

# Gather, Track & Analyze Conflicts of Interest

## *Easily manage the many risks that come with conflicts of interest*

Organizations must minimize the risk that can come from employees failing to adhere to policies and meet expectations regarding conflicts of interest. This is critically important because infringements can lead to bribery, insider trading, data breaches, and antitrust violations. Therefore, organizations need tools to identify, prioritize, mitigate, and provide channels for employees to disclose potential conflicts of interest. This includes board participation, gifts and entertainment, investments, outside employment, and other concerns as they arise.

NAVEX COI Disclosures™ delivers operational process efficiencies with streamlined software that allows an organization to automatically gather, track and analyze all disclosures. When conflicts are found, the tool will create a notification for the Disclosures administration to review, and tracking can begin. With a choice of customizable or templated questionnaires, our disclosure management tool will help make informed action plans to mitigate the organization's employee-based risk.

## Reduce Manual Steps with Automated Campaigns

COI Disclosures eliminates manual processes that often come with managing disclosures from end to end, and allows organizations to leverage necessary workflows for distributing, managing, and approving any concerns when they arise.

- » **Templated Questionnaires:** Best practice templates allow an organization to launch a new, standardized campaign quickly and easily.
- » **Define Disclosure Status:** Create and update questionnaire statuses to match business needs and align the process to how a team works.
- » **Amendable:** Situations change – and this tool allows employees to quickly and easily make updates to a disclosure when changes occur.

## Send the Right Message to the Right People

COI Disclosures can deliver customized questionnaires and company resources to the right individuals in their preferred language to ensure teams are aware of company expectations when faced with potential conflicts.

- » **Build Commitment:** Communicate internal policies and documents with employees and create assessments to ensure teams support the organization's expectations.
- » **Customizable Questionnaires:** For organizations that require customized questionnaires, COI Disclosures gives the flexibility to configure disclosure categories and questions. For any questions that will require additional context, optional branching questions can be incorporated into the questionnaire.
- » **Globally Optimized:** Enable teams to read and respond to disclosure questionnaires and follow tasks in their preferred language.
  - » COI Disclosures is offered in: Chinese (Simplified), Dutch, English (US), English (UK), French (Canadian), French (European), German, Italian, Japanese, Korean, Portuguese (Brazil), Russian, Spanish (Latin America), Spanish (European)

## Uncover Insights and Create Reports

With a full view of employee-based risk, COI Disclosures provides for detailed reporting and analytics to help manage, mitigate, and reduce the impact of these potential conflicts of interest.

- » **Audit-Ready:** A complete record of each disclosures campaign is automatically tracked and managed within the COI Disclosures tool – even when an employee amends their response, the organization can maintain clear insights into what changed and when.
- » **Dashboards:** Analyze each conflict and overall disclosure campaign results with intuitive at-a-glance dashboards that are audit ready.

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### ABOUT NAVEX GLOBAL

NAVEX Global is the worldwide leader in integrated risk and compliance management software and services. Our solutions are trusted by thousands of customers around the globe to help them manage risk, address complex regulatory requirements, build corporate ESG programs and foster ethical workplace cultures. For more information, visit [www.navexglobal.com](http://www.navexglobal.com).