

# NAVEX<sup>®</sup>

GRC Insights™ | INTEGRITY DIAGNOSTICS™

## Company Name Board Report



Q1 20xx Comparisons  
& Historical Trends



# Introduction

## NAVEX® – Your Trusted Partner

NAVEX 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.

## Methodology

Our GRC Insights industry-level benchmark reports are built by slicing the data used to create our annual hotline benchmark report by industry.

We calculate every metric for each company individually, group them by industry, and then identify the median, mean, proportion and range for each metric as appropriate. The median provides a midpoint of the dataset and mitigates the influence of outliers. Means and ranges provide context to the distribution of data around each median. Proportions are utilized to show how data is spread across certain groups of metrics.

If a company's data falls into our calculated range, it is our opinion that the data is unlikely to be representative of a potential issue. If a company's data falls outside of our calculated ranges, it is still possible that there is no issue. However, we feel that this result highlights a need for further analysis.

## Integrity Diagnostics™ GRC INSIGHTS™

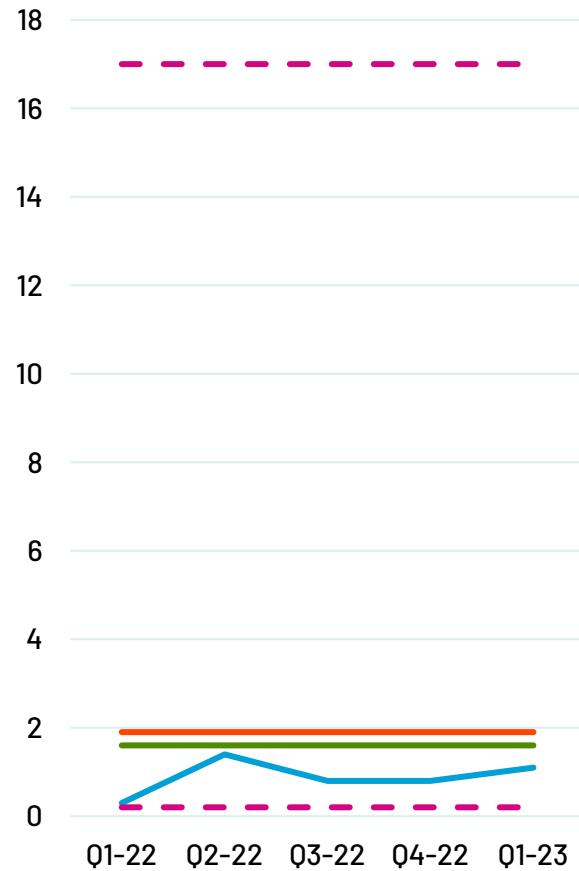
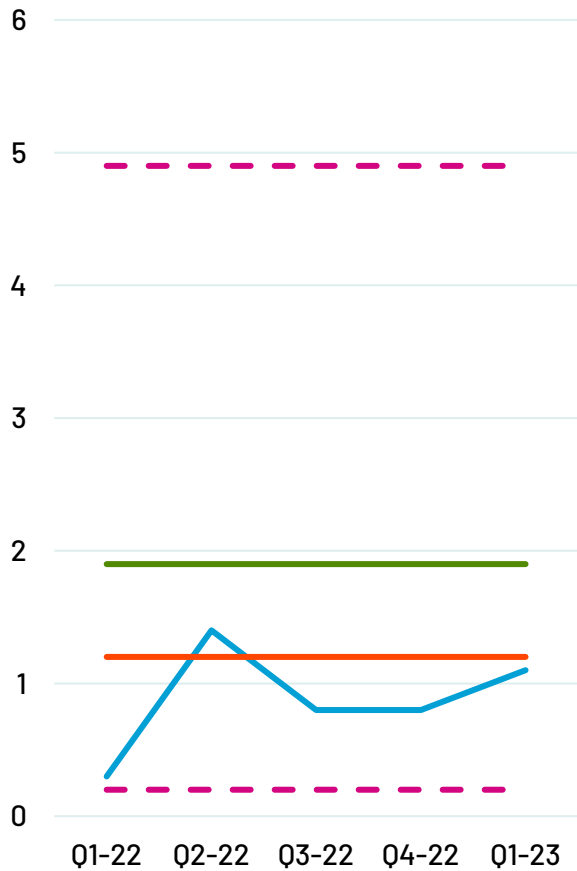
Integrity Diagnostics turns your data into actionable insights.

- Aggregate data from almost **3,500 customers** who received 10 or more reports in 2021
- Over **1.5 million reports** were captured in 2021
- Our data covers over **33 industries**

# Reports Per 100 Employees

COMPANY NAME

INTEGRITY DIAGNOSTICS™

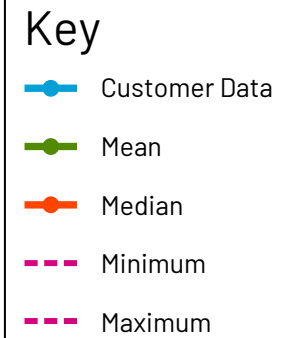


Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	107				
% Metric	0.5				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Reports per 100 Employees:

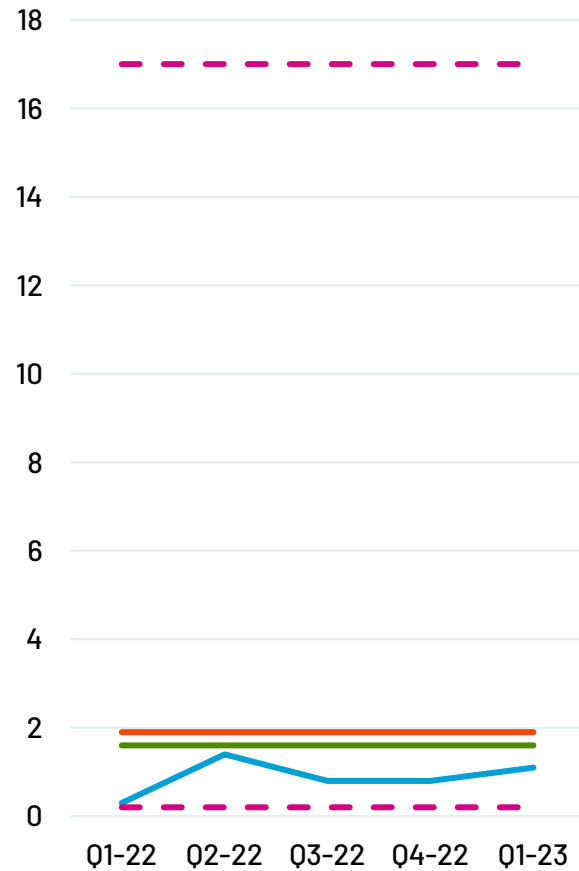
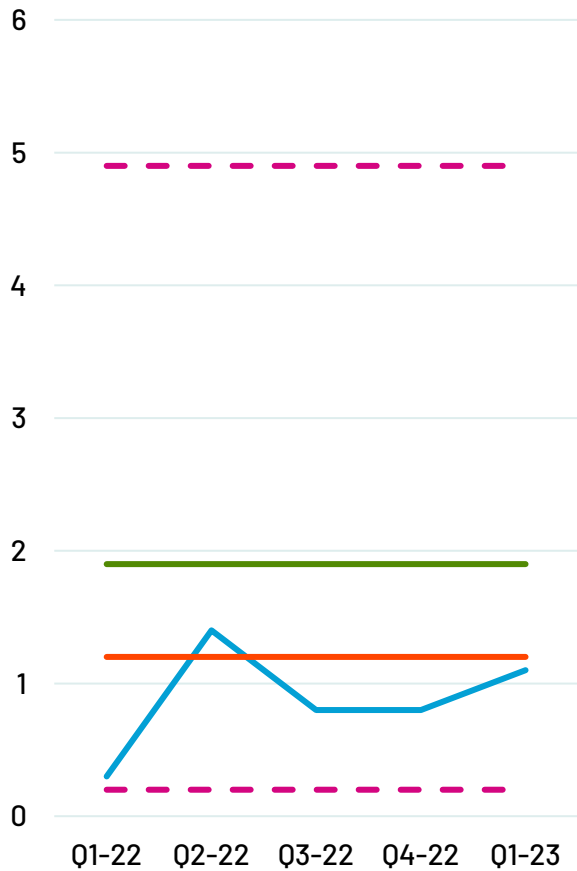
A volume metric that enables organizations of all sizes to compare their total number of unique contacts from all reporting channels including web forms, hotline, open door, mobile, email, mail and more.



# Allegations Per 100 Employees

COMPANY NAME

INTEGRITY DIAGNOSTICS™



Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	98				
% Metric	0.4				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Allegations per 100 Employees:

A volume metric that enables organizations of all sizes to compare their total number of reports that are allegations. Allegations can be concerns, issues or incidents, but exclude questions, inquiries and other report types.

