

syntr:o



Ethics and Compliance Hotline Reporting

Buyer Checklist



Ethics and compliance hotline reporting is essential for detecting and preventing fraud, workplace harassment and other forms of wrongdoing across all industries and organizations – from small-to-medium businesses to multinational enterprises. By providing a confidential way for employees to report concerns, reporting hotlines can help to protect investors, consumers and the public interest.

In recent years, there has been a growing focus on whistleblowing, which is due in part to the high-profile financial scandals and harassment lawsuits across numerous industries and governmental agencies. These scandals have highlighted the importance of reporting hotlines as a means of exposing and deterring misconduct.

In addition, many organizations must meet a vast range of regulatory compliance reporting obligations such as Dodd-Frank Wall Street Reform, Consumer Protection Act, Sarbanes-Oxley Act (SOX), General Data Protection Regulation (GDPR), Foreign Corrupt Practices Act (FCPA), UK Bribery Act, Accessibility for Ontarians with Disabilities Act (AODA), Stark Law and the Anti-Kickback Statute.

Ethics and compliance hotline reporting offers unique benefits to virtually all industries:

➤ **Reduced risk of fraud and other forms of wrongdoing**

By providing a confidential way for employees to report concerns, whistleblowing hotlines can help to deter and detect fraud, sexual and workplace harassment and other forms of wrongdoing. This can help to protect investors, consumers, and the public interest.

➤ **Improved corporate governance**

Whistleblowing hotlines can help to improve corporate governance by providing employees with a voice to raise concerns about wrongdoing. This can help to create a more ethical and transparent corporate culture.

➤ **Enhanced compliance**

Reporting hotlines help organizations to comply with their regulatory obligations. Many financial regulations require organizations to have in place procedures for reporting and investigating allegations of wrongdoing. Whistleblowing hotlines can help meet these requirements.

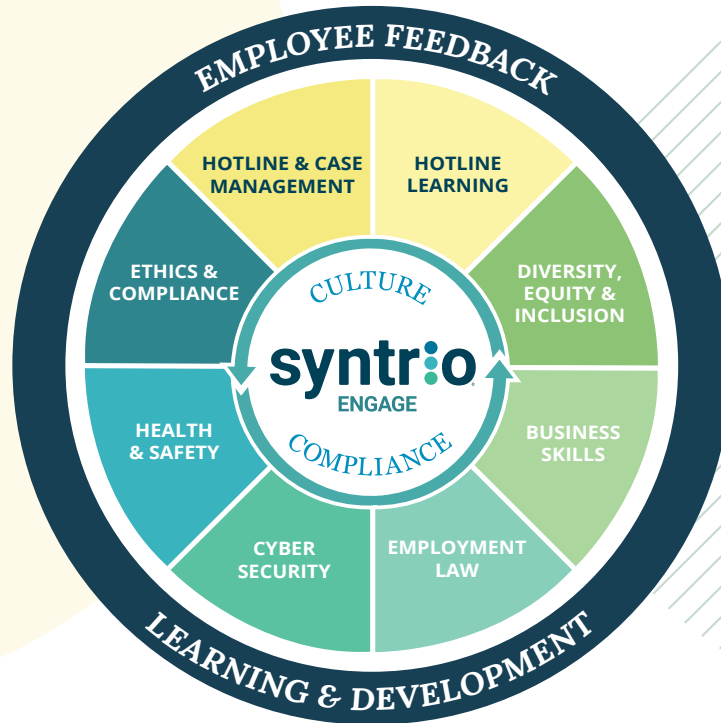
➤ **Better health and safety**

Many workplaces can be dangerous, and employees are often exposed to hazardous materials and equipment. Hotlines can help to identify and address safety hazards before they lead to accidents or injuries.

➤ **Improved culture of trust**

Perhaps most importantly, modern leaders understand the need to create a culture of trust where employees feel comfortable reporting suspected wrongdoing. This can be done by communicating to employees that the organization is committed to ethical business practices and by protecting whistleblowers from retaliation.





Global Ethics and Compliance Leadership

Syntrio is a global leader in compliance and human resource solutions that help more than 6,500 organizations make the workplace a better place.

We are the #1 provider of comprehensive ethics hotline reporting services and case management systems, and we ensure your compliance with secure, anonymous and confidentiality reporting.

Our services are easy to use and bursting with speak up and listen up innovations that reduce your risk and get you compliant.

We are your trusted partner for essential investments that improve compliance and reduce risk, while enabling you to cultivate a high-performing civil and respectful workplace.

#1 Provider of Comprehensive Hotlines

Every organization is different and we know from experience that larger enterprises have unique organizational structures and more complex regulatory compliance and security requirements to satisfy.

