USE CASE

Automate Your Conflict of Interest Process

Distribute policies and gather disclosures with PolicyTech®.
Investigate further with EthicsPoint®.

The Challenge:

Gathering and tracking conflict of interest (COI) disclosures is a key component of any ethics and compliance program. However, many organizations are still relying on email, Excel or worse to distribute COI policies, track attestations and manage disclosures. These processes take a significant amount of time and man-power, and are highly susceptible to human error. Some organizations aren't gathering COI disclosures at all – leaving them vulnerable to the many risks that come with conflicts of interest.

The Solution:

Skip the time-consuming, manual processes and simplify COI with NAVEX Global. PolicyTech automates the annual distribution of your COI policy, tracks attestation and gathers disclosures all in one place. This saves you time and money while strengthening your ethics and compliance program's audit trail and defensibility. Integrating EthicsPoint takes your COI process a step further by providing a tool to consistently and efficiently investigate COI disclosures.

Draft, review and approve your COI policy with PolicyTech. Then define your notification cadence to automatically send an email to the appropriate employees for review and attestation.

Employees click on the link in their email to access your COI policy. They review, mark the document as read, and then answer a brief questionnaire to disclose any potential conflicts.

With integration between PolicyTech and EthicsPoint, disclosed potential conflicts generate a case for further investigation. Investigate these disclosures consistently with a dedicated workflow, and be audit-ready with detailed case history and documentation.

Benefits

Version Control
PolicyTech's automated version control ensures employees are attesting to and disclosing in line with your latest COI policy.

Disclose Anytime
Employees can revisit your COI policy and resubmit the questionnaire anytime throughout the year if and when new potential conflicts arise.

Audit-Ready Reporting
Run ad-hoc reports to know who has attested to your COI policy and disclosed a conflict of interest.

Investigation & Resolution
Integrate PolicyTech with EthicsPoint to dig deeper into disclosed conflicts. Workflows simplify investigations, and two-way communication captures a clear audit trail of activities and documentation.

ABOUT NAVEX GLOBAL
NAVEX Global's comprehensive suite of ethics and compliance software, content and services helps organizations protect their people, reputation and bottom line. Trusted by 95 of the FORTUNE 100 and more than 12,500 clients, our solutions are informed by the largest ethics and compliance community in the world.

+1 866 297 0224   info@navexglobal.com   www.navexglobal.com