

Ethics and Compliance Programme Performance & Impact Assessment

Monitor and measure your E&C programme's impact on workplace culture



NAVEX E&C[™]
ETHICS & COMPLIANCE SOLUTION



The Challenge

DOJ guidance measures the impact and performance of an ethics and compliance programme from the perspective of three questions. Is the programme well designed, is it being applied earnestly in good faith, and is it adequately resourced and empowered to function? To be ready to answer these questions your organisation needs to know how well your ethics and compliance (E&C) programme is being implemented and if it is structured to have a positive impact on your workplace culture. Part of this means knowing if your policies are current, reinforcing key learnings with impactful compliance training, and making sure your employees are reading and attesting to documents. It also means having all the information you need in one place to conduct thorough investigations when incidents occur and quickly react if programme changes are needed. This can be a big task if all your compliance tasks are handled in separate, disparate systems.

The Solution

The right ethics and compliance platform can holistically provide you with all the information that you need to create and maintain a compliant and impactful programme. This will enable you to quickly show that your compliance programme works in practice and that you have a mechanism for the timely and thorough investigation of any allegations or suspicions of misconduct. With the right E&C platform, you can review key data points like attestations from training and policies and related past incident reports, all in the same system, so you quickly see historical information on individuals or locations. This can allow for complete documentation of your responses to allegations, including any disciplinary and remediation measures taken. It also allows you to measure the impact of your programme through dashboarding and root cause analysis.

NAVEX One provides the necessary tools for you to be proactive with strategic planning after seeing where your organisation’s risk areas are – improving workplace culture and reporting to the board.

Use cross platform data to carry out a more thorough investigation for better overall programme performance

- 1** Receive incident report. For example, a report of a manager’s conflict of interest.
- 2** Before conducting interviews for the investigation, gain an understanding of whether the manager knew the policy and had been trained on COIs.
- 3** Run a report within the NAVEX One platform to find out all compliance tasks the manager completed; including COI training, policy, and a conflict of interest questionnaire.
- 4** Run a report to see if the manager has had any other misconduct reports.
- 5** Interview the manager and other relevant individuals for clarification, using the data to drive the questions.
- 6** Collect the findings, complete a synopsis of the case, including the substantiation and any root cause analyses such as policy violations into the platform
- 7** Notify the relevant parties on outcomes and close the case.

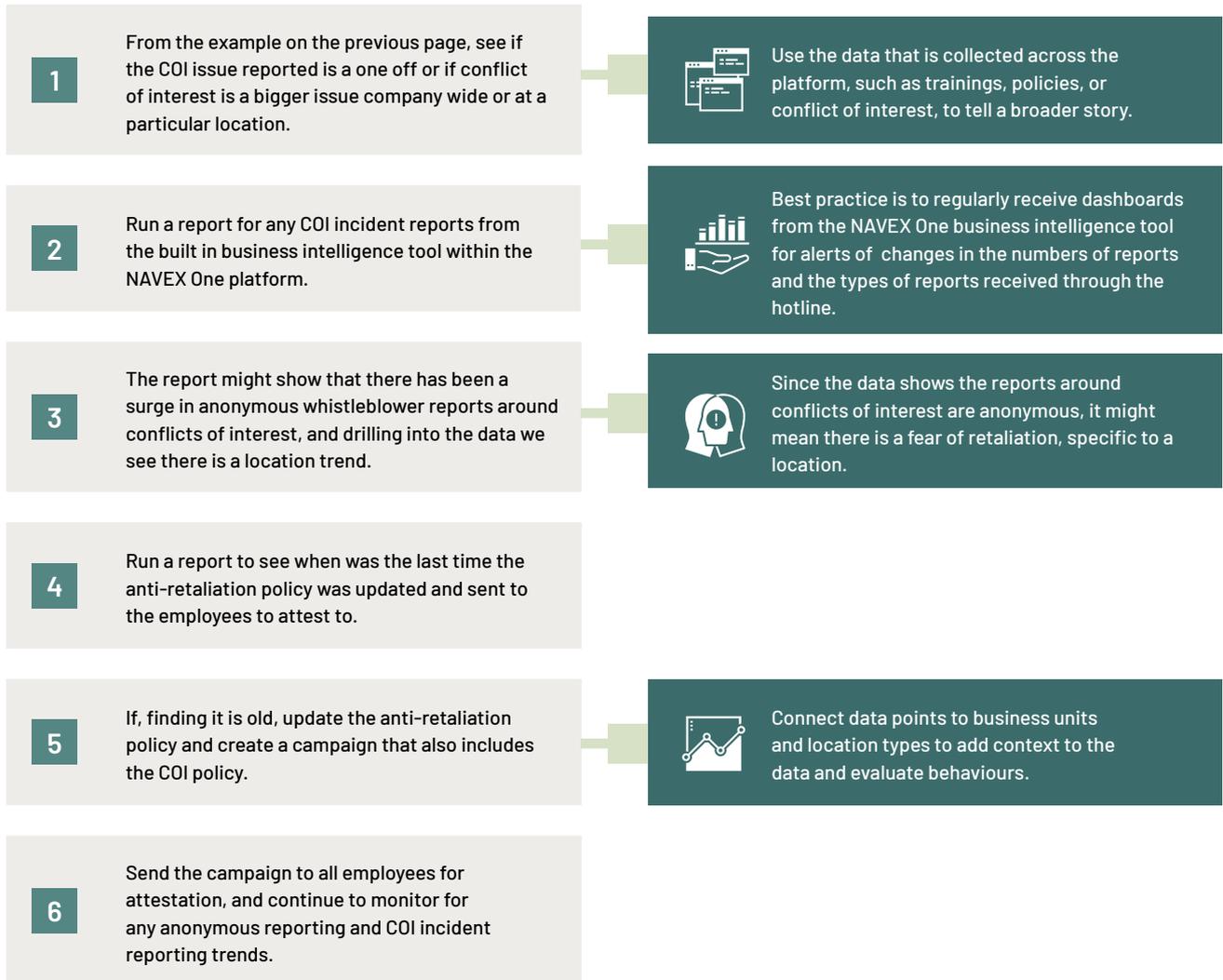


Failure to complete trainings, inaccessible or out-of-date policies, and reports not being created, could ultimately lead to risk of being fined for incidents.



The more information you have that is easily searchable, the less digging you have to do in multiple locations, and the more substantial evidence you’re going to have at your fingertips for investigations

Use platform dashboards to do root case analysis to monitor the programs impact on culture



A well-run ethics and compliance programme requires a centralised and coordinated approach across other business units to gain a better understanding of different areas of risk. Circling back to the question – does the E&C program work in practice? When all the data needed for investigations is in one location, you have actionable information at your fingertips to quick close cases and do root cause analysis.

See how the [NAVEX One platform](#) make it easy to use your data to uncover issues that let you take action to improve your compliance and workplace culture.