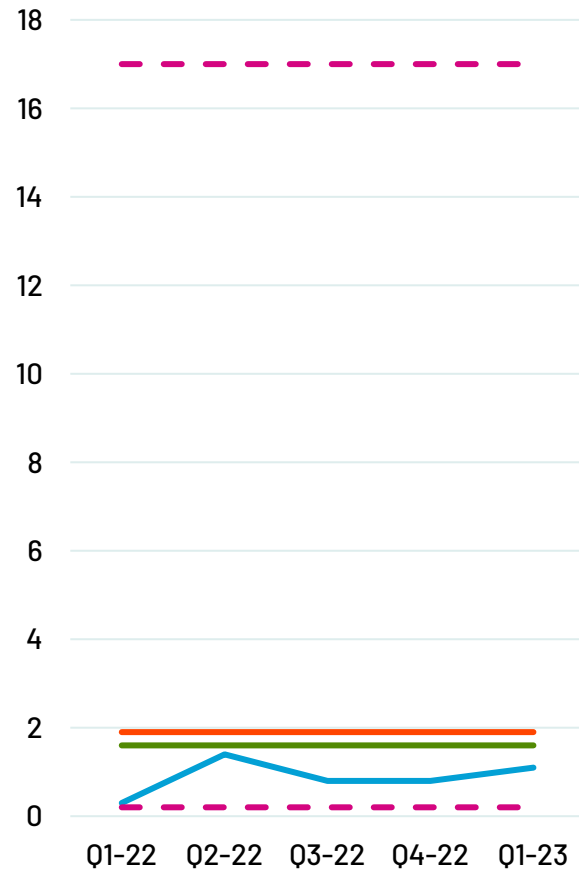
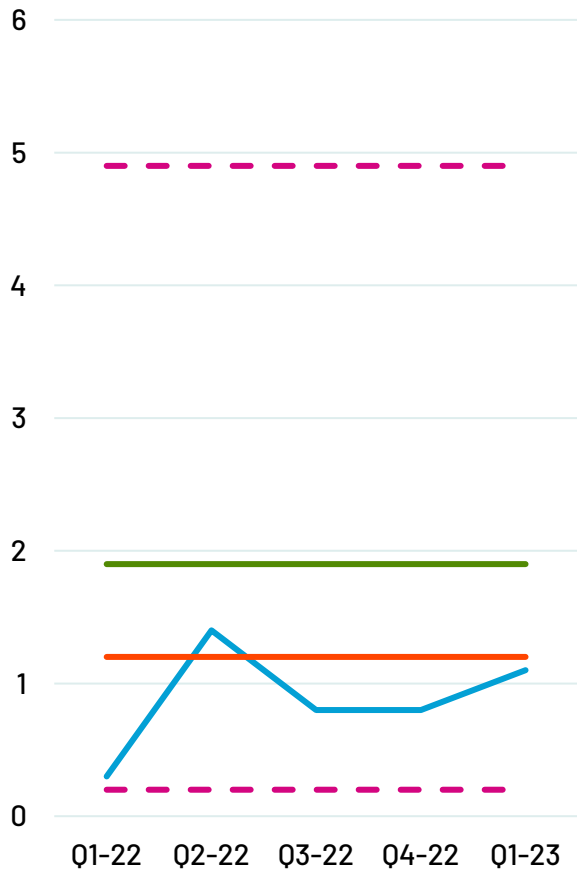
**Key**

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# Anonymous Reports

COMPANY NAME

INTEGRITY DIAGNOSTICS™



Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	76				
% Metric	71%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Anonymous Reports:

The percentage of all reports submitted by individuals who chose to withhold their identity.

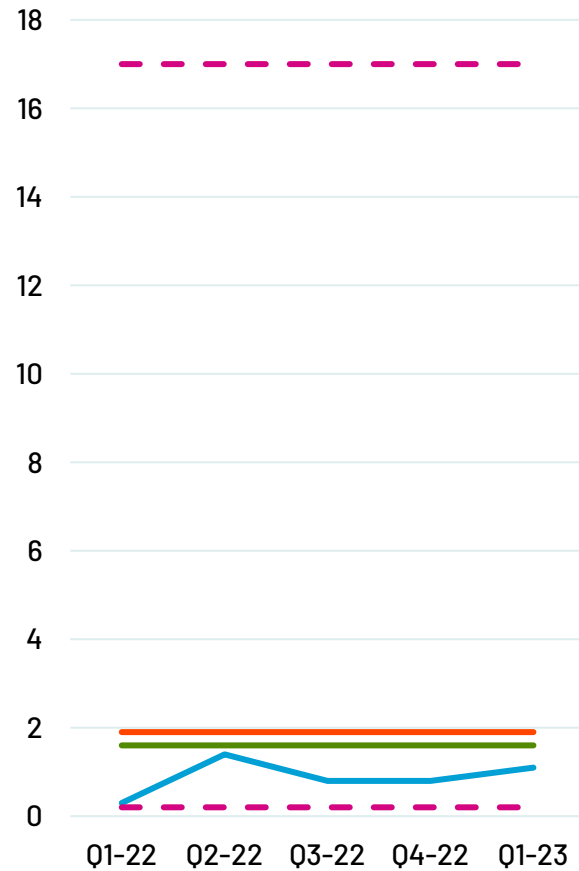
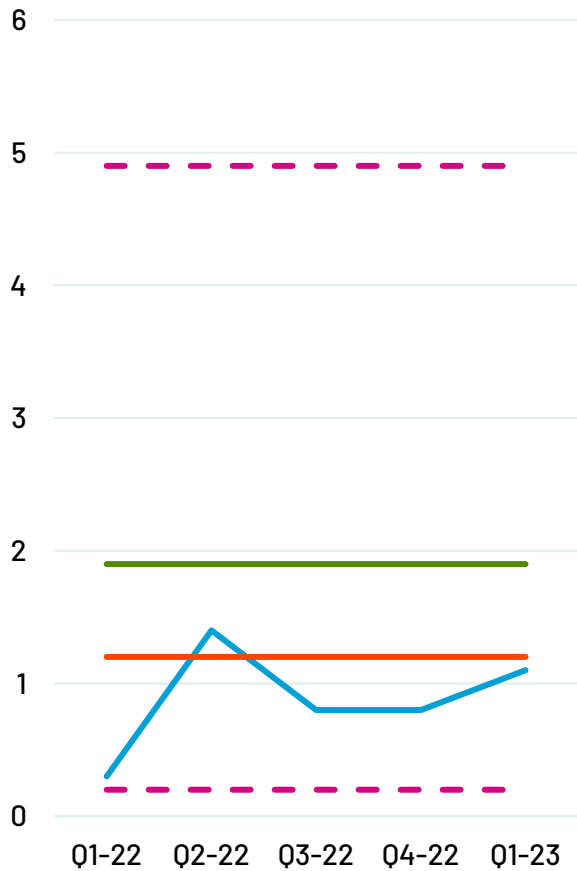
**Key**

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# Follow-ups to Anonymous Reports

COMPANY NAME

INTEGRITY DIAGNOSTICS™



Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	23				
% Metric	30%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Follow-ups to Anonymous Reports:

The percentage of reports that were submitted anonymously and that were subsequently followed-up on by the reporter.

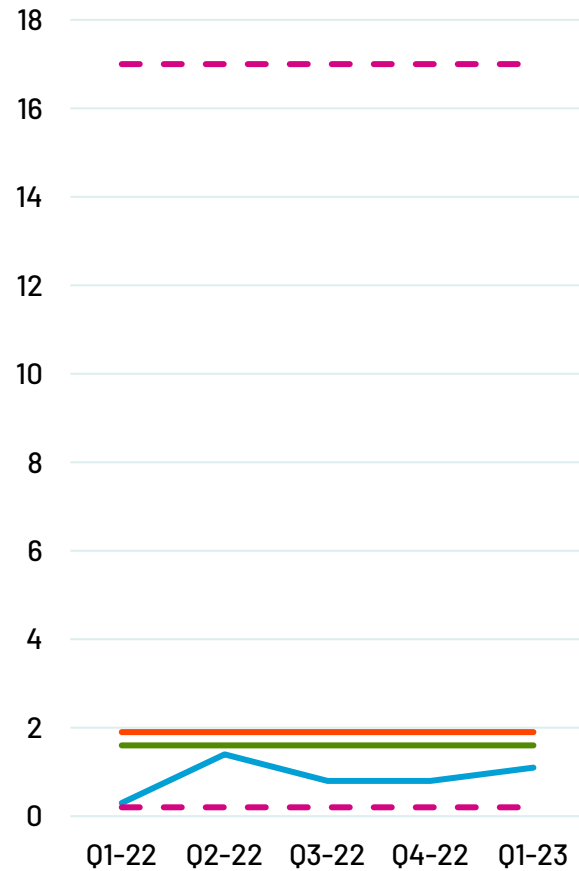
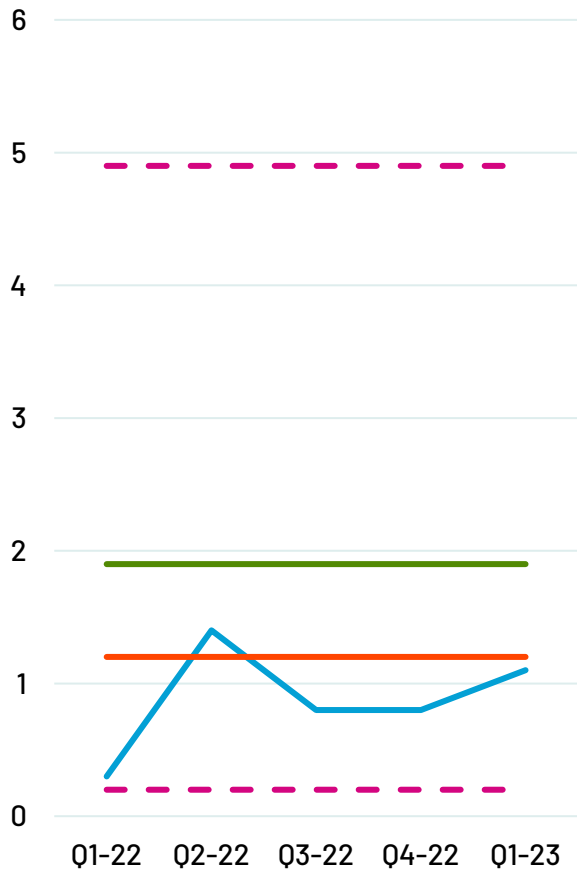
**Key**

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# Overall Substantiation

COMPANY NAME

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Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	14				
% Metric	16%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Overall Substantiation:

Percentage of all reports (named or anonymous) that are (fully or partially) substantiated.

