

Compliance Program Challenges & Solutions Deminar Series

NAVEX's top leaders address best practices
and solutions for your biggest challenges



Incident Reporting & Management Workflows



Presenters



Carrie Penman

Chief Risk and
Compliance Officer
NAVEX



Todd O'Brien

Senior Solutions
Engineer
NAVEX

Agenda

- Overview & NAVEX Philosophy
- New Feature in Anonymous Reporting
- Using Workflow Management Tiers to Break Down Silos
- Questions



Anonymous Reporting

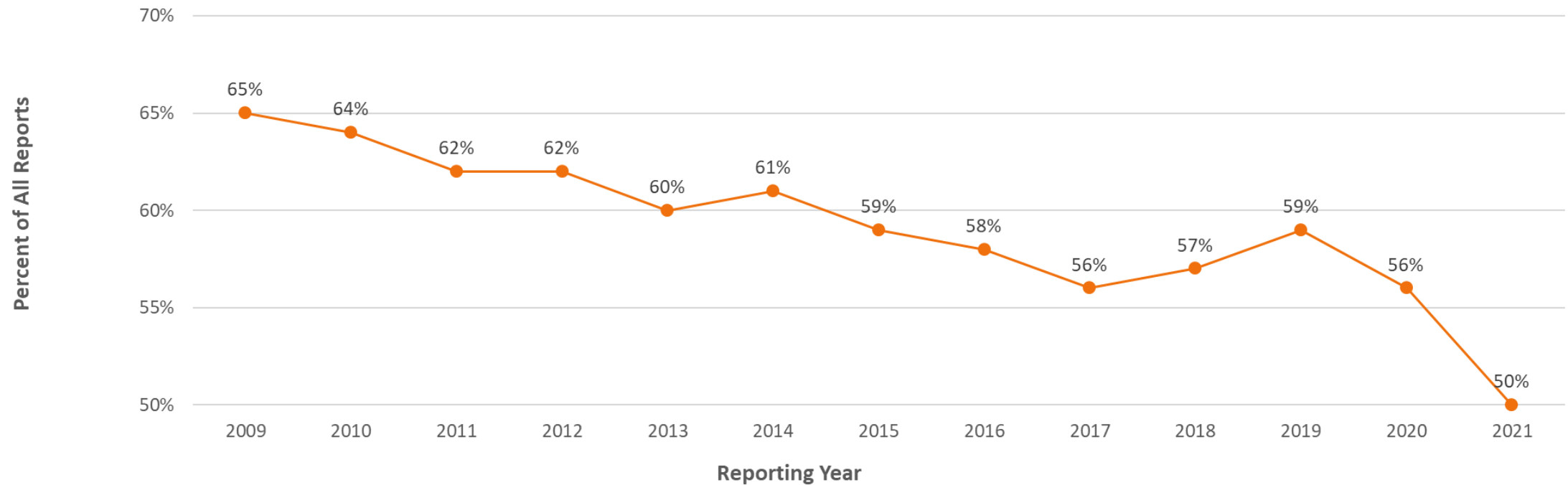
- Often a source of frustration for compliance officers and senior leadership because of the potential for missing information/data and the inability to talk directly with the reporter.
- Concerns include fear of the inability to resolve a case leaving a frustrated investigation team and a frustrated reporter.



Half of all Reports Received are Anonymous

Anonymous Reporting Rate

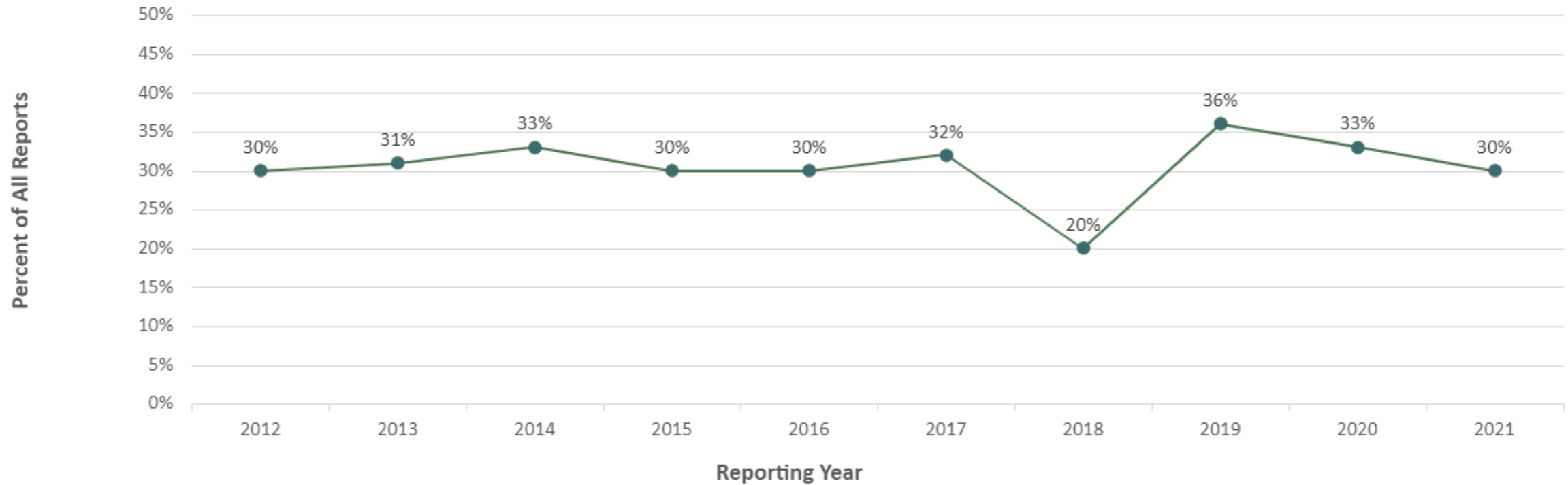
Median Reporting Value (MRV)



Follow-Up Rate of Anonymous Reports

Follow-Up Rate of Anonymous Reports

Median Reporting Value (MRV)



Let's See This In Action

Anonymous Reporter Emails

Using Workflow Management Tiers to Break Down Silos and Gather Cross-Functional Data

DOJ Guidance

- Do compliance and control personnel have sufficient direct or indirect access to relevant sources of data to allow for timely and effective monitoring and/or testing of policies, controls, and transactions?
- Do any impediments exist that limit access to relevant sources of data and, if so, what is the company doing to address the impediments?
- How has the company collected, tracked, analyzed, and used information from its reporting mechanisms?
- Does the company periodically analyze the reports or investigation findings for patterns of misconduct or other red flags for compliance weaknesses?

Let's See This In Action Multi-Tier Investigation

Benefits of Workflow Management Tiers

| | | |
|---|---|--|
| <p>Flexible tier structure</p> <ul style="list-style-type: none">· BU· Geography | <p>Consistent reporting template for all groups</p> | <p>Ability to create unique configurations</p> |
| <p>Protected access to departmental level reporting</p> | <p>Seamless access for employees</p> | <p>Cross functional review of data</p> |
| <p>Catches trends early</p> | <p>EU Directive use of tiers</p> | |

Wrap Up

In just a moment, we'll take a few questions.

Please let us know how we can help you find the right solutions for your ethics and compliance initiatives.

If you would like to speak with a NAVEX One solution expert one-on-one to discuss your program, please complete our closing survey and we'll be in touch soon.

While we have the survey up for you, let's take some questions.....

Questions?



Join our next session tomorrow morning on...

Program Performance & Impact Measurement

Hosted by Carrie Penman
Chief Risk and Compliance Officer

Thank
you.

NAVEX™

