

Usage Levels of Speak Up Systems in European Companies 2015

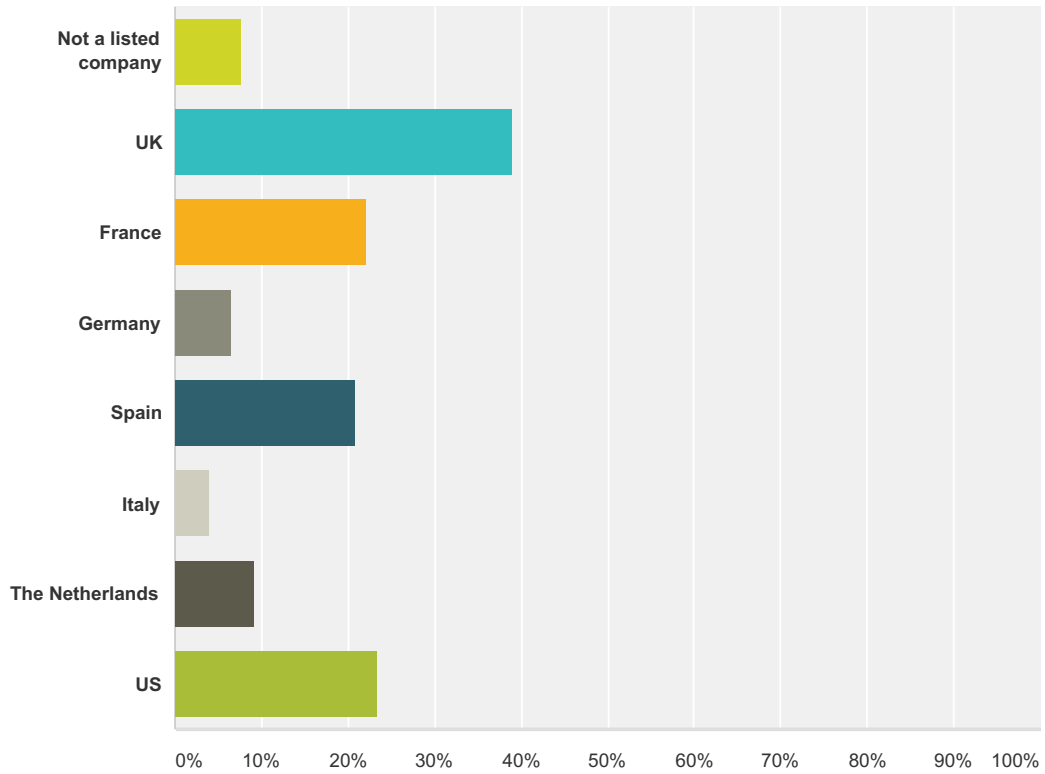
European Survey Results

Survey findings from the research conducted by the Institute of Business Ethics (IBE), Cercle d'Éthique des Affaires (CEA), and Forética, supported by Fondazione Sodalitas and the Dutch Compliance Officer Association.



Q3 In which country is your organisation listed on a stock exchange? (Tick all applicable)