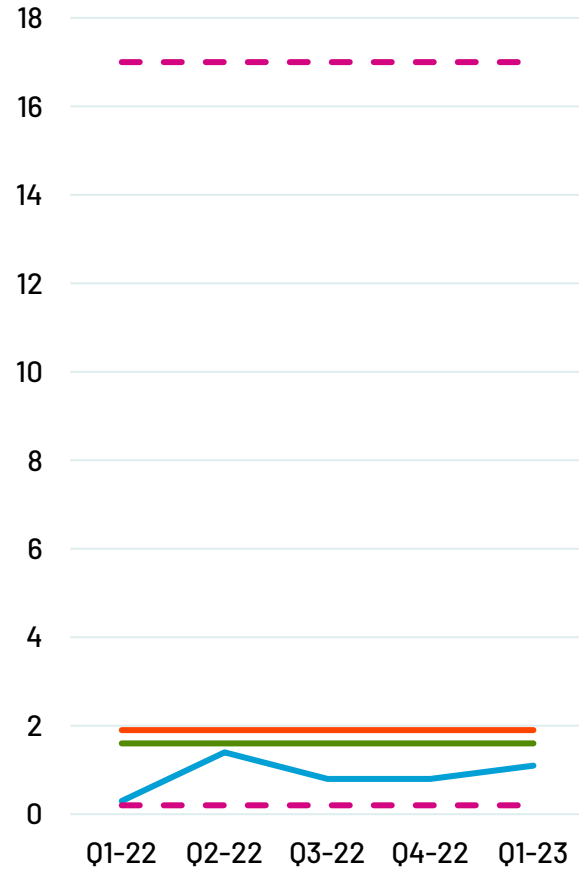
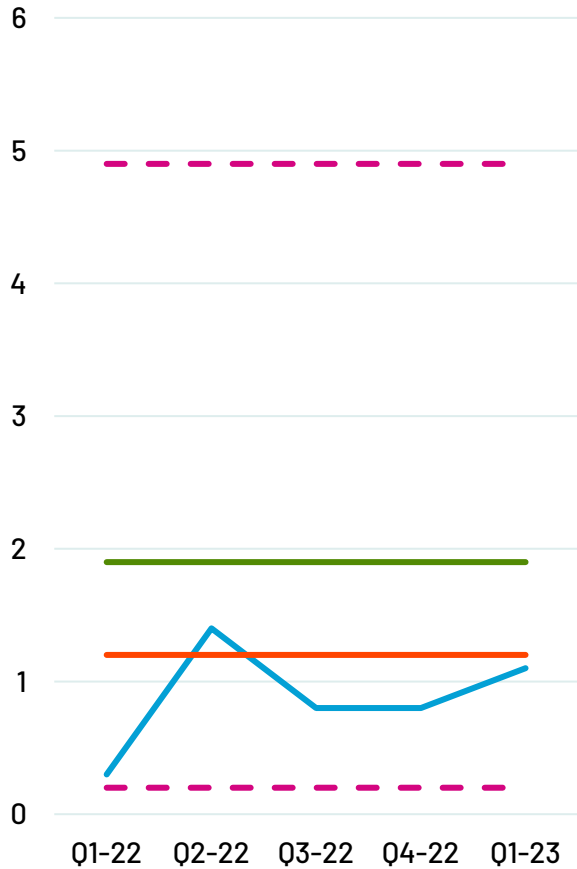
**Key**

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# Substantiation of Named Reports

COMPANY NAME

INTEGRITY DIAGNOSTICS™

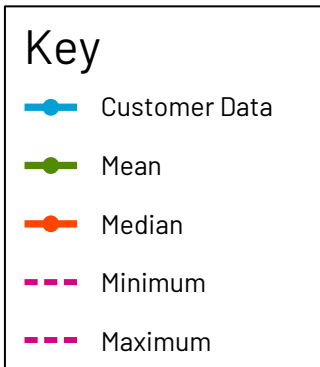


Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	3				
% Metric	11%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Substantiation of Named Reports:

Percent of reports from named reporters that are (fully or partially) substantiated.

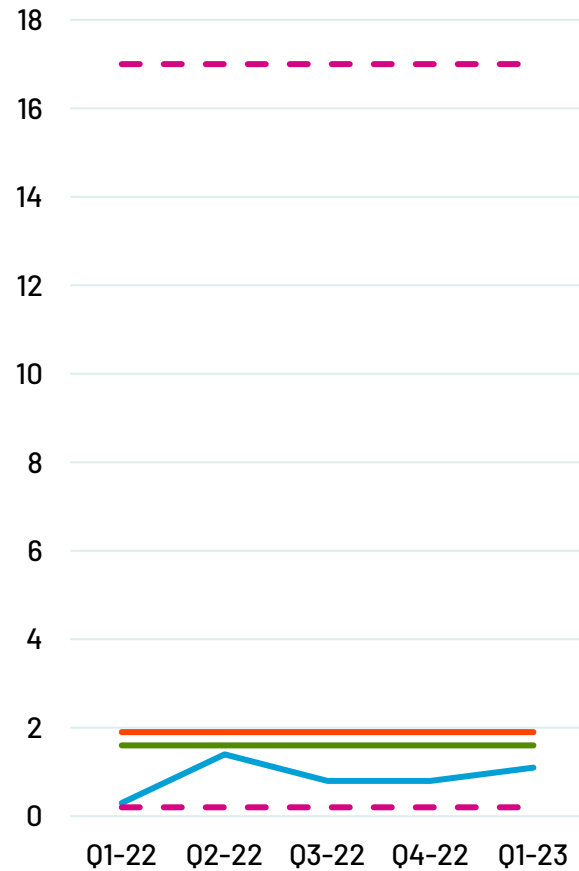
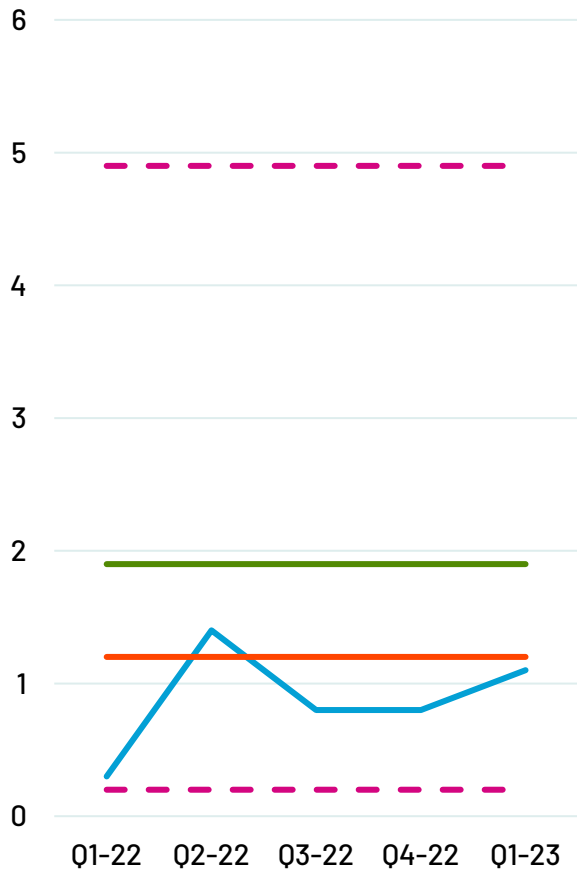




# Substantiation of Anonymous Reports

COMPANY NAME

INTEGRITY DIAGNOSTICS™

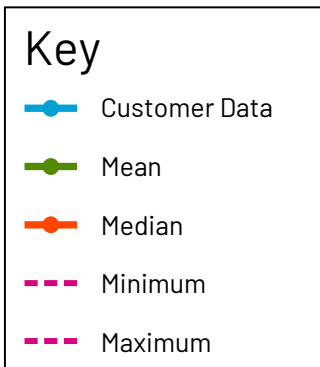


Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	11				
% Metric	17%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Substantiation of Anonymous Reports:

