

Ethics & Compliance App Summary

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Ethics and Compliance App Summary

Library Management

- House Organizational Structure including Regions, Teams, Departments, Markets, and Locations for segmentation of data and reporting dimensions
- House lists of Policies and Controls for easy identification and connection when relating to investigations

Submission Portal/Intake

- Web Submission Reporting form for users to report Allegations with zero training required on the system.
- Hotline Submission Reporting form for agents to report Allegations from reporters with limited training required on the system.
- Web Submission Reporting form for non-users to report Allegations with zero training required, and from any device. You can request contact details to follow up via email or phone or allow confidential submissions for whistleblower regulations
- Web Submission Reporting Portal can be translated, as needed.
- Submission text data in any language can be translated to a base language during the review, supporting localized language portals

Detailed Allegation Data Collection

- **What Occurred:** Allegation type can drive additional fields and workflow actions
- **Where did it Occur:** Allegation Location details include geographic information and demographic details like location type, areas, and headcounts.
- **Who or what was Involved:** Link people with associate organizations, vehicles, assets, or items
- **Financial Impact:** Track financial impact when relevant on individual Allegations

Track Tasks and Assignments

- Create and assign tasks
- Reminders of work remaining and upcoming due dates, with automatic notifications and escalations, as required
- View tasks for a team and manage investigations to completion

Submission/Allegation Triage

- Restricted and Standard triage flows available depending on whether E&C team members are implicated in one or more of the Allegations
- Automation of Submission workflow based on triage decisions on the related Allegations
- Ability to link new Allegations to existing Cases or create new Cases to give to investigators

Investigation and Case Management

- Send Allegations to the Investigation team for more detailed follow-up
- Leverage in-application templates to record additional information, including Interviews and Evidence
- Attach searchable documents
- Monitor key Involved People and determine outcomes on individuals as well as on the Case
- Consolidate multiple Allegations into a single Case

Key Reporting

- Detailed Case Summary Reports for stakeholder and Legal follow-up
- List report summarizing recent Cases
- Open Case reports to ensure efficient review and follow up
- Case Breakdown reports by any dimension (location, type, team, etc.)
- Dashboards to track metrics and KPIs at each key step in the process (triage, investigation, executive review)

Root Cause, Outcomes, and Recommendations

- Document Contributing Factors and Root Cause of the Allegation
- Identify the related Controls and policies
- Create and assign Recommendations for remediation