Answered: 77 Skipped: 0

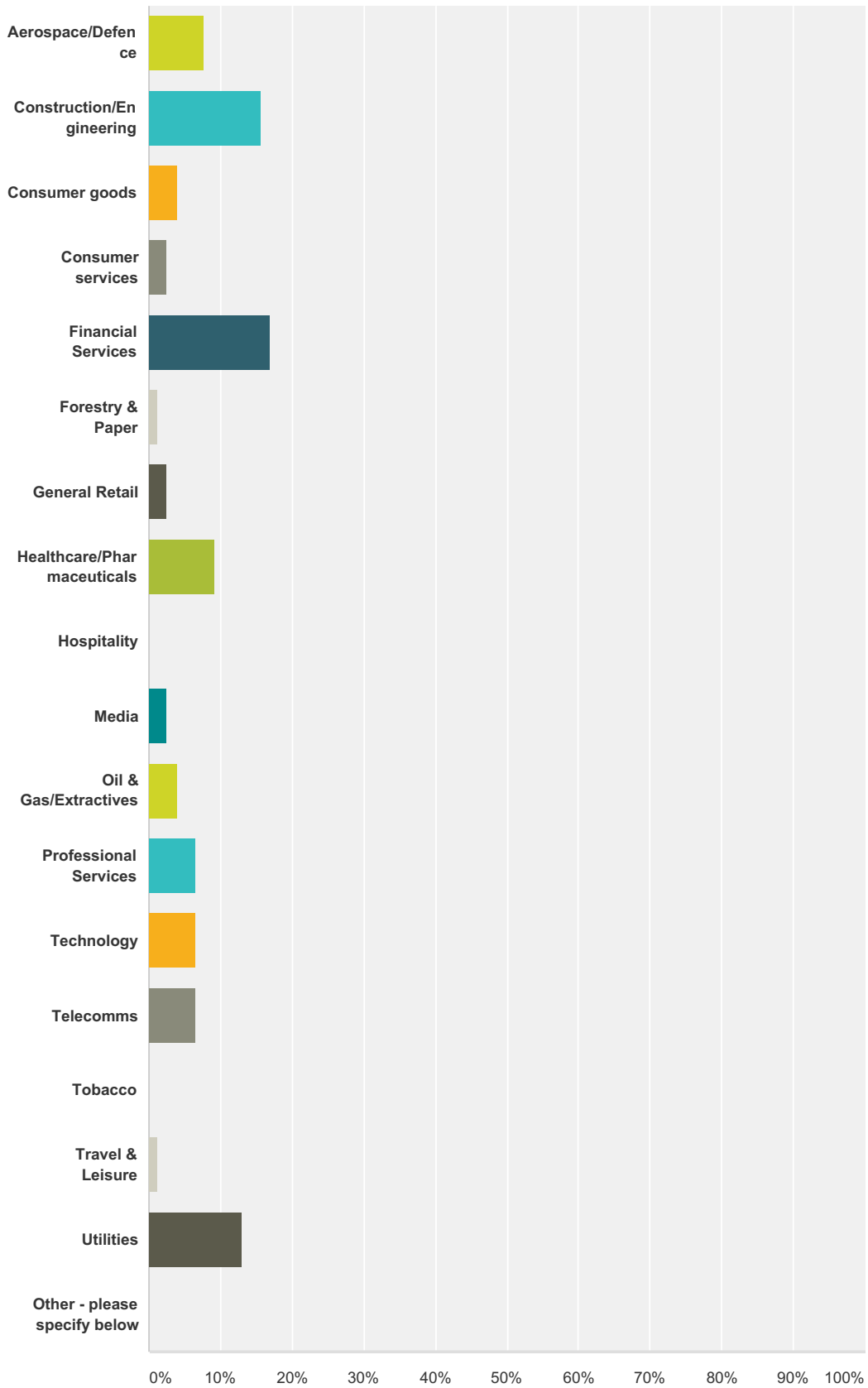


Answer Choices	Responses
Not a listed company	7.79% 6
UK	38.96% 30
France	22.08% 17
Germany	6.49% 5
Spain	20.78% 16
Italy	3.90% 3
The Netherlands	9.09% 7
US	23.38% 18
Total Respondents: 77	

Usage Levels of Speak Up Systems in Europe

Q4 Which Industry are you in?

Answered: 77 Skipped: 0



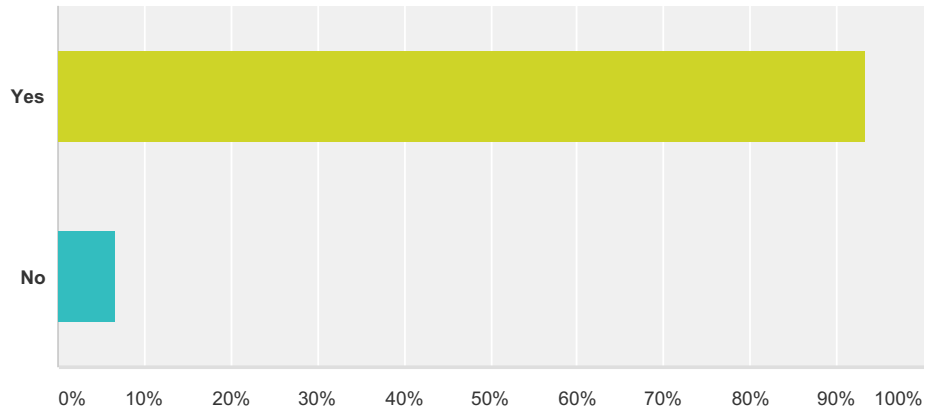
Answer Choices	Responses
Aerospace/Defence	7.79% 6

Usage Levels of Speak Up Systems in Europe

Construction/Engineering	15.58%	12
Consumer goods	3.90%	3
Consumer services	2.60%	2
Financial Services	16.88%	13
Forestry & Paper	1.30%	1
General Retail	2.60%	2
Healthcare/Pharmaceuticals	9.09%	7
Hospitality	0.00%	0
Media	2.60%	2
Oil & Gas/Extractives	3.90%	3
Professional Services	6.49%	5
Technology	6.49%	5
Telecomms	6.49%	5
Tobacco	0.00%	0
Travel & Leisure	1.30%	1
Utilities	12.99%	10
Other - please specify below	0.00%	0
Total		77

Q6 Does your company have a Speak Up system?