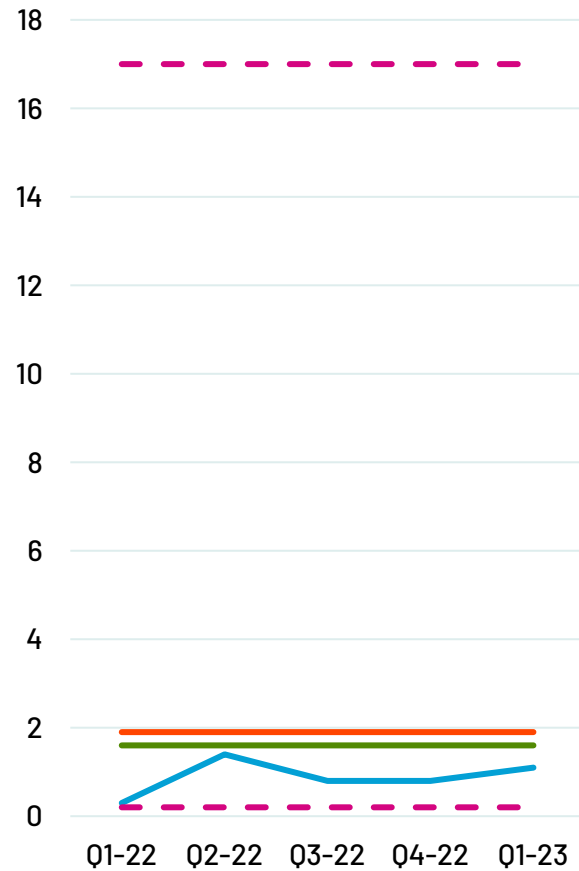
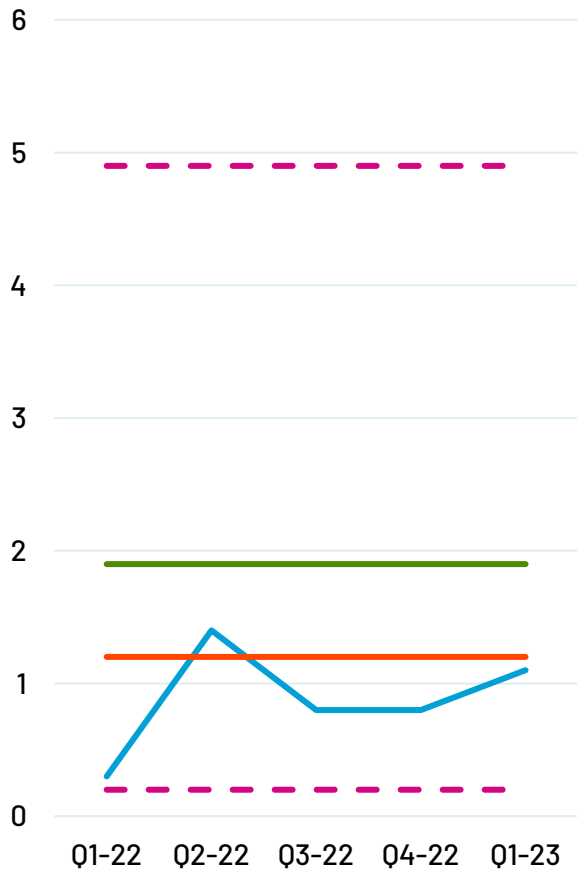
Percent of reports from anonymous reporters that are (fully or partially) substantiated.



# Case Closure Time (in Days)

COMPANY NAME

INTEGRITY DIAGNOSTICS™

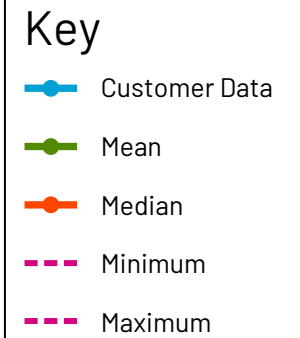


Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	67				
% Metric	-	-	-	-	-

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Case Closure Time (In Days):

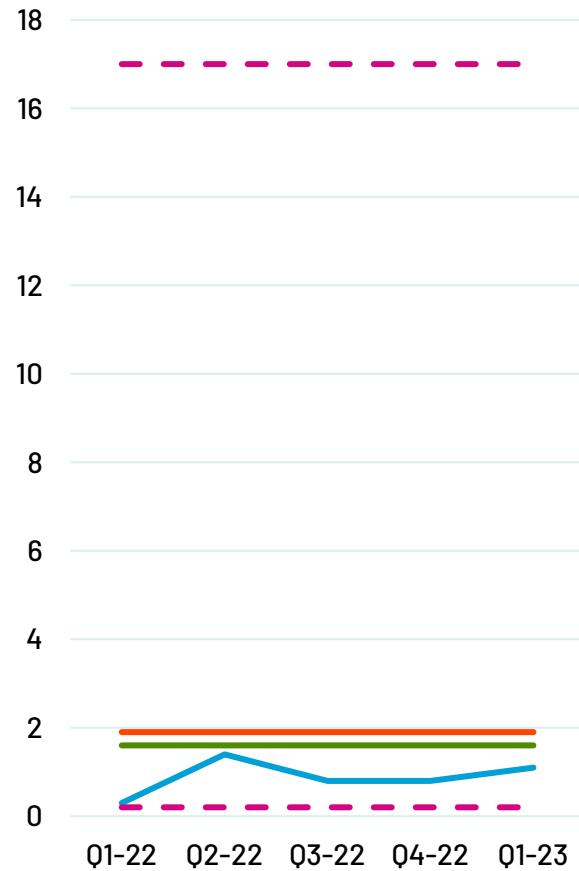
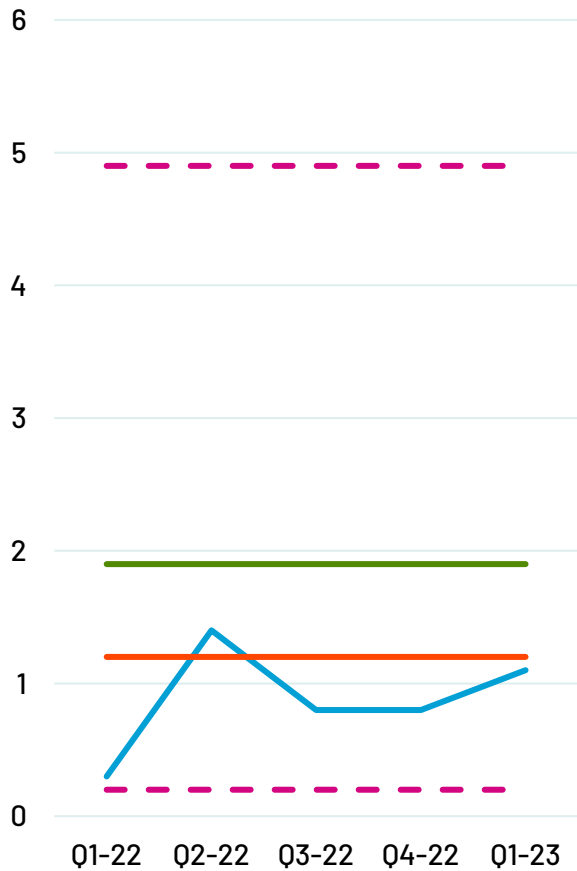
Number of calendar days it takes an organization to close a case.



# Reports Submitted via Hotline

COMPANY NAME

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Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	55				
% Metric	51%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Reports Submitted via Hotline:

Percent of all reports submitted via hotline.

