

Artificial Intelligence and Proactive Compliance

Investigations in Higher Education

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Presentation Overview

Compliance in Higher Education

Artificial Intelligence and Compliance

Company Engagement during an Investigation

Artificial Intelligence and Privacy

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Operation Varsity Blues: College Entrance Cheating and Bribery Scandal



50 people charged



Parents paid \$25 million total



Cheating on entrance exams and bogus applications for athletics profiles



Scheme lasted nearly a decade



Yale University, Georgetown University, Stanford University, UCLA, University of Southern California, TEXAS and Wake Forest

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Evidence?

63. Three days later, \$50,000 was wired from a brokerage account in the name of the Abbott Family Foundation to a bank account in the name of the KWF charity. That same day, GREGORY ABBOTT left CW-1 a voicemail stating, in substance, that he had sent the wire.

155. In or about the summer of 2017, HUFFMAN and CW-1 exchanged multiple e-mails about how to obtain 100 percent extra time on the SAT for her daughters.

172. Throughout the spring and summer of 2017, CW-1 and KLAPPER exchanged e-mails about getting extra time on the ACT and SAT exams for her son. As an example, on or about June 10, 2017, KLAPPER forwarded to CW-1 a letter from the College Board that granted her son 50 percent extra time. KLAPPER wrote: "Another failed attempt at 100%. We have it for ACT. What should we do? Do these accommodations mean alternate location? Still debating our conversations too." CW-1 replied, "As long as you have ACT with 100 percent time we can take the test at an alternate site."

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Corporate Compliance challenges for Higher Education Institutions

Higher Education challenges in compliance:

- Globalization
- Regulatory environment
- Issues
 - Corporate Governance
 - Frauds
 - Anti corruption
 - Copyright
 - Safety in campus (criminal prosecution)
 - Integrity
 - Data Protection

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Artificial Intelligence



eDiscovery and machine learning



Software development / Legal Concerns



Why is Data Science relevant for compliance: business processes

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AI's impact in the Investigative Strategy

- CORPORATE ENVIRONMENT

- Subject matters experts
- Technology
- Build process to manage large amounts of data

- CORPORATE ENGAGEMENT

- Data manipulation
- Data privacy

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Corporate Investigations

- SCOPE

- Administration and Students
- Legal requirements
- Internal teams

- COMPLIANCE

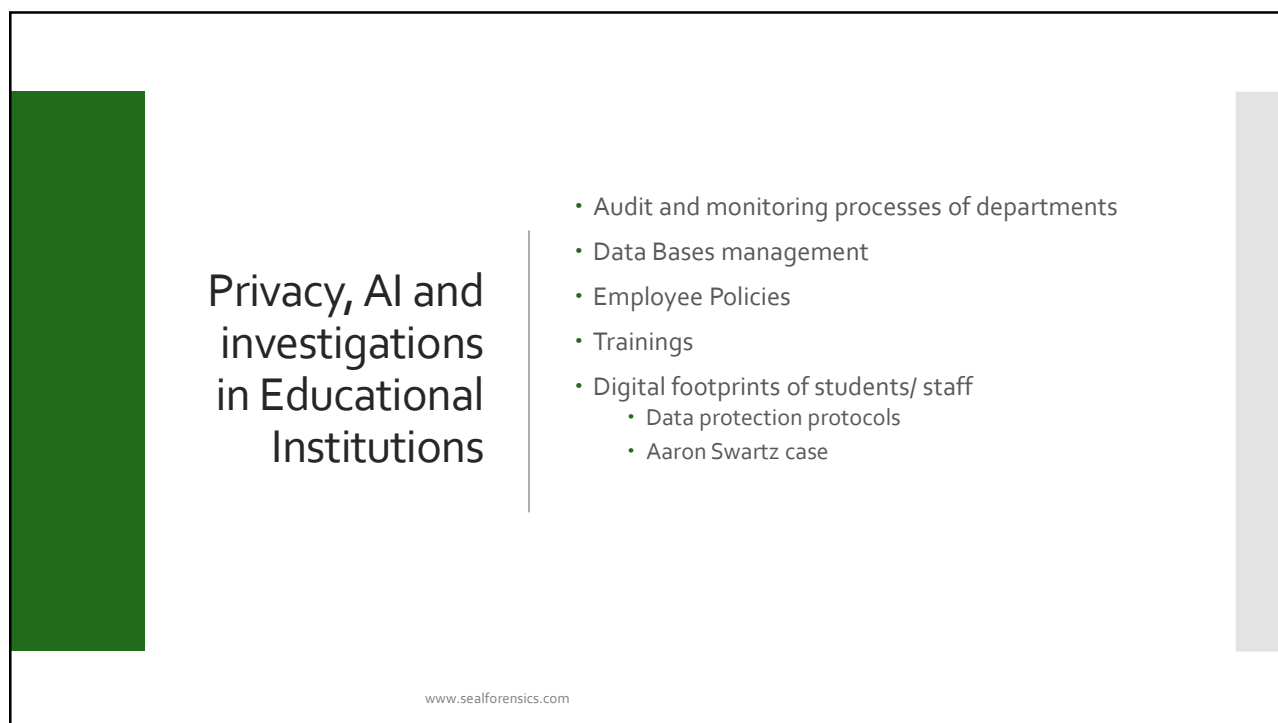
- Corporate Standards
- Regulatory Standards
- Compliance Officer

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Privacy, AI and investigations in Educational Institutions

- THE VARSITY BLUES TAKEOUTS

- Learning Disabilities
- Athlete admission
- Tests and student's excellence
- Culture of compliance
- Data management

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Questions?

Alejandra Vallejos,
avallejos@sealforensics.com

Sander van der Voorde,
svoorde@sealforensics.com

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