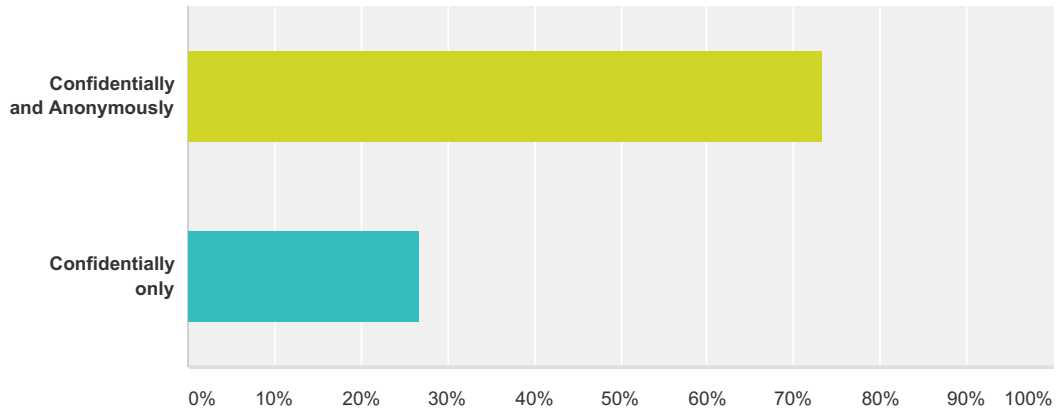
Answered: 75 Skipped: 2



Answer Choices	Responses
Yes	93.33% 70
No	6.67% 5
Total	75

Q7 Does your system allow allegations to be raised confidentially or anonymously?

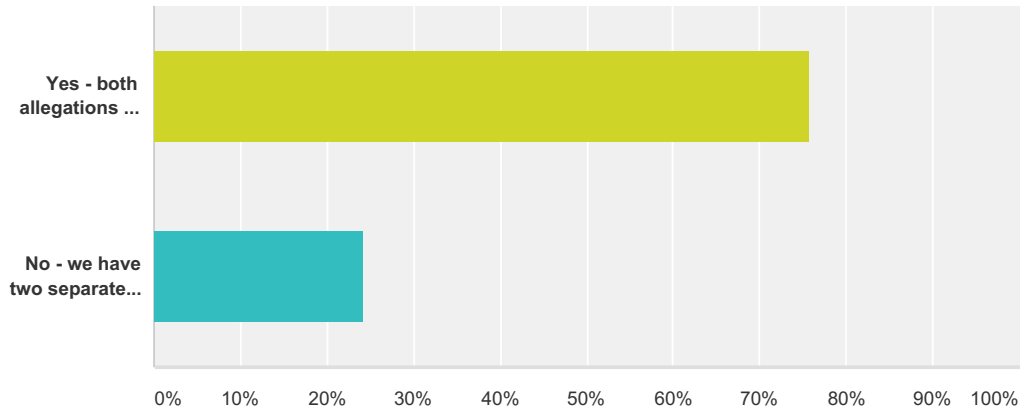
Answered: 71 Skipped: 6



Answer Choices	Responses
Confidentially and Anonymously	73.24% 52
Confidentially only	26.76% 19
Total	71

Q8 Does your Speak Up system allow enquiries?

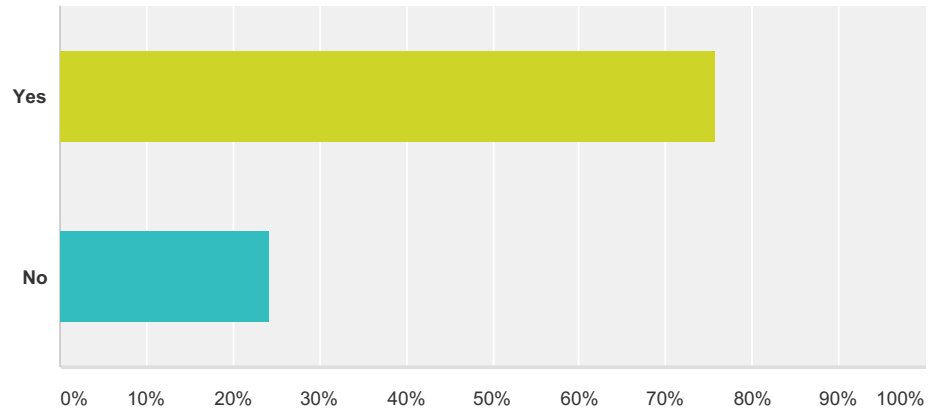
Answered: 70 Skipped: 7



Answer Choices	Responses	
Yes - both allegations and enquiries can be made through one system	75.71%	53
No - we have two separate systems; one for enquiries, one for allegations	24.29%	17
Total		70

Q9 Has your speak up system been revised/refreshed in the last 5 years?