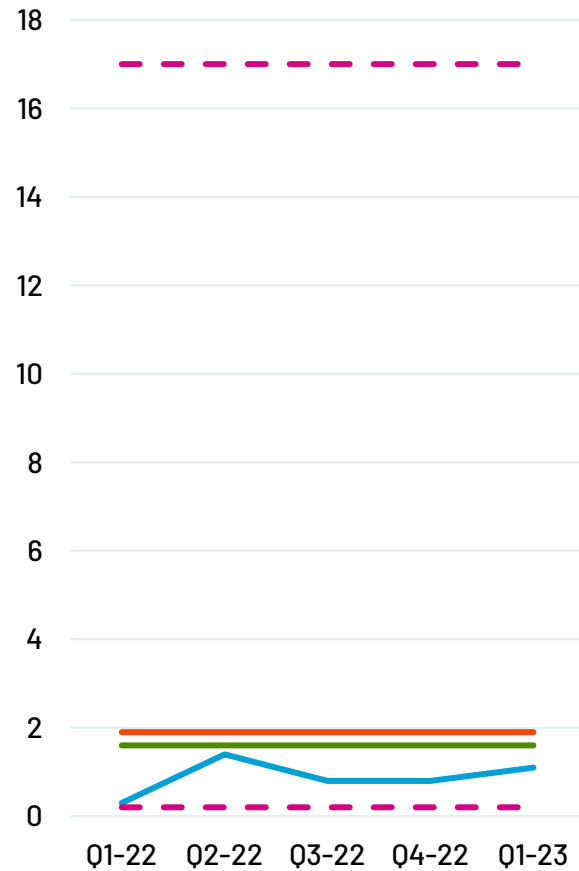
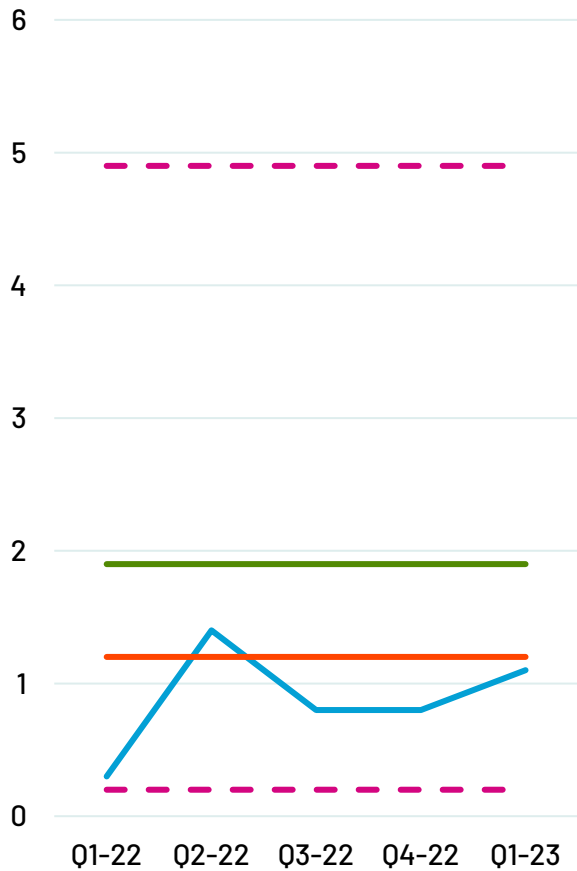
**Key**

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# Reports Submitted via Web

COMPANY NAME

INTEGRITY DIAGNOSTICS™



Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	48				
% Metric	45%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Reports Submitted via Web:

Percent of all reports submitted online.

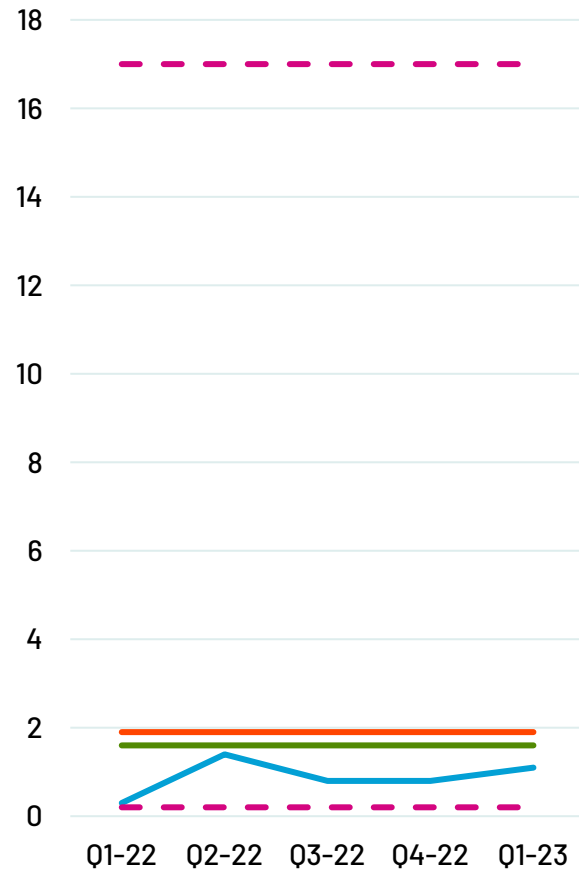
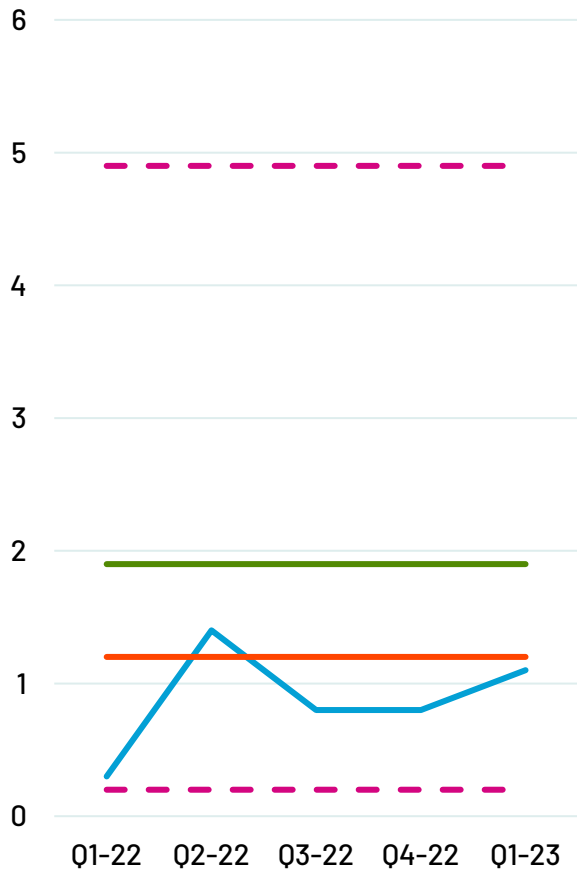
**Key**

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# Reports Submitted via Other

COMPANY NAME

INTEGRITY DIAGNOSTICS™



Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	4				
% Metric	4%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Reports Submitted via Other:

Percent of all reports submitted in 'other' ways (ethics office open door, email, postal mail, fax, manager submissions, etc.).

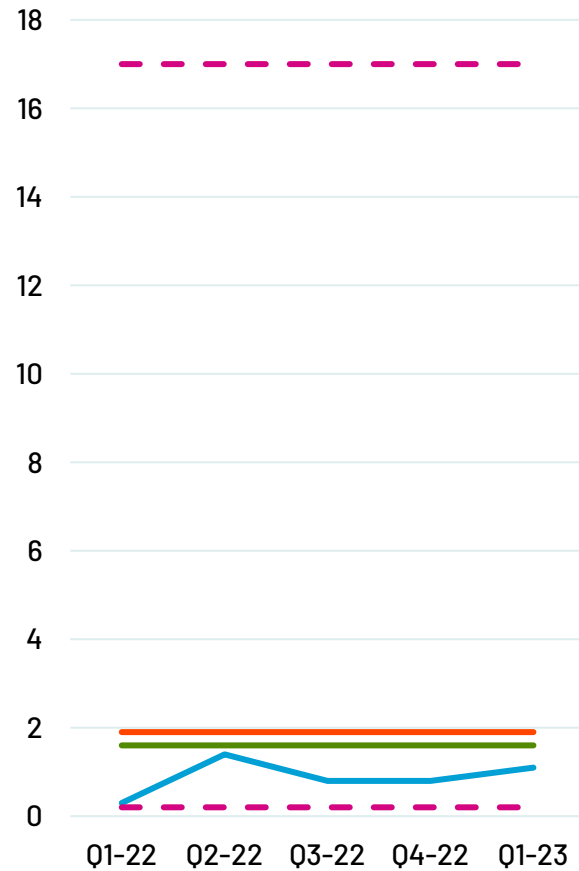
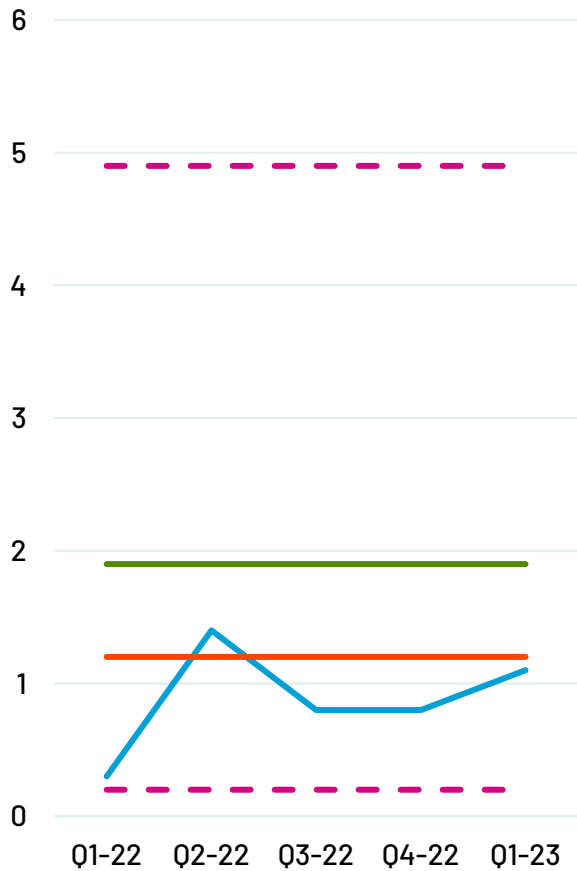
### Key

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# Accounting, Auditing & Financial Reporting

COMPANY NAME

INTEGRITY DIAGNOSTICS™



Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	4				
% Metric	4%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Accounting, Auditing & Financial Reporting:

Reports that pertain to these functions in an organization (e.g., financial misconduct, internal controls or expense reporting).

