

A Risk & Compliance Buyer's Guide

Coronavirus Comeback Kit

Mapping Risk and Compliance Solutions to COVID-Related Challenges



Evolving Pandemic Risks

COVID-19 will be at the center of risk and compliance management for the foreseeable future. Reopening offices, distributed workforces, heightened safety concerns, and increased cyber vulnerabilities are changing organizational risk profiles and environments.

Pandemic challenges can be categorized into three risk areas.



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Part I

Managing Remote Workforce Risk



Cyber Security

The Challenge

Experts suggest that cyber security damages will double by 2021. The most common and destructive cyber risks are not due to hacks or breaches; they occur because employees unknowingly fall prey to cyber threats. Cyber risks are being further exacerbated by work-from-home models that require the use of unsecure Wi-Fi connections, heavier use of personal devices, and working environments with a range of listening systems such as smart TVs and speakers. To mitigate today's cyber security threats, organizations need to focus on employee training designed to raise awareness and change behaviors.

Steps and Solutions

Train on Cyber Security Basics

Educate your employees of the foundational concepts of internal and external cyber threats, and what to do when a breach happens. Employees should know the specific ways data and systems can be breached, and essential practices for passwords, email usage, and technology to protect digital information and physical access.

Key Courses to Train on Now:

- Cyber Security
- Don't Help Hackers
- If Only It Were Really True: Phishing Attacks
- On the Go: Mobile Computing Fundamentals
- Social Media: Keeping Our Information Secure

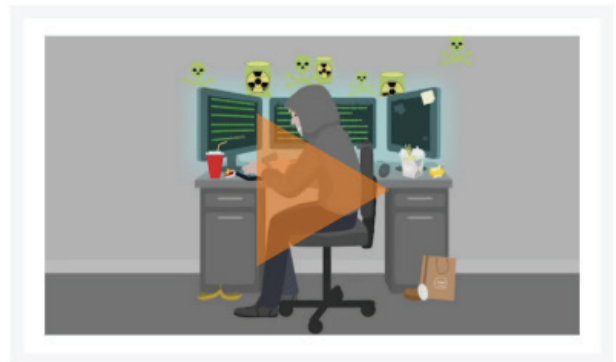
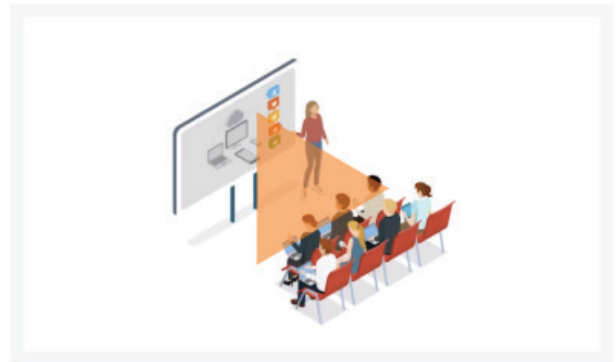
 [Download Cyber Security Training Bundle](#)

Augment Pandemic Communications with Cyber Security Micro Learnings

Micro learnings can be used to supplement ongoing pandemic messaging to keep employees vigilant about their digital and device use.

NAVEXEngage

Ethics & Compliance Training



[Get a Demo of NAVEXEngage](#)

Questions to Ask When Buying

Cyber Security Training



Does the training identify key ways to prevent the most common cause of cyber security breaches – human error?



Is the training informed by cyber security experts?



Is the training applicable to employees – most often achieved with scenario-based stories and examples?



Is the content relevant and designed for learners to easily understand how to apply course lessons to real-life scenarios?



Can you customize course design to match the look and feel of your company's brand?

[Ask Us Your Cyber Security Training Questions](#)

Policy Communications

The Challenge

Evolving shelter-in-place orders and work-from-home expectations require increasingly fluid communications across organizations. These communications are growing more complex as employees in different locations, departments or essential functions require tailored policies or procedures. The urgency and nuances of these ongoing pandemic communications make policy and procedure distribution, attestations and tracking an essential activity for organizations.

Steps and Solutions

Ensure Employees Read and Understand Relevant Policies and Procedures

Automatically route new and updated policies and procedures to your employees, assign attestation requirements, give comprehension quizzes, and run ad-hoc reports.

Enable Anywhere-Access for Important Policies and Procedures

Make timely and relevant policies and procedures easily accessible from any location and device.