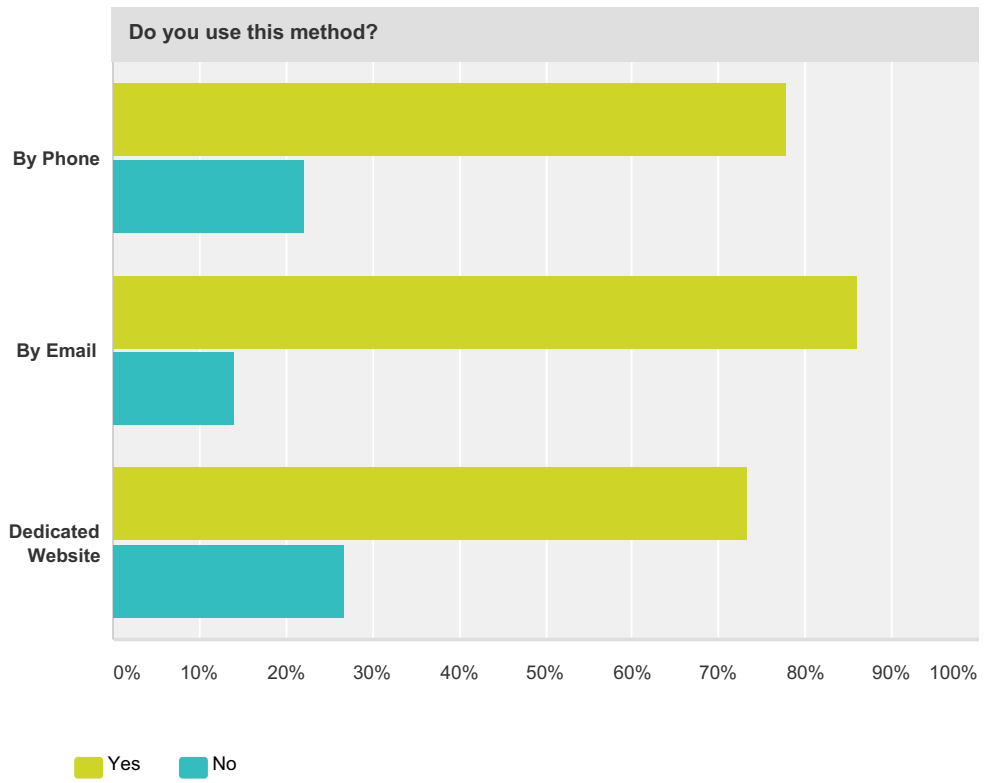
Answered: 70 Skipped: 7



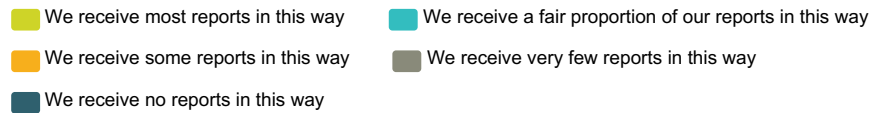
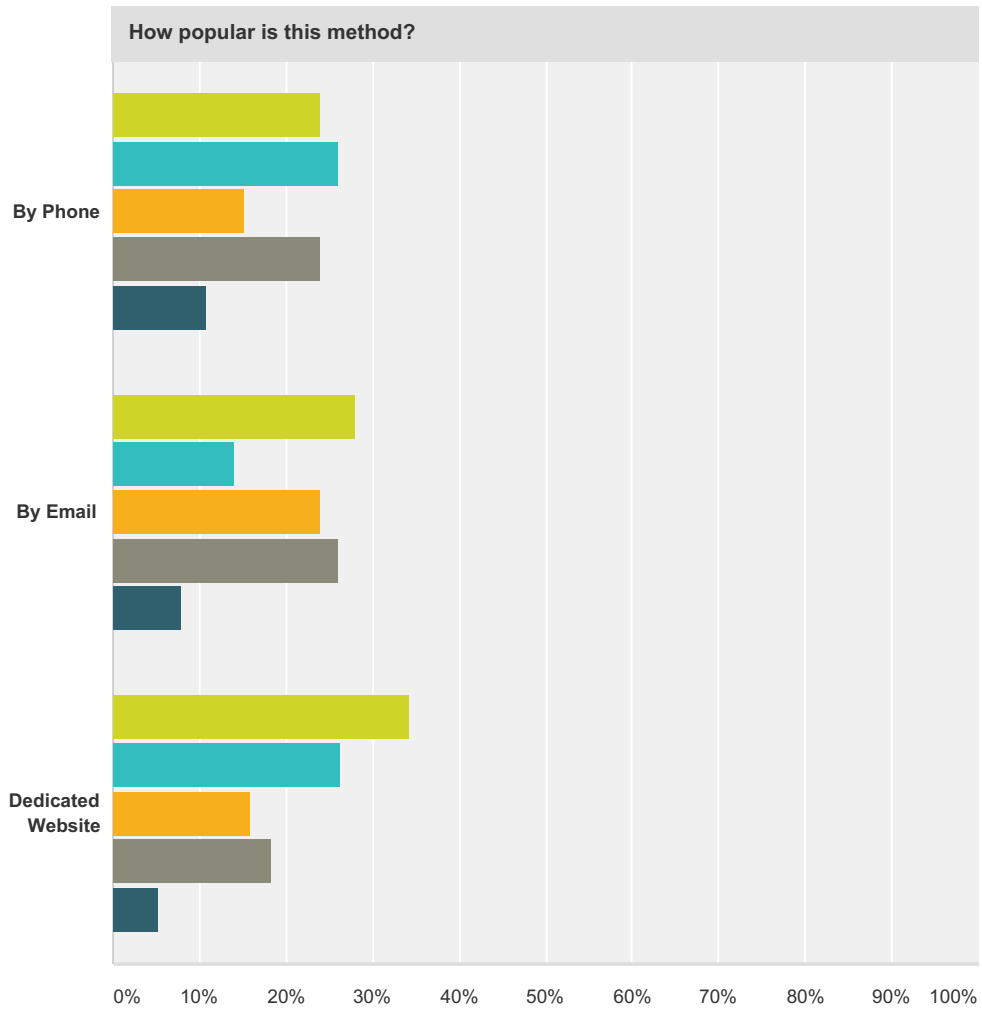
Answer Choices	Responses	
Yes	75.71%	53
No	24.29%	17
Total		70