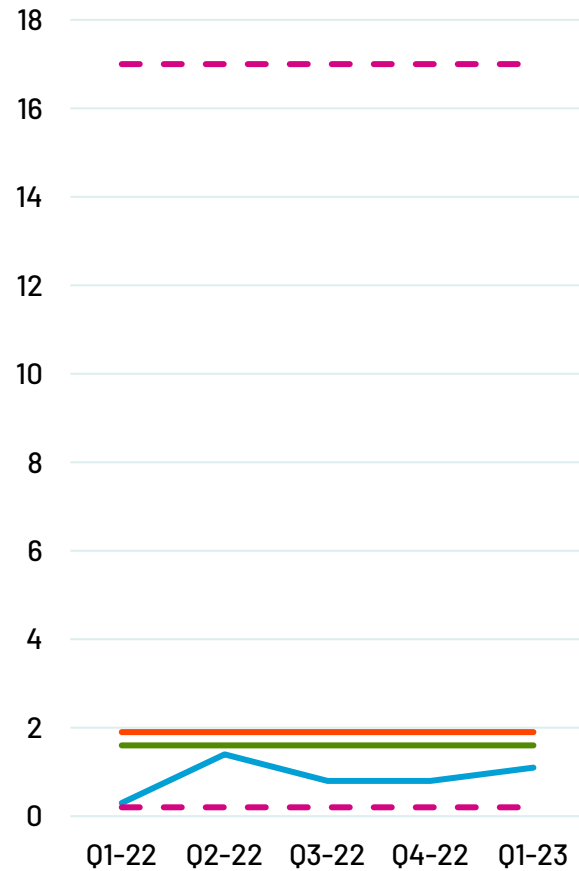
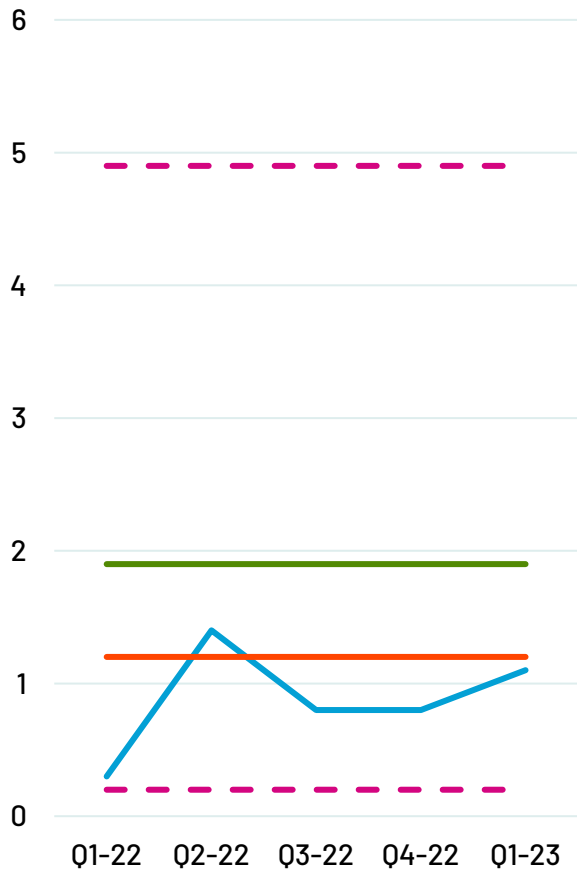
### Key

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# Business Integrity

COMPANY NAME

INTEGRITY DIAGNOSTICS™



Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	4				
% Metric	4%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Business Integrity:

Reports that show how an organization interacts with third-parties, legislation, patients or customers (e.g., bribery, falsification of documents, fraud, COI, vendor/ customer issues or HIPAA).

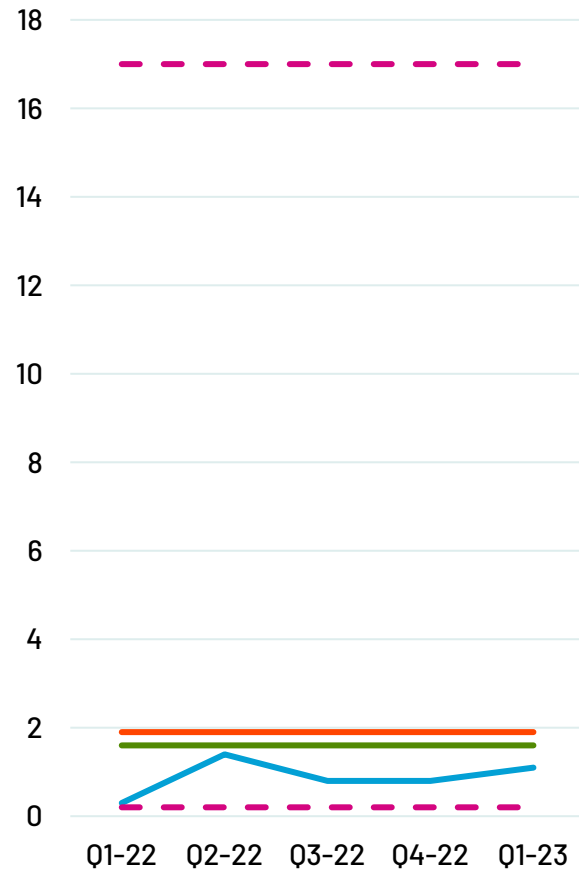
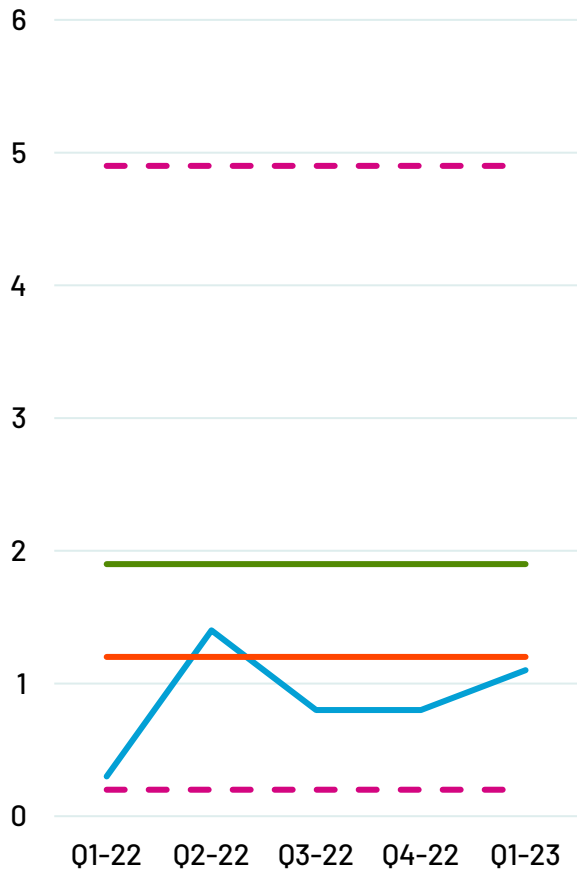
### Key

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# HR, Diversity & Workplace Respect

COMPANY NAME

INTEGRITY DIAGNOSTICS™



Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports					
% Metric					

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## HR, Diversity & Workplace Respect:

Reports that indicate internal interactions with policies, employee relations or misconduct (e.g., discrimination, harassment, retaliation, compensation, and general HR, but not cases marked as "other").

**Key**

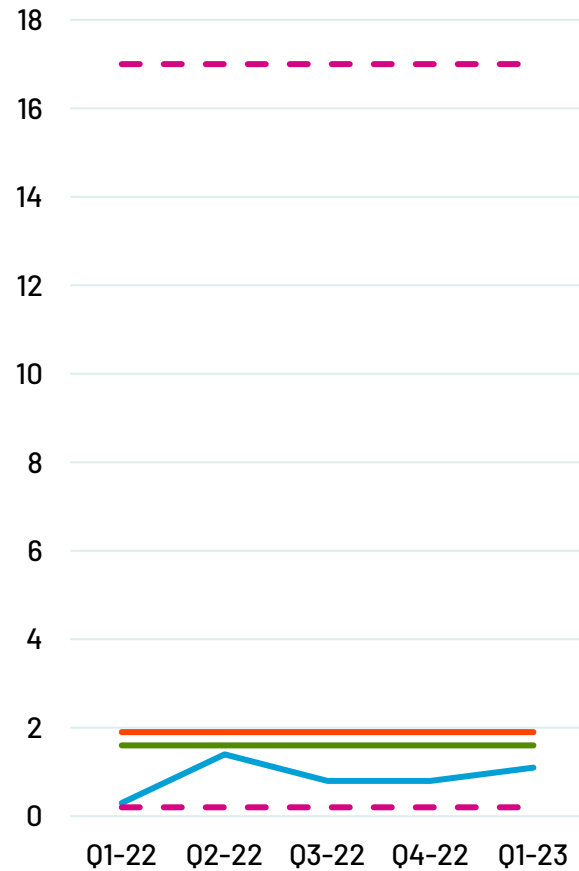
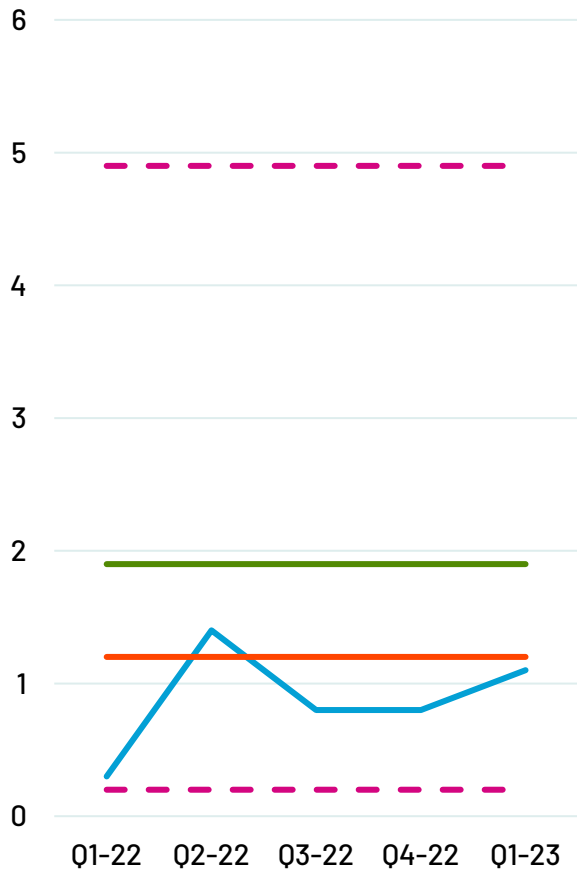
- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum



