

# Hotline Incident Reporting and Case Management Workflows

Multi-tiered workflows create impactful, holistic incident management programmes



NAVEX E&C<sup>™</sup>  
ETHICS & COMPLIANCE SOLUTION



## The Challenge

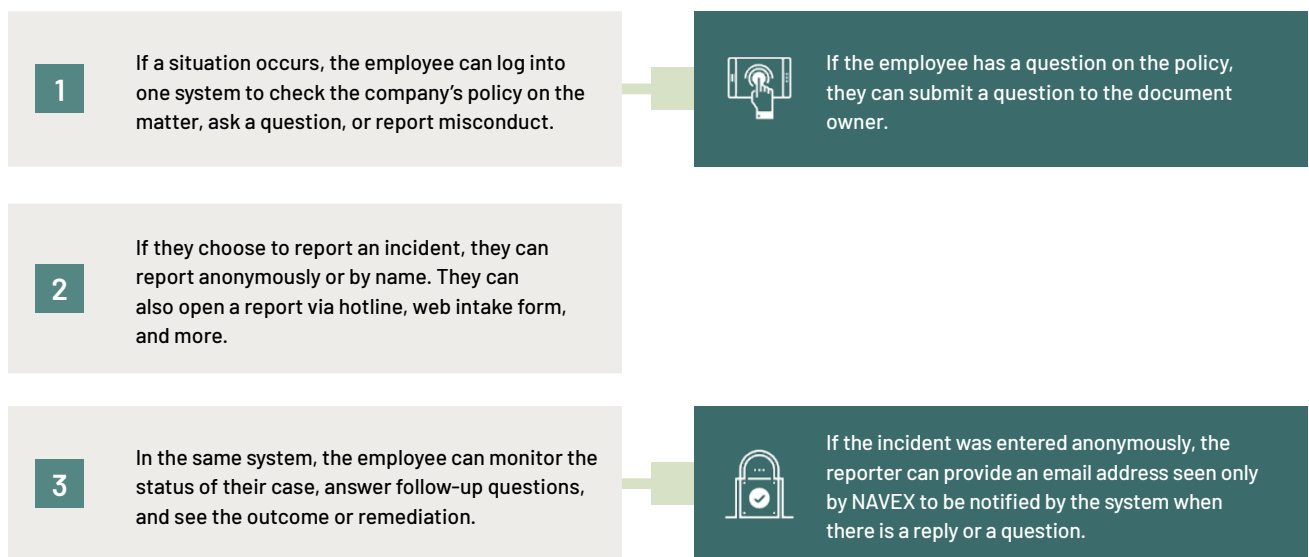
The secret to maintaining a leading workplace culture is one where employees feel valued and supported. A large part of that is empowering your employees to speak up when incidents occur and creating an environment where they feel their concerns are followed up on and resolved. Taking steps such as ensuring 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. Organisations need to help break down silos across departments and gather cross-functional data so they can see the health of their ethics and compliance programme as well as look for trends to mitigate any future risks.

## The Solution

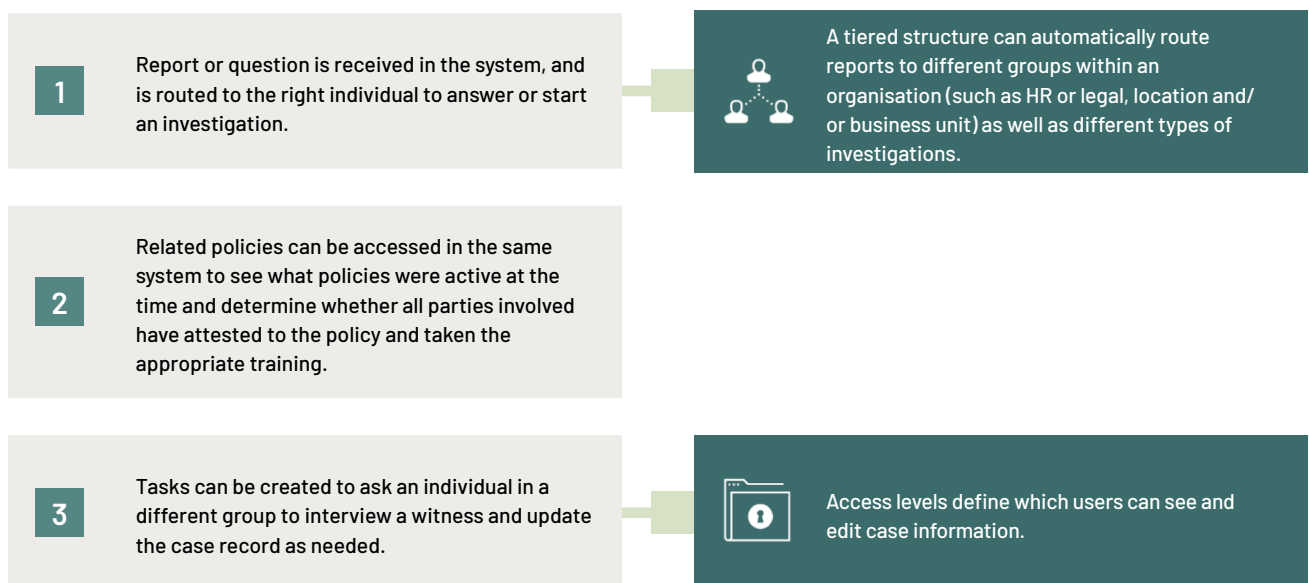
An ethics and compliance (E&C) platform solution that holistically manages your compliance tasks can help to collect, distribute, and make sense of information to create and maintain healthy workplace cultures. With your hotline reports, training, policies, and COI disclosure data in the same place, 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 organisation'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 programme administrators.

### Employee Experience for Incident Reporting



### Administrator's Approach to Case Resolution



### 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 organisation 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 organise incident cases in a flexible and configurable way so you can control the organisation of data, how cases are stored, where they go, and how they're organised 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.