Q10 How can your system be used?

Answered: 67 Skipped: 10



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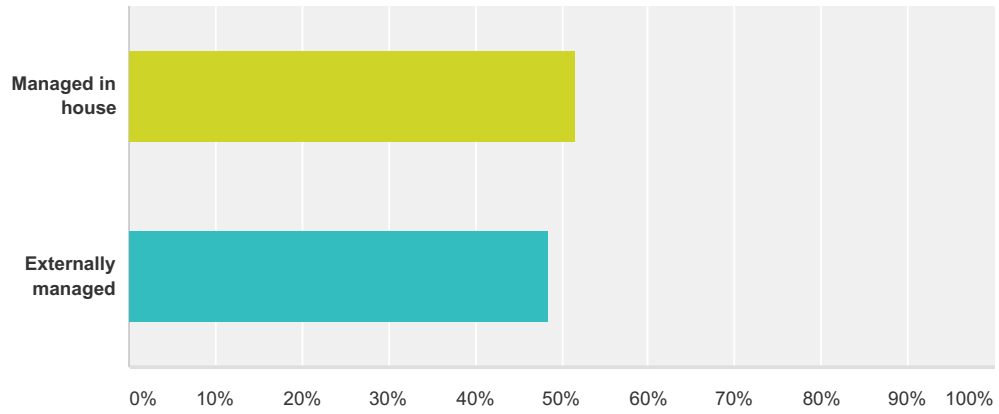


Do you use this method?			
	Yes	No	Total
By Phone	77.97% 46	22.03% 13	59
By Email	85.94% 55	14.06% 9	64
Dedicated Website	73.21% 41	26.79% 15	56

How popular is this method?						
	We receive most reports in this way	We receive a fair proportion of our reports in this way	We receive some reports in this way	We receive very few reports in this way	We receive no reports in this way	Total
By Phone	23.91% 11	26.09% 12	15.22% 7	23.91% 11	10.87% 5	46
By Email	28.00% 14	14.00% 7	24.00% 12	26.00% 13	8.00% 4	50
Dedicated Website	34.21% 13	26.32% 10	15.79% 6	18.42% 7	5.26% 2	38

Q11 Do you manage your system in-house or is it managed by an external provider?

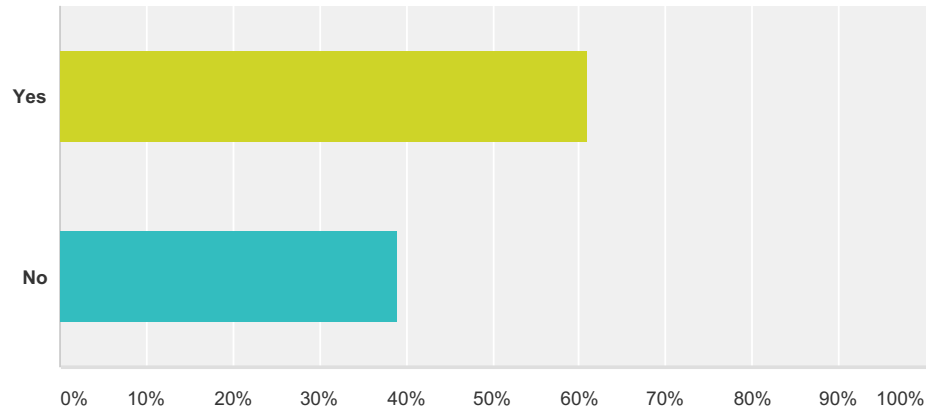
Answered: 68 Skipped: 9



Answer Choices	Responses	
Managed in house	51.47%	35
Externally managed	48.53%	33
Total		68

