Elimination (SaVE) Act of 2013



Title VII and OSHA both have whistleblower provisions and protections.

COMMON MYTHS

False reports are common and create liability
Users are distrustful and rarely make reports
Out-sourcing is expensive and unnecessary,
“besides, our open-door policy does the same
thing.”
All anonymous incident reporting systems are
alike.

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COMMON MYTHS AND THE REALITY

False reports are common and create liability
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Out-sourcing is expensive and unnecessary,
“besides, our open-door policy does the same
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alike.

Most whistleblower complaints have merit
Most whistleblowers have more than one agenda
Most whistleblowers have done their own investigation
Most whistleblowers know their rights



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THE NUMBERS

Bullying and student mistreatment most common complaints
 <1 percent of all reports prove to be intentionally false
 30 percent had previously reported by other means
 55 percent declined anonymity
 >85 percent used Smartphone or Internet to report

Most reports made after school
Ethics and code of conduct violations reported the least
Parents more likely to report using the Internet
Faculty rarely report



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BEST PRACTICES

- 24/7 toll-free telephone, smartphone and Internet access
- Multi-lingual capability
- Permits users three levels of anonymity
- Early warning system; immediate distribution
- Document and image uploading
- Mechanism for follow-up and continued communication
- Automated report distribution and alerts
- Case management capable with customized, detailed reporting with metrics

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- *Policy and document search and download capabilities*
- *Policy attestation*
- *LMS*

INTERNAL v. EXTERNAL

Relatively easy to launch
 Initial small investment
 Rarely trusted
 Very difficult to properly administrate
 Significant legal exposure
 Security, scalability and sustainability issues

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Relatively easy to launch
 Initial small investment
 Rarely trusted
 Very difficult to properly administrate
 Significant legal exposure
 Security, scalability and sustainability issues

Very easy to launch, maintain and secure
Small investment
Highly trusted
Very easy to administrate
Significant legal protections

IMPLEMENTATION CONSIDERATIONS

- Report retention
- Confidentiality and discovery issues
- Vendor's skills, experience and reput
- Publicity campaign



REWARDS

Diminishes trust and credibility
Frustrates internal compliance and reporting efforts
Diminishes sense of civic duty
Causes a delay in reporting

 *Fear of retaliation primary bar to reporting, not the lack of rewards.*

WARNING SIGNS

Low report volume
Missing or incomplete reports
Delays in receiving reports
All reports anonymous
Allegations seem to all point to one group or identity

LITIGATION AVOIDANCE

Follow organizational policies and practices

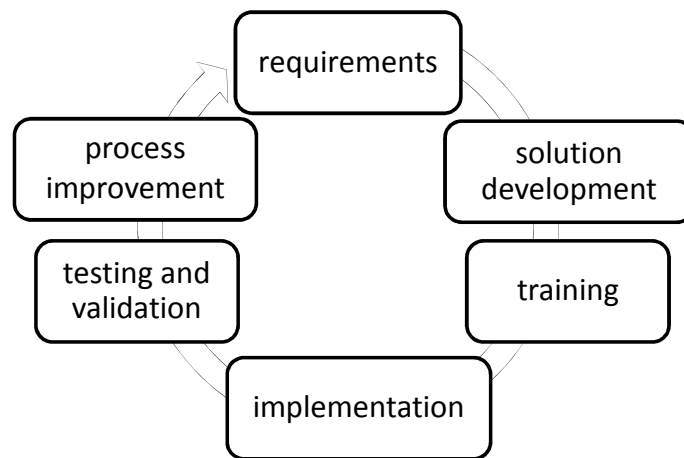
Retain all evidence and reports

Document findings and actions

Protect confidentiality

Comply with the law

IMPLEMENTATION



PUTTING IT TO WORK

- Affirm new objectives and scope
- Appoint technical committee and chair
- Appoint working group
- Select technical resources (if necessary)
- Project plan
- Execute



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RESPONDING TO REPORTS



- Prioritize and assess urgency
- Perform proper “pre-investigation” investigation
- Initiate information gathering
- Verification and analysis
- Report finds and take appropriate action

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CONCLUSION

WHO WE ARE

Convercent completely redefines organizational compliance management. Its world-class software solutions allow organizations to align values and policies, educate and engage employees, ensure quick incident reporting and resolution, and monitor enterprise-wide performance, all in one integrated and secure cloud application.

Learn more at Convercent.com

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