Stay Audit-Ready

Implement a reporting system that tracks policy changes, summarizes reports, and archives active dates and attestation records for documents and versions.



Get a Demo of PolicyTech Fast Track

PolicyTech Fast Track
Policy & Procedure Management Software

Questions to Ask When Buying

Policy and Procedure Management Software



Are you able to send different policies and procedures to different employee groups depending on location, department, job level or other defined criteria?



Can the solution be implemented quickly enough to meet the urgency of your pandemic communications needs?



Will it provide a consistent user experience across various devices like desktop, mobile and tablet?



Can policies and procedures be mapped to the regulatory standards they are designed to meet?



Is there search functionality for auditors to find policies related to specific requirements, approval dates, and employee attestations?



Does the solution integrate with your organization's existing technology environment such as SharePoint?



Will the solution be able to withstand unforeseen system failures like power or internet outages?



Can you offer policies and procedures in the appropriate language for your entire employee base?

Ask Us Your Policy
Management Questions

Remote Investigations

The Challenge

Restrictions on face-to-face interviews and reduced access to documents and other material evidence make conducting investigations increasingly challenging. Poorly recorded and managed cases can result in inconsistent outcomes, indefensibility, the perception of biased tactics, or even worse, retaliation. With increased reporting during pandemic circumstances, the need to conduct effective investigations is only getting more important.

Steps and Solutions

Collect All Reports in a Centralized Database

Centralize your case management to address employee reports and incidents in a consistent and documented manner.

Ensure the Ability to Follow Up with Anonymous Reporters

With additional fear of jeopardizing job security during an economic downturn, more employees may opt to report anonymously. The ability for secure, anonymous and confidential reporting is essential.

Standardize Processes for All Reports

Ensure enterprise-wide standards across all internal reporting channels. Use role-and-rule-based routing and automated workflows to systematize and streamline your processes from intake to investigation to case closure.



EthicsPoint

Hotline and Incident Management Software

Get a Demo of EthicsPoint
Incident Management

Questions to Ask When Buying

Incident Management Software



Does the case management system provide visibility into all reports from across the organization?



Does the system capture reports from all intake channels such as hotline, web, open-door, email, etc?



Can cases be automatically routed to investigators based on location, department, type or other categories defined by your organization?



Can intake forms be configured so that incident information can be accessed easily during investigations?



Can system permission settings be customized to provide access to different teams, contributors, and legal and audit personnel?



Does the system offer audit-ready capabilities to track intake and investigation activity?

[Ask Us Your Incident Management Questions](#)

Part II

Managing COVID-Related Business Risks



Business Continuity

The Challenge

Dislocated workforces have forced organizations to rely on new and unexpected modes of operation. Outside the organization, the potential for bankruptcies and diminished operating capacities of vendors can jeopardize the reliability of supply and distribution chains. Together, this creates a mix of internal and external challenges that will need to be addressed to maintain continuity of the business.

Steps and Solutions

Assess Your Business

Understand essential business objectives and goals, and identify key people, processes and assets that are instrumental to achieving those goals.

Assess Your Risk

Identify potential disruptions, explore how they will impact processes, and help leadership understand the financial and non-financial implications to the business if a disruption were to occur.

Develop Your Strategies and Plans

Design your business continuity strategies and create actionable response, recovery and restoration plans. Test these plans in low-stress environments and update plans with lessons learned.

Monitor Risk Continuously

Create a system that monitors leading risk indicators on an ongoing basis. Leverage insights to proactively address risks, identify new and emerging risks, and spot trends to create a more resilient business.



Lockpath

Business Continuity and Integrated Risk Management

Get a Demo of Lockpath

Questions to Ask When Buying

Business Continuity Software



Does the solution allow you to assess, identify and catalog risk that could disrupt your business?



Can the system create context for decision-making by linking people, processes, assets and requirements to business objectives?



Will the system outline the key steps to perform a comprehensive business impact analysis?



Can the system incorporate data from other parts of the business, such as IT, third-party risk management, compliance and audit, to inform your business continuity strategy and plans?



Will the system allow you to communicate business continuity plans, processes and procedures to program participants and workforce?



Does the system offer various forms of ongoing monitoring to ensure risk detection and response plan execution?



Can the system be easily audited?