# Environment, Health & Safety

COMPANY NAME

INTEGRITY DIAGNOSTICS™



Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	15				
% Metric	14%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Environment, Health & Safety:

Reports that involve an element of safety typically pertaining to employees, environmental regulations or workplace health (e.g., EPA compliance, assault, safety, OSHA or substance abuse).

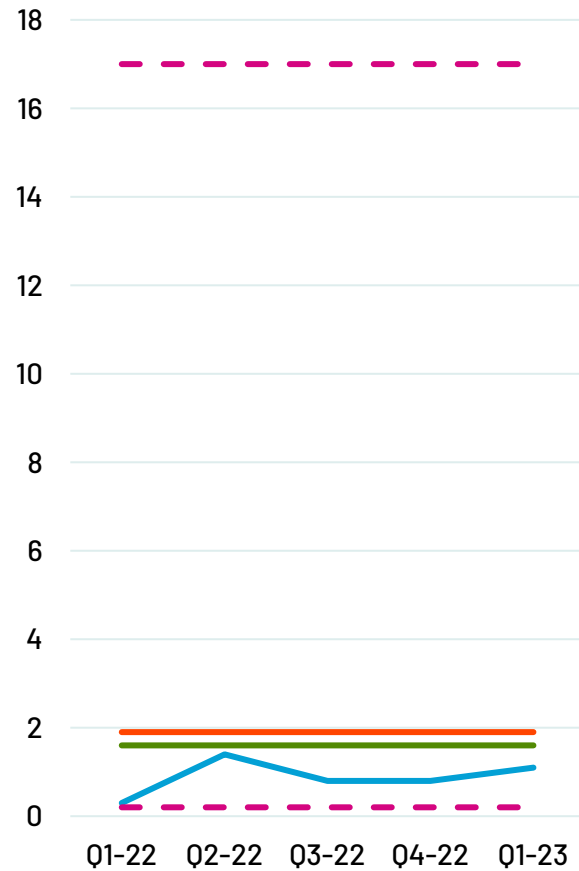
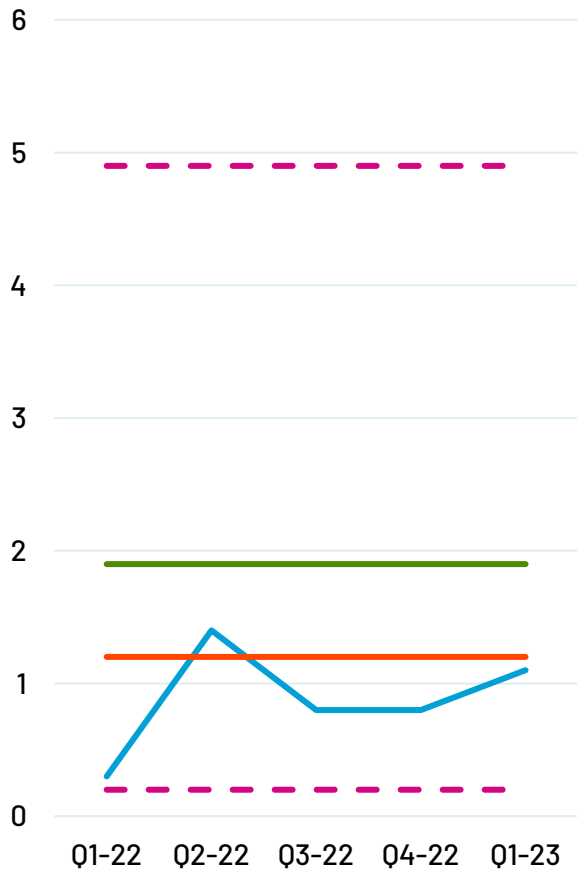
**Key**

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# Misuse, Misappropriation of Corporate Assets

COMPANY NAME

INTEGRITY DIAGNOSTICS™



Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports	4				
% Metric	4%				

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Misuse, Misappropriation of Corporate Assets:

Reports that specify company assets or time being wasted or used in a manner other than what is expected (e.g., employee theft or time clock abuse).

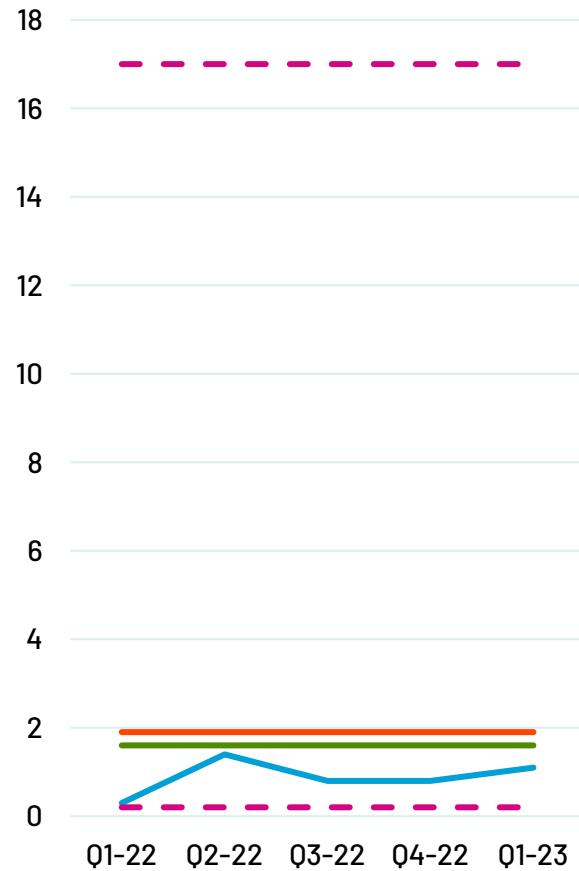
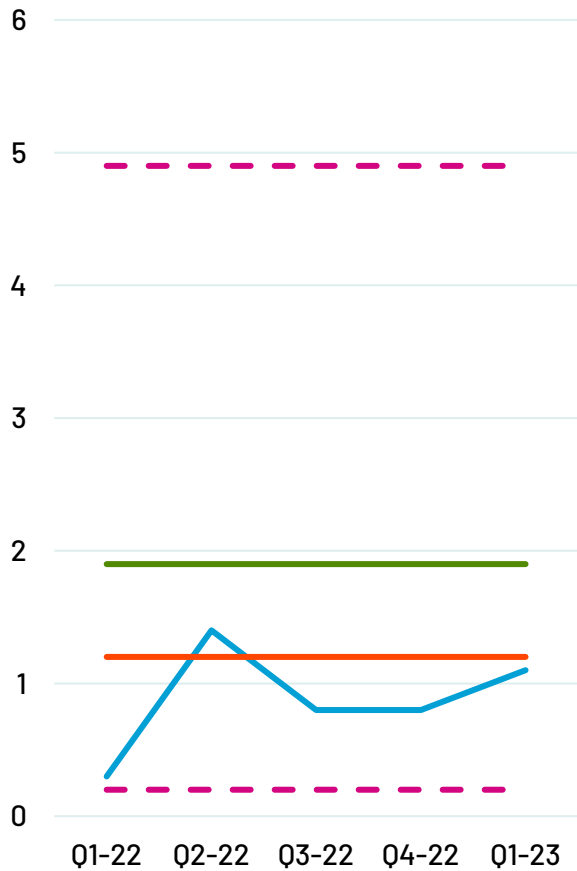
**Key**

