WHISTLEBLOWER REPORTING & INVESTIGATION MANAGEMENT
WHAT YOU’RE UP AGAINST

Federal whistleblower awards have been increasing lately, but don’t focus on external enforcement. Instead, concentrate your efforts on creating a strong internal system that includes an easily accessible reporting hotline and consistent, fair investigation procedures.

Many organizations, particularly publicly traded companies or those in industries such as manufacturing and healthcare, are strictly required to provided employees a confidential and retaliation-free way to report known or suspected wrongdoing. Even if your organization isn’t legally required to provide a hotline, giving employees a way to confidential and comfortably alert you to issues is a compliance best practice.

A hotline is only half the equation though. Organizations must also have a well-documented, consistently applied procedure to investigate cases. And like all aspects of your compliance program, hotlines and case management procedures should be regularly reviewed for effectiveness and improvements.
YOUR GOAL

An effective hotline provides multiple intake channels, such as online, by phone and in person through a manager — some even extend to mobile apps and SMS. This prevents employees from not reporting just because they’re uncomfortable with your hotline. While allowing for multiple intake channels it’s also important that you receive consistent information. Your intake methods should be linked to collect the same information and deposit it into a single location for effective, consistent responses and case management.

It’s also extremely important to train any managers who may receive a report in company-wide, consistent follow up procedures. This could include what information to collect, what to do with that information, when and how to escalate to compliance staff and how to properly react to reports (including clear training on non-retaliation policies). It’s also important for your employees to know about the non-retaliation policy so they feel comfortable coming forward.

Next, your compliance program must include well-developed and communicated investigation procedures. Your entire employee base should understand how your company approaches investigations and be confident that the process is fairly executed every time. Preform regular audits on investigations to ensure they are consistently and fairly applied throughout the entire company and to all employees.

Don’t forget to extend the hotline to third party employees!

WHY IT’S HARD

Hotlines and case management are long running, far spread compliance initiatives with many moving parts. Though every aspect needs to work together, too often compliance programs rely on different software and processes to piece together this initiative. Without a single, integrated solution, there are far too many opportunities for information to slip through the cracks, procedures to be forgotten or not followed and damaging inconsistency. This decentralization makes reporting difficult and meaningful insights nearly impossible to see, making it hard for the hotline and case processes — and the compliance program as a whole — to be improved.

Beyond that, practical difficulties such as providing hotlines in local languages for international staff, extending hotlines and policies to third party associations and adequately training managers, investigators and others involved at a high level add more roadblocks on the path to a successful hotline and case management process.
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HOW CONVERCENT HELPS

Convercent takes the most difficult aspects of hotline and case management — centralization, consistency and communication — and makes them non-issues. Convercent provides multiple hotline intake channels, supporting 300 languages and available around the globe. Reports are added directly into the Convercent Case Manager, ensuring a consistent, centralized, well-documented repository for every case your company looks at.

Working from a central location allows you to easily spot incident trends while you’re dealing with cases, not once a year after you dig through mountains of data. You can handle multiple allegations and involved parties from within a single case, link related incidents together and attach pertinent policies and training courses to identify program weaknesses or high-risk areas. Coupling case management with policies through Convercent’s integrated solutions enhances your insight and enables you to strengthen your program.

Convercent’s Policy Manager makes it simple to distribute policies and training courses to any portion of your employee base. This makes it easy to send case management policies, procedures and training specifically to all intake managers on a recurring basis to ensure your company's standards are always top of mind. You can also track exactly which version of a policy a specific employee attested to and what training they have completed, which can add valuable insight to your investigations.
Convercent’s risk-based global compliance solution enables the design, implementation and measurement of an effective compliance program. Delivering an intuitive user experience with actionable executive reporting, Convercent integrates the management of corporate compliance risks, cases, disclosures, training and policies. With hundreds of customers in more than 130 countries—including Philip Morris International, CH2M Hill and Under Armour—Convercent’s award-winning GRC solution safeguards the financial and reputational health of your company. Backed by Azure Capital, Sapphire Ventures (formerly SAP Ventures), Mantucket Capital and Rho Capital Partners, and based in Denver, Colorado, Convercent will revolutionize your company’s compliance program.

Request a demo today!