Ask Us Your Business
Continuity Questions

Third-Party Visibility

The Challenge

Pandemic response is requiring organizations to engage and onboard third parties much more quickly than in non-crisis times. However, the inherent risk of working with third parties has not changed and organizations must perform adequate due diligence within accelerated timelines. And while risk management circumstances have changed, FCPA enforcement remains constant. To keep up, organizations must implement a streamlined system to screen and onboard new partners and continuously monitor existing partners to detect any new risk.

Steps and Solutions

Pursue a Risk-Based Approach

Ensure real-time program decision making is aligned with program recommendations in the FCPA Guide and other regulatory and enforcement agencies.

Identify, Stratify and Surface Risks

Understand how third parties fit within your organization's risk profile, and apply risk mitigation efforts to individual third parties according to the level and nature of their risk.

Automate Screening and Monitoring

Screen and monitor third-party risks against comprehensive risk intelligence databases, and implement software to alert you to evolving risks from any of your third parties.



RiskRate

Enterprise Due Diligence Software

Get a Demo of RiskRate

Questions to Ask When Buying

Enterprise Due Diligence Software



Does the system align with program recommendations in the FCPA Guide and other regulatory enforcement agencies?



Does the system continuously screen and monitor risk from an extensive database of regulatory lists, media publications, politically exposed persons (PEP) and adverse media profiles?



Is the system responsive enough to alert you to risk mitigation efforts when and where they are most needed and effective?



Does the solution help you identify and stratify organizational risks based on industry, regulatory environment, geography, relationship type, government engagement and contract value?



Are you able to onboard third parties systematically and consistently with customizable questionnaires, bulk updates, shared communications, policy training and attestation?



Is the system automated to ensure always-on reporting, monitoring, record keeping, real-time notifications and auditability?

[Ask Us Your Third-Party Management Questions](#)

COI Disclosure

The Challenge

Due to internal and external disruptions, organizations must develop new contractor and vendor relationships to deliver on their preexisting business goals. Many are also having to fulfill new needs to meet social distancing, sanitation and personal protective equipment standards, as employees start returning to the office. These relationships, and the speed at which they must be developed, create new potential for conflict risk.

Steps and Solutions

Implement a Purpose-Built Solution

Relying on email, Excel or other difficult-to-monitor options to distribute COI policies, track attestations, and manage disclosures, creates program inefficiencies and heightens exposure to risk.

Templatize Best Practices

Use templated questionnaires to gather, track and analyze disclosures across the enterprise.

Simplified Disclosure Amendments

Track mid-cycle changes in employee situations that may cause potential conflicts with a simple and quick disclosure amendment workflow.

Align Policies, Training and Disclosures

Align your company policies and employee training with COI Disclosures. This greatly improves the efficiency of these programs and lowers your overall risk profile.



COI Disclosure

Conflict of Interest Software

Get a Demo of COI
Disclosure Software

Questions to Ask When Buying

Conflict of Interest Software



Is the solution purpose-built to operationalize the many manual and time-intensive processes of managing conflicts of interest?



Are best-practice questionnaires available out of the box for quick and reliable implementation?



Does the solution offer amendable workflows that allow employees to quickly and easily make updates to a disclosure when their circumstances change?



Does the system offer audit-ready capabilities that track records of annual disclosure campaigns?



Does the tool automate COI campaign distribution to easily collect, track and report on results?



Does the system flag conflicts and notify risk and compliance administrators when there is need to review?

Ask Us Your COI
Management Questions

Part III

Managing Increasing Employee Conduct Risks



Retaliation

The Challenge

With heightened stress around pandemic working conditions and sanitation practices, there has been an increase in safety complaints as well as retaliation reports due to COVID-19. Reopening offices and transitioning workforces will mostly likely exacerbate health and safety concerns and continue to increase liability for organizations. To avoid actual or perceived retaliation as employees reenter the workplace, organizations must ensure reporting systems and processes are working properly and double down on anti-retaliation training for employees and managers.

Steps and Solutions

Train All Managers Now

Ensure managers understand their responsibilities in receiving and escalating complaints as well as creating an environment in which employees are comfortable speaking up.



[Preview Manager Anti-Retaliation Training](#)

Provide Micro Learnings to All Employees

Effective training educates employees on how and when to report, addresses common obstacles to speaking up, and explains how to navigate tricky situations like manager misconduct.

Key Courses to Train on:

- Reporting and Retaliation
- Reporting a Complaint
- Speaking Up Matters



[Download Anti-Retaliation Training Bundle](#)

Share Awareness Materials

Use awareness materials like office posters, wallet cards and brochures to reinforce training topics as well as the organization's commitment to ethics and anti-retaliation.