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# Other

COMPANY NAME

INTEGRITY DIAGNOSTICS™



Customer Data	Q1 22	Q2 22	Q3 22	Q4 22	Q1 23
# of Reports					
% Metric					

2022 Industry Data	Industry Data	All Industry Data
Mean		
Median		
Range		

## Other:

Reports that are difficult to classify in any of our standard categories. Historically these reports were included in the HR, Diversity and Workplace Respect category, but are now separated for more precise analysis. (e.g. too few snacks in the breakroom)

### Key

- Customer Data
- Mean
- Median
- - - Minimum
- - - Maximum

# Q1 20XX-Q1 20XX Data

INTEGRITY DIAGNOSTICS™

	Q1 2022		Q2 2022		Q3 2022		Q4 2022		Q1 2023	
	# of Reports	% Metric	# of Reports	% Metric	# of Reports	% Metric	# of Reports	% Metric	# of Reports	% Metric
Reports per 100 Employees	268	1.4	154	0.8	152	0.8	199	1.1	268	1.4
Allegations per 100 Employees	158	0.9	120	0.6	143	0.8	181	1.0	158	0.9
Anonymous Reports	150	56%	100	65%	82	54%	45	23%	150	56%
Follow-ups to Anonymous Reports	75	50%	43	43%	15	18%	29	64%	75	50%
Overall Substantiated Reports	46	52%	48	44%	12	19%	45	47%	46	52%
Substantiated Named Reports	26	52%	36	55%	9	31%	32	54%	26	52%
Substantiated Anonymous Reports	20	51%	12	27%	3	9%	13	35%	20	51%
Case Closure Time (In Days)	-	57	-	57	-	39	-	54	-	57
Reports Submitted via Hotline	158	59%	126	82%	98	64%	105	53%	158	59%
Reports Submitted via Web	46	17%	20	13%	50	33%	44	22%	46	17%
Reports Submitted via Other	64	24%	8	5%	4	3%	50	25%	64	24%
Accounting, Auditing & Financial Reporting	5	2%	4	3%	9	6%	4	2%	5	2%
Business Integrity	24	9%	48	31%	24	16%	23	12%	24	9%
HR, Diversity & Workplace Respect	235	88%	87	56%	113	74%	163	82%	235	88%
Environment, Health & Safety	3	1%	6	4%	4	3%	5	3%	3	1%
Misuse, Misappropriation of Corporate Assets	1	0%	9	6%	2	1%	4	2%	1	0%
Other	1	0%	9	6%	2	1%	4	2%	1	0%

# Industry 2022 Data

INTEGRITY DIAGNOSTICS™

	Industry Mean	Industry Median	Industry Range	All Industry Mean	All Industry Median	All Industry Range
Reports per 100 Employees	1.1	0.7	0.2 - 2.6	4.0	1.3	0.2 - 11.3
Allegations per 100 Employees	1.1	0.7	0.2 - 2.5	3.6	1.3	0.2 - 9.8
Anonymous Reports	50%	50%	35% - 69%	51%	58%	5% - 86%
Follow-ups to Anonymous Reports	37%	37%	29% - 46%	33%	33%	11% - 56%
Overall Substantiated Reports	44%	43%	26% - 56%	43%	42%	20% - 71%
Substantiated Named Reports	47%	46%	21% - 66%	54%	50%	24% - 77%
Substantiated Anonymous Reports	39%	38%	26% - 51%	43%	35%	17% - 60%
Case Closure Time (In Days)	136	62	20 days - 167 days	74	39	8 days - 138 days
Reports Submitted via Hotline	27%	25%	9% - 45%	38%	31%	6% - 82%
Reports Submitted via Web	52%	53%	26% - 74%	50%	48%	9% - 93%
Reports Submitted via Other	25%	24%	4% - 51%	33%	24%	3% - 80%
Accounting, Auditing & Financial Reporting	6%	4%	2% - 16%	6%	3%	0% - 14%
Business Integrity	23%	22%	10% - 35%	25%	19%	6% - 54%
HR, Diversity & Workplace Respect						
Environment, Health & Safety	11%	10%	4% - 18%	14%	11%	3% - 28%
Misuse, Misappropriation of Corporate Assets	8%	5%	1% - 10%	7%	4%	1% - 15%
Other						

# Industry 2021 Data

INTEGRITY DIAGNOSTICS™

	Industry Mean	Industry Median	Industry Range	All Industry Mean	All Industry Median	All Industry Range
Reports per 100 Employees	1.1	0.7	0.2 - 2.6	4.0	1.3	0.2 - 11.3
Allegations per 100 Employees	1.1	0.7	0.2 - 2.5	3.6	1.3	0.2 - 9.8
Anonymous Reports	50%	50%	35% - 69%	51%	58%	5% - 86%
Follow-ups to Anonymous Reports	37%	37%	29% - 46%	33%	33%	11% - 56%
Overall Substantiated Reports	44%	43%	26% - 56%	43%	42%	20% - 71%
Substantiated Named Reports	47%	46%	21% - 66%	54%	50%	24% - 77%
Substantiated Anonymous Reports	39%	38%	26% - 51%	43%	35%	17% - 60%
Case Closure Time (In Days)	136	62	20 days - 167 days	74	39	8 days - 138 days
Reports Submitted via Hotline	27%	25%	9% - 45%	38%	31%	6% - 82%
Reports Submitted via Web	52%	53%	26% - 74%	50%	48%	9% - 93%
Reports Submitted via Other	25%	24%	4% - 51%	33%	24%	3% - 80%
Accounting, Auditing & Financial Reporting	6%	4%	2% - 16%	6%	3%	0% - 14%
Business Integrity	23%	22%	10% - 35%	25%	19%	6% - 54%
HR, Diversity & Workplace Respect						
Environment, Health & Safety	11%	10%	4% - 18%	14%	11%	3% - 28%
Misuse, Misappropriation of Corporate Assets	8%	5%	1% - 10%	7%	4%	1% - 15%
Other						

# Glossary

INTEGRITY DIAGNOSTICS™

## Sample Industry

This report reflects a sample industry.

## Mean

The average of the dataset in question. For example, if 101 companies had data related to the issue, all 101 data points would be added together and then that total would be divided by 101. The result would be the mean.

## Median

The midpoint of the dataset in question. For example, if 101 companies had data related to the issue, the 51st company's data (with the data sorted from least to most) would be the median.

## \*Proportion

The proportion of reports that fall into a specific category. For example, when comparing the amount of reports that are collected through hotline, web or other intake sources. We look at how these reports are distributed across these three buckets. The resulting percentages is the proportion.

## Range

The data of 80% of companies with sufficient reports in the field in question, centered at the median. The highest 10% and lowest 10% of companies' data would fall outside the range.

## Report

An allegation, concern, question or issue submitted to NAVEX's incident management system.

## Reports per 100 Employees

A volume metric that enables organizations of all sizes to compare their total number of unique contacts from all reporting channels including web forms, hotline, open door, mobile, email, mail and more.

## Allegations per 100 Employees

A volume metric that enables organizations of all sizes to compare their total number of reports that are allegations. Allegations can be concerns, issues or incidents, but exclude questions, inquiries and other report types.

## Anonymous Reports

The percentage of all reports submitted by individuals who chose to withhold their identity.

## Follow-ups to Anonymous Reports

The percentage of reports that were submitted anonymously and that were subsequently followed-up on by the reporter.

## Overall Substantiated Reports

Percentage of all reports (named or anonymous) that are (fully or partially) substantiated.

## Substantiated Named Reports

Percent of reports from named reporters that are (fully or partially) substantiated.

# Glossary

INTEGRITY DIAGNOSTICS™

## **Substantiated Anonymous Reports**

Percent of reports from anonymous reporters that are (fully or partially) substantiated.

## **Case Closure Time (In Days)**

Number of calendar days it takes an organization to close a case.

## **Hotline Reports**

Percent of all reports submitted via hotline.

## **Web Reports**

Percent of all reports submitted online.

## **Other Reports**

Percent of all reports submitted in 'other' ways (ethics office open door, email, postal mail, fax, manager submissions, etc.)

## **Accounting, Auditing & Financial Reporting**

Reports that pertain to these functions in an organization (e.g., financial misconduct, internal controls or expense reporting)

## **Business Integrity**

Reports that show how an organization interacts with third-parties, legislation, patients or customers (e.g., bribery, falsification of documents, fraud, COI, vendor/ customer issues or HIPAA)

## **HR, Diversity & Workplace Respect**

Reports that indicate internal interactions with policies, employee relations or misconduct (e.g., discrimination, harassment, retaliation, compensation, and general HR, but not cases marked as "other").

## **Environment, Health & Safety**

Reports that involve an element of safety typically pertaining to employees, environmental regulations or workplace health (e.g., EPA compliance, assault, safety, OSHA or substance abuse)

## **Misuse, Misappropriation of Corporate Assets**

Reports that specify company assets or time being wasted or used in a manner other than what is expected (e.g., employee theft or time clock abuse)

## **Other**

Reports that are difficult to classify in any of our standard categories. Historically these reports were included in the HR, Diversity and Workplace Respect category, but are now separated for more precise analysis. (e.g. too few snacks in the breakroom)

**The GRC Insights reports are for use by NAVEX customers only. The data provided is for informational purposes only. It is not for the purpose of providing legal advice, and it should not be relied on as legal advice. The content cannot be posted on external sites or made otherwise accessible to other individuals.**