

# How involved is compliance during the exit interview?

Survey findings and implications



## Introduction

Exit surveys are sometimes perfunctory affairs—a chance to fill out some paperwork, ask a few questions, and end things as happily as possible.

However, if handled properly, they can provide an opportunity for compliance teams. They are often the last chance to determine if an employee is departing for a compliance-related reason, such as suspected retaliation or witnessing wrongdoing.

To determine how involved compliance programs are in exit interviews, Society of Corporate Compliance and Ethics® (SCCE) & Health Care Compliance Association® (HCCA) fielded a survey in October 2021 among compliance professionals. This survey generated 480 responses.

## Executive summary

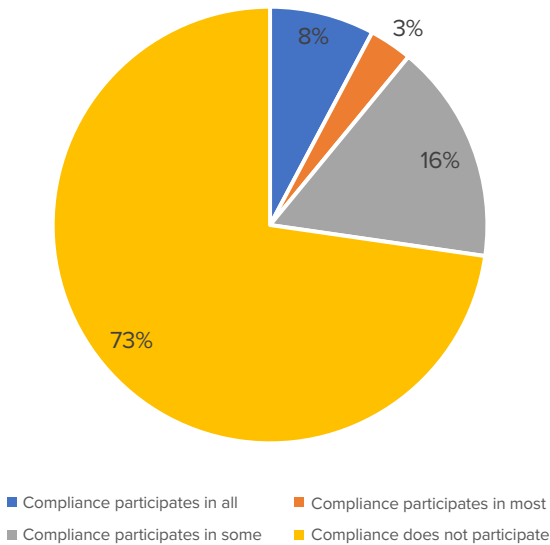
Exit interviews remain largely outside the purview of compliance teams, despite the potential value in them. Compliance rarely participates in the interviews, and more than two-thirds of survey respondents reported that compliance does not even provide questions to the exit interviewer. Making matters worse, a significant minority reported that there is no standard system for handling compliance issues raised in the exit interview.

## Key findings

### Exit interviews are the norm across organizations.

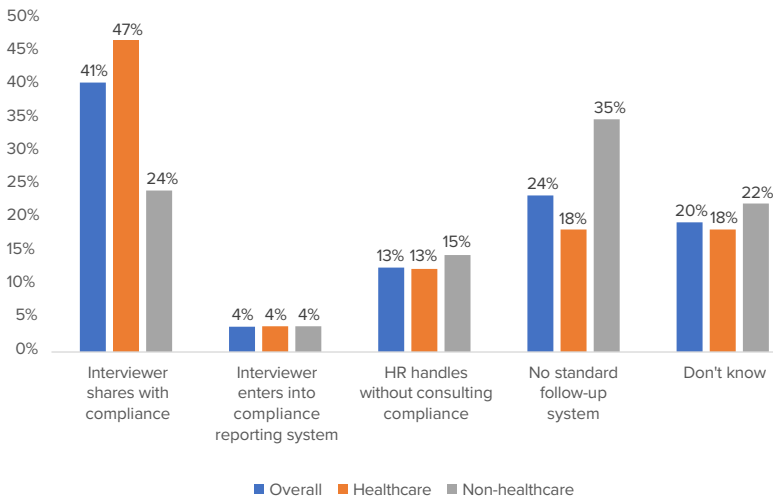
Ninety percent of survey respondents reported that their organizations conduct them.

Just 27% of respondents reported that compliance participates to some degree in exit interviews. Notably, only 11% participate in most or all interviews. That left 73% reporting that compliance does not participate at all, and among those outside of healthcare, an even higher 84% reported that compliance does not participate in exit interviews.

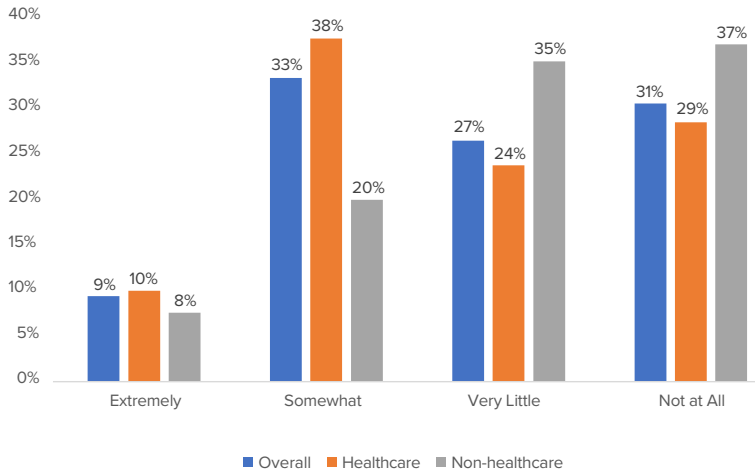


**Survey respondents who did not participate in all of the interviews were asked, “If compliance does not participate in the exit interview, does compliance provide questions to be asked by whoever is conducting the exit interview?”** Only a third (32%) reported that compliance provides questions.

There is no common response to how compliance-related issues raised in exit interviews are managed. Roughly a quarter (24%) reported that there is no standard system. 45% of survey respondents indicated that the interviewer shares compliance concerns with compliance either directly or through the reporting system.



Perhaps surprisingly, 42% of respondents were somewhat or extremely satisfied with the way compliance concerns are identified during the interview process. Respondents in healthcare were more likely (48%) to be satisfied than those outside of it (28%).



## Conclusions/implications

- **Compliance teams are not getting the value they could from exit interviews.** They tend to be excluded from in-person participation, which not surprisingly, likely leads to lower than ideal satisfaction levels with the process.
- **The absence of compliance from exit interviews leaves a gap in the understanding of organizational risk profiles.** A blind spot exists, which makes it more difficult than necessary to determine if employee turnover is natural or driven by non-compliant behavior by colleagues and managers. As a result, the ongoing monitoring of an organization's compliance culture is less robust than it could be.

## Methodology

Survey responses were solicited and collected from October to November 2021 from compliance and ethics professionals in the database of SCCE & HCCA. Responses were collected and analyzed using Alchemer, a web-based, third-party system. A total of 480 responses were collected.