[Explore Awareness Materials](#)

NAVEXEngage

Manager Micro Learning Course



[Get a Demo of NAVEXEngage](#)

Questions to Ask When Buying

Retaliation Training



Will the training teach employees how to spot, report and escalate cases of retaliation?



Does the training solution offer a mix of full-length and micro learning courses?



Does the training content outline what steps employees can take to report even if they fear retaliation?



Is the training content vetted by employment law experts?



Is the content relevant and designed for learners to easily understand how to apply course lessons to real-life scenarios?

Ask Us Your Anti-Retaliation Questions

Manager Training

The Challenge

With work-from-home models in effect in various forms, organizations no longer have the benefit of proximity and ethical inertia available within shared workplaces. When it comes to ethical and compliance matters, employees are still looking for a strong and consistent tone from the top. This is especially true as we navigate the uncertainty of COVID-19. Now more than ever, this makes managers a critical part of an effective risk and compliance program.

Steps and Solutions

Train Managers on Priority Topics

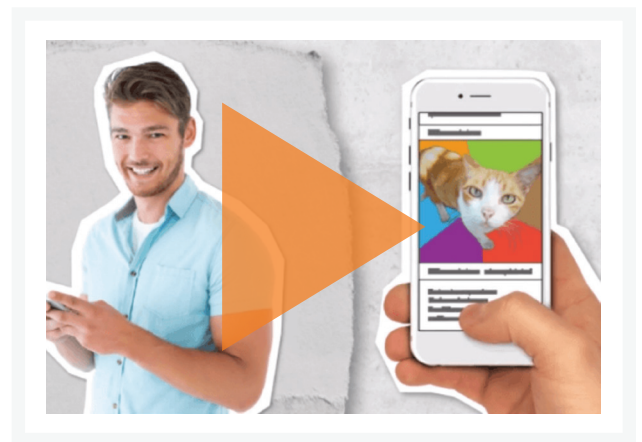
Managers play a pivotal role in how frontline employees experience and relate to the larger organization. They are often tasked with managing demanding and sensitive situations like performance reviews, warnings or terminations. Ensure your managers are effectively trained on priority skills as social and workplace tensions remain elevated.

Key Courses to Train on:

- Employment Law for Managers
- Diversity and Inclusion: Managing Bias Through the Employment Relationship
- Whistleblowing, Reporting and Retaliation: Managing Complaints
- Ethical Leadership: Managing with Integrity
- Managing Wage and Hour Issues
- Abusive Conduct and Bullying: Workplace Violence for Managers
- Cyber Security Risk Management Series
- Workplace Harassment: Checking Your Biases
- Discrimination-Free Workplace

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Ethics & Compliance Training



[Download Manager Priorities Training Bundle](#)

Questions to Ask When Buying

Managers' Training



Does the training content ensure managers know their responsibilities and the liability they create for the organization?



Does the training content identify high-risk situations and outline the steps managers should take before, during and after those situations?



Does the training library offer a mix of full-length and micro learning courses?



Does the training identify when and how to escalate high-risk concerns and events?



Is the training content vetted by legal, topical and employment experts?



Is the content relevant and designed for learners to easily understand how to apply course lessons to real-life scenarios?

Ask Us Your Manager
Training Questions

Code of Conduct Risk

The Challenge

Heightened stress, anxiety and increased financial pressures are creating working environments that may exacerbate traditional forms of workplace misconduct. Increased social unrest and a current election year in the US is accentuating employee divisions in a way that can strain in-person and virtual working relationships. This increases employment liability for organizations and requires risk and compliance teams to reiterate employee behavior expectations and reinforce the organization's commitment to maintaining an ethical, inclusive and respectful workplace.

Steps and Solutions

Train on Code of Conduct Topics

- Code of Conduct
- Discrimination-Free Workplace
- Diversity and Inclusion
- Workplace Harassment
- Workplace Violence and Bullying

 [Download Code of Conduct Training Bundle](#)

Train on Diversity and Inclusion

- Diversity and Inclusion
- Microaggression
- Diversity Benefits Everyone
- Managing Bias Through the Employment Relationship

 [Download Diversity and Inclusion Training Bundle](#)

Share Awareness Materials

Use awareness materials like office posters, wallet cards, and brochures and more to reinforce code of conduct topics and the organization's commitment to diversity and inclusion.