Q12 Can non-employees access the system?e.g. Customers or Suppliers

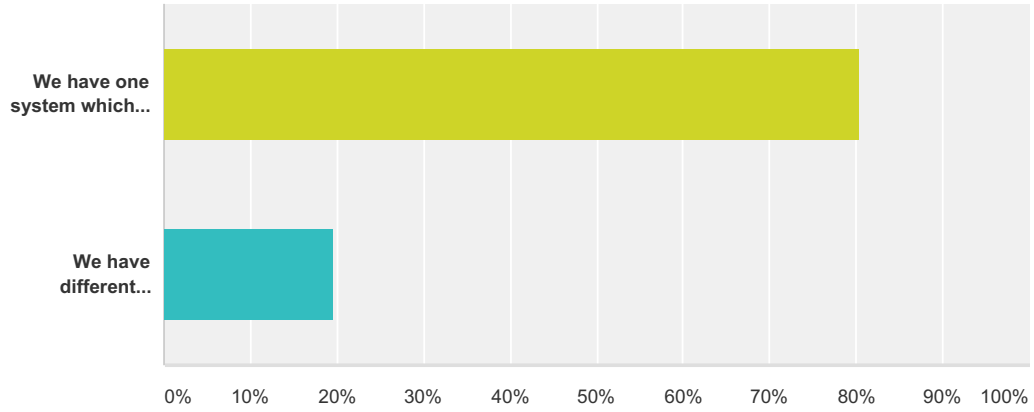
Answered: 69 Skipped: 8



Answer Choices	Responses	
Yes	60.87%	42
No	39.13%	27
Total		69

Q13 What sort of system does your company operate?

