

Hotline Incident Reporting and Case Management Workflows

Multi-tiered workflows create impactful, holistic incident management programs



NAVEX E&C[™]
ETHICS & COMPLIANCE SOLUTION



The Challenge

The secret to maintaining a leading workplace culture is one where employees feel valued and supported. A large part of that is empowering your employees to speak up when incidents occur and creating an environment where they feel their concerns are followed up on and resolved. Taking steps such as ensuring employees are trained in regulations and company expectations, have read and attested to company policies, and know where to report incidents is only part of the solution. Organizations need to help break down silos across departments and gather cross-functional data so they can see the health of their ethics and compliance program as well as look for trends to mitigate any future risks.

The Solution

An ethics and compliance (E&C) platform solution that holistically manages your compliance tasks can help to collect, distribute, and make sense of information to create and maintain healthy workplace cultures. With your hotline reports, training, policies, and COI disclosure data in the same place, a tiered incident management workflow is the final piece as it can automatically route cases to the right individuals for quicker follow-up and resolution. A centralized report database provides your organization's leadership a comprehensive, single view of all incidents to look for hot spots and plan strategies.

NAVEX One makes incident reporting simple for employees, and the investigation and remediation process seamless for program administrators.

Employee Experience for Incident Reporting

1

If a situation occurs, the employee can log into one system to check the company's policy on the matter, ask a question, or report misconduct.



If the employee has a question on the policy, they can submit a question to the document owner.

2

If they choose to report an incident, they can report anonymously or by name. They can also open a report via hotline, web intake form, and more.

3

In the same system, the employee can monitor the status of their case, answer follow-up questions, and see the outcome or remediation.



If the incident was entered anonymously, the reporter can provide an email address seen only by NAVEX to be notified by the system when there is a reply or a question.

Administrator's Approach to Case Resolution

1

Report or question is received in the system, and is routed to the right individual to answer or start an investigation.



A tiered structure can automatically route reports to different groups within an organization (such as HR or legal, location and/or business unit) as well as different types of investigations.

2

Related policies can be accessed in the same system to see what policies were active at the time and determine whether all parties involved have attested to the policy and taken the appropriate training.

3

Tasks can be created to ask an individual in a different group to interview a witness and update the case record as needed.



Access levels define which users can see and edit case information.

Administrator's Approach to Case Resolution (cont.)

4

Edits can be entered into the case file, and communications sent to the reporter for follow-up questions, status and any resolutions.



NAVEX One solution can collect an email address anonymously and use that email to notify the reporter that you want to initiate an interaction.

5

If the outcome of the report requires a change to training or policy, it can be done in the same system and deployed to the affected employees.

Leadership Audit of Cases by Location

1

With global access to all cases, a report can be generated to look across the tiers of the database to see what types of issues the organization is receiving.



The system can identify issues based on location, the issue type, by team such as a business unit, or others as configured.

2

If a potential hotspot or trend is identified, a filter can be created to see more detail.

3

With an issue identified, you can initiate remediation by distributing updated policies or deploying additional training.

How you control information from your compliance tasks and incident reports is vital to the speed and accuracy of any resulting follow-up. The NAVEX One platform enables you to organize incident cases in a flexible and configurable way so you can control the organization of data, how cases are stored, where they go, and how they're organized for access. This creates cross-functional collaboration opportunities because all this information is stored in one single repository.

See how the [NAVEX One platform](#) makes it easy to use your data to quickly close hotline reports and use a holistic view of cases to inform boards or leadership teams of any potential risks to your compliance and workplace culture.

WWW.NAVEX.COM | info@navex.com | +1866 297 0224