 [Explore Awareness Materials](#)

NAVEXEngage

Ethics & Compliance Training



Get a Demo of
NAVEXEngage Training

Questions to Ask When Buying

Ethics and Compliance Training



Is the training vetted by employment law experts?



Is the content relevant and designed for learners to easily understand how to apply course lessons to real-life scenarios?



Does D&I training go beyond diversity and give equal attention to creating and cultivating an inclusive environment?



Does the training address unconscious bias and micro inequities, and offer employees tips to navigate those challenges?



Does the training content offer realistic, practical guidelines for creating an inclusive, respectful workplace?

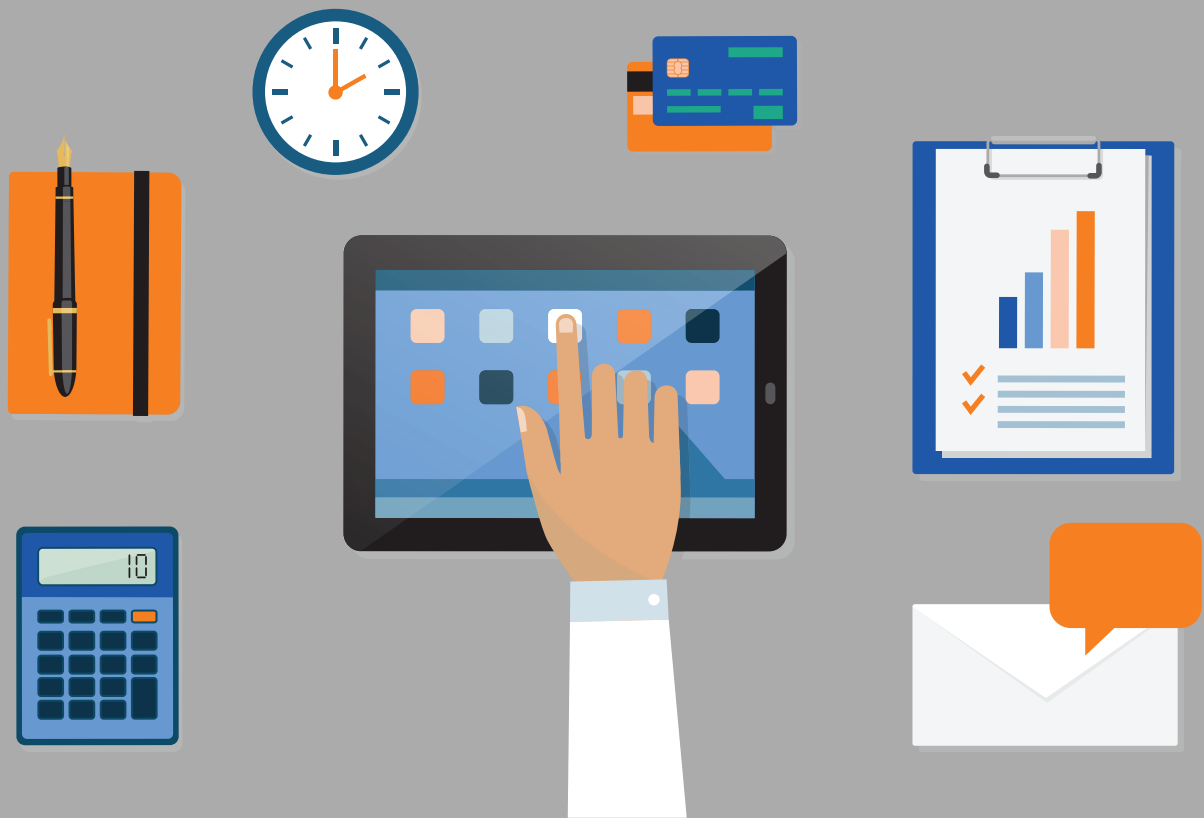


Does the training clearly position the organization's commitment to ethics and respect and outline what those principles look like in action?

Ask Us Your Conduct
Training Questions

Want to talk more about solutions for managing COVID-related risk and compliance challenges?

Fill out this form and we'll give you a call.



NAVEX Global is the worldwide leader in integrated risk and compliance management software and services. Trusted by more than 14,500 customers, our solutions help organizations manage risk, address complex regulatory compliance requirements and foster an ethical, highly productive workplace culture. For more information, visit www.navexglobal.com.



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