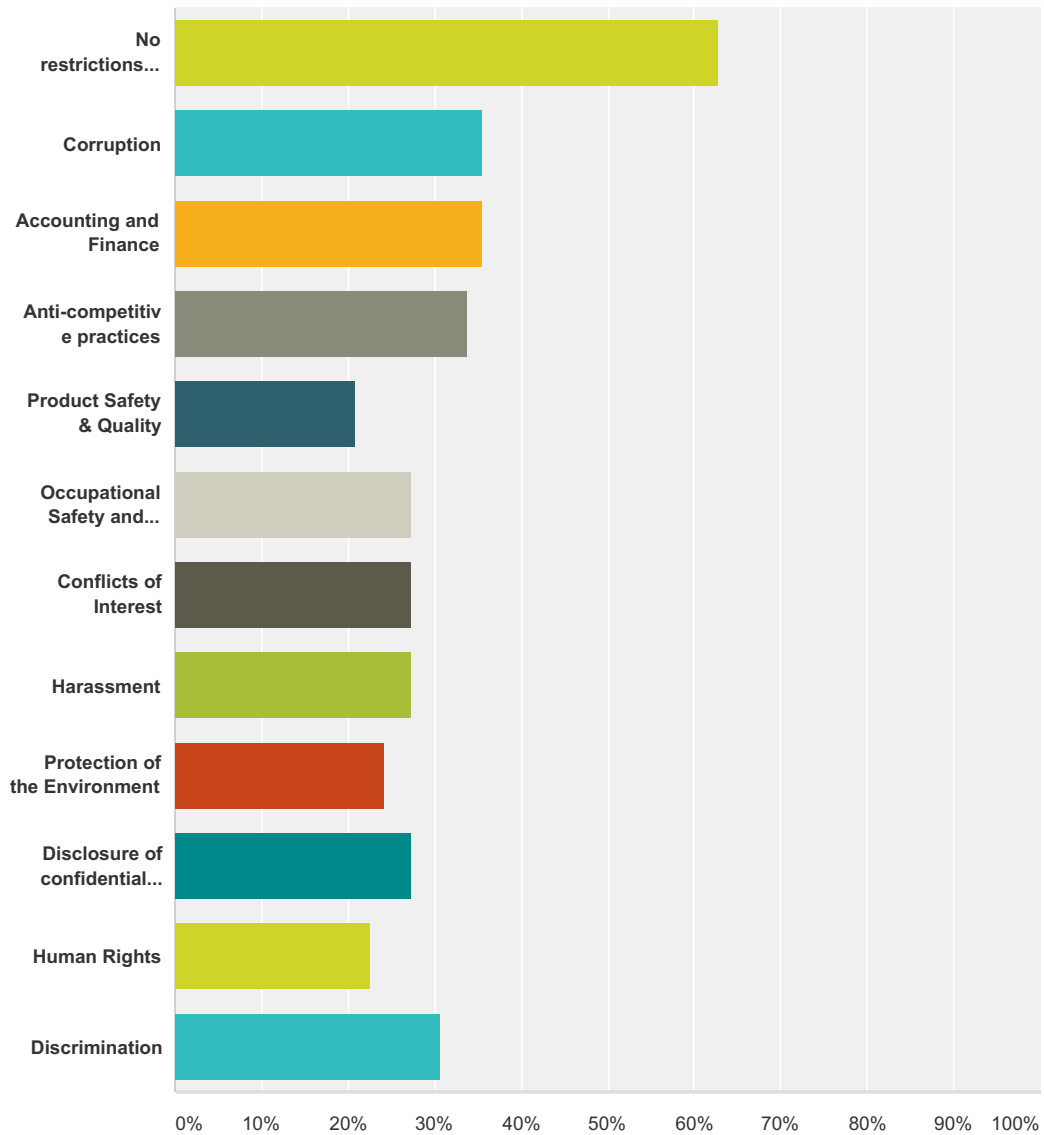
Answered: 66 Skipped: 11



Answer Choices	Responses	
We have one system which is available everywhere we operate	80.30%	53
We have different systems in different countries/markets/regions (please specify below)	19.70%	13
Total		66

Q15 What is within the scope of your system? (tick all that apply)

Answered: 62 Skipped: 15



Answer Choices	Responses
No restrictions on the type of issue which can be raised	62.90% 39
Corruption	35.48% 22
Accounting and Finance	35.48% 22
Anti-competitive practices	33.87% 21
Product Safety & Quality	20.97% 13
Occupational Safety and Employee Safety	27.42% 17
Conflicts of Interest	27.42% 17
Harassment	27.42% 17
Protection of the Environment	24.19% 15
Disclosure of confidential information	27.42% 17

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Human Rights	22.58%	14
Discrimination	30.65%	19
Total Respondents: 62		

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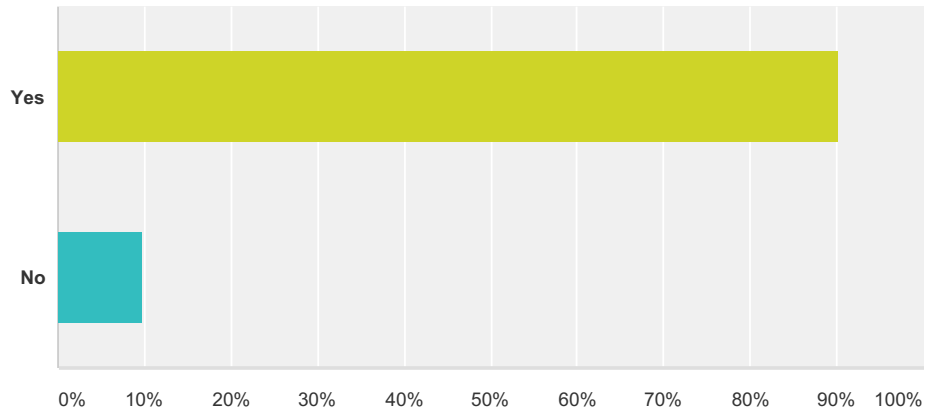
Q16 What are the top three issues reported through the speak up system?

Answered: 46 Skipped: 31

	Type of misconduct	Response rate
1	Bullying / harassment	51%
2	HR matters	41%
3	Fraud / theft	37%
4	HSSE	20%
5=	Bribery / corruption Conflicts of interest	15%

Q17 Does your organisation have a policy or principles to encourage non-retaliation against whistleblowers?

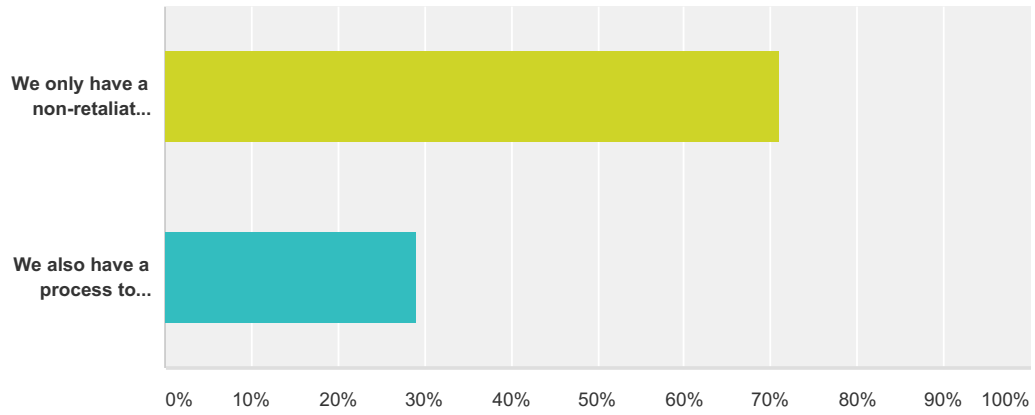
Answered: 61 Skipped: 16



Answer Choices	Responses
Yes	90.16% 55
No	9.84% 6
Total	61

Q18 If 'yes', do you have a non-retaliation policy/principles and do you monitor against retaliation?

