

USE CASE

Proactive Employee Risk Management

Gather, Track & Analyze Your Conflicts of Interest

The Challenge:

Gathering and tracking conflicts of interest (COI) and other disclosures is a key component of any risk and compliance program. However, many organizations are still relying on email, Excel or other difficult to monitor options to distribute COI policies, track attestations, and manage disclosures. These processes take significant time, unnecessary man-power, and are highly susceptible to human error. Other organizations aren't gathering COI disclosures at all – leaving them vulnerable to the many risks that come with conflicts of interest.

The Solution:

Skip the time-consuming, manual processes and streamline COI with NAVEX Global. Our COI Disclosures tool automates the distribution of your COI campaign so you can easily collect, track and report on your campaign. Combining efforts and eliminating manual tracking will save you time and money while strengthening your ethics and compliance program's audit trail and defensibility.



Process: A Simplified COI Process



After a questionnaire has been created, an email will be sent at the predefined cadence to the selected employees for completion.



Employees click the link to access the campaign. They complete the disclosure questionnaire that automatically flags potential conflicts.



Flagged conflicts will create a notification for the COI Disclosures administration to review, and tracking can begin.



When situations change throughout the year, employees can simply log into the COI Disclosures system to make amendments.

Benefits

Amendable

Situations change and it's important for your employees to be able to revisit their disclosure if, and when, these changes occur.

Audit-Ready Reporting

Reports on who have and have not completed their disclosure for each campaign is only part of the key information needed to build a successful campaign. In addition to completion reports, COI Disclosures will provide both the high-level and fine-detailed analytics needed to mitigate the risks that come with employee conflicts.

ABOUT NAVEX GLOBAL

NAVEX Global is the worldwide leader in integrated risk and compliance management software and services. Trusted by more than 14,500 customers, our solutions help organizations manage risk, address complex regulatory compliance requirements and foster an ethical, highly productive workplace culture. For more information, visit www.navexglobal.com.

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