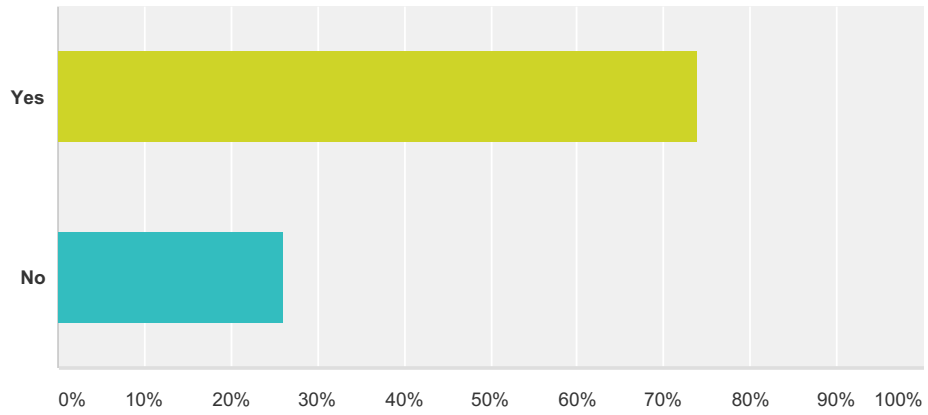
Answered: 55 Skipped: 22



Answer Choices	Responses
We only have a non-retaliation policy/principles	70.91% 39
We also have a process to monitor non-retaliation	29.09% 16
Total	55

Q22 Do you record this information by country? (Country where the event is alleged to have occurred)

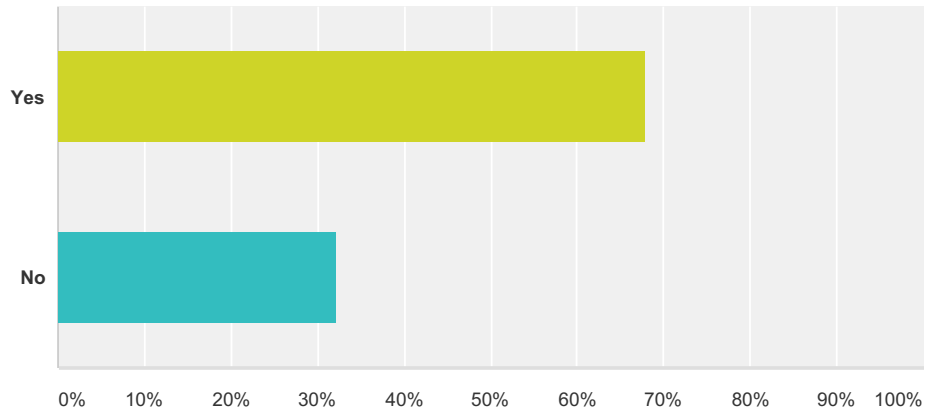
Answered: 46 Skipped: 31



Answer Choices	Responses
Yes	73.91% 34
No	26.09% 12
Total	46

Q51 Do you receive reports through other channels other than your Speak Up System?

Answered: 53 Skipped: 24



Answer Choices

Yes

No

Total

Responses

67.92%

32.08%

36

17

53

Usage Levels of Speak Up Systems in Europe

Usage level Data

2014 Answered: 36 Skipped: 41

2013 Answered: 34 Skipped: 43

2012 Answered: 29 Skipped: 48

	2014	2013	2012
Total number of contacts	232 (32 responses)	197 (31 responses)	115 (25 responses)
Number of allegations	189 (25 responses)	141 (23 responses)	44 (18 responses)
Number of enquiries	66 (22 responses)	62 (20 responses)	40 (17 responses)
Anonymity rate	40% (27 responses)	37% (24 responses)	36% (19 responses)
Conversion rate	66% (16 responses)	65% (16 responses)	58% (13 responses)
Substantiation rate	35% (20 responses)	41% (19 responses)	39% (12 responses)
Number of cases which resulted in disciplinary action being taken	38 (18 responses)	26 (17 responses)	4 (13 responses)
Reports per 1,000 employees	12.07 (24 responses)	11.18 (21 responses)	8.25 (17 responses)