We understand. Our solution is chosen by customers worldwide to provide the most continuous employee feedback possible across a broad range of topics and risk areas that are important to you.

Best-in-Class Features for Your Ethics Reporting Hotline

Easy to Use and Bursting with the Innovation You Need

Our ethics reporting and case management system facilitates two-way communication that enables a reporter to share information confidentially and anonymously with your organization, which allows you to converse and follow up in a completely safe and secure manner. Here's an example using the Syntrio Hotline system:

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1

An employee or stakeholder submits a report anonymously using one of the seven reporting methods.



2

Reviewers in your organization are notified immediately via email. They sign into the secure case management system to view and manage the report and respond to the employee.



3

Using the secure Report ID and password they received when submitting the report, employees log into the system or call the hotline to communicate with Reviewers anonymously.



4

Reviewers obtain the information they need to investigate and resolve incidents by using the Syntrio Hotline as a safe, secure, and anonymous communication channel.



Enterprise Features You Need from the Provider You Trust

Our larger customers also value our certified intake operators with local language skills, and flexible contact options including online web reporting that can be localized and customized.

Distributed organizations often require multi-level hotlines and report routing workflows that support their unique needs. For example, divisions and subsidiaries often have separate ethics reporting systems that feed into a central case management system (CMS) for monitoring, reporting and auditing. Separate but related hotlines for suppliers, partners, corporate boards, customers and consumers are also common.

Here's an overview of essential features:

➤ **Robust Case Management System**

Resolve cases more efficiently with a world-class HR Case Management System (CMS).

➤ **Multi-Language Services**

Representatives are available in English and Spanish and 140+ languages with interpreter services.

➤ **Real-Time Information**

Receive real-time access to incident reports and easy-to-understand summaries of each incident.

➤ **24-Hour Flexible Contact Options**

Reporters choose from six contact methods: web, fax, mail, email, text and toll-free telephone. The system is at your service on every continent.

➤ **Awareness and Communication Tools**

Complete package of employee communication tools is available, including awareness bursts and posters.

➤ **Report History**

All reports and supporting data are permanently retained and easily retrieved.

➤ **Certified Operators**

Professionally trained and accustomed to dealing with caller concerns. There is never a need to feel intimidated.

➤ **Quick Implementation**

Setup occurs in a few hours and includes a program guide and supporting materials.

➤ **Trusted Independence**

Independent third-party hotline services enable employees to feel safer when filing reports.

Syntrio Hotlines are easy to use and packed with the innovation you need to improve your culture and compliance initiatives.



Your Security is Our Top-Tier Priority

Syntrio Hotlines are ideal for all types and sizes of businesses and they meet important regulatory compliance reporting obligations such as Sarbanes-Oxley Act, General Data Protection Regulation, Foreign Corrupt Practices Act, UK Bribery Act, and Accessibility for Ontarians with Disabilities Act.

Security, confidentiality and anonymity are top-tier priorities for Syntrio because our systems are often adopted by customers with stringent security validation protocols, including major banks, healthcare organizations and governments. Following are important security characteristics to consider when choosing our service:



Tier 3 Data Centers - Keeping data exclusively on dedicated servers in Tier 3 data centers and cloud providers.



Unauthorized Access Protection - Having default system and password protocols which guard against unauthorized access.



Network Intrusion Protection - Providing dedicated real-time network intrusion protection, monitored 24/7.



Military-Grade Technology - Incorporating 256-bit military-grade web security and database encryption technology.



Disaster Recovery - Backing up your data in real-time to a geographically diverse recovery site via a dedicated encrypted link.



SSL Certification - Using an extended validation SSL certificate with 4,096-bit key encryption technology at our servers.

Robust Case Management System Powers Your Solution

For many large enterprises, keeping track of hotline reports can be a daunting challenge. Overlooked or missing information can lead to inefficient investigations and leave you vulnerable to potential litigation.

Syntrio's state-of-the-art CMS allows you to keep track of all report activities from the time an incident is reported all the way through to its resolution.



We make it simple and easy for you. The Syntrio Hotline provides your ethics and compliance team with the ability to:

- **View the report online** – You can always access report information online. Because the CMS resides on secure cloud-based servers, there is never a need to download software.
- **Assign the incident to a person for investigation** – You're able to assign reports automatically to the appropriate individuals, and you'll know the right person to contact if you have questions or concerns about any investigation.
- **Assign risk level, priority and status** – This ensures that the most urgent or sensitive cases are given top priority and that all reports are handled in a timely and expeditious manner.
- **Record your follow-up and outcome** – You can input all actions taken as well as each report's ultimate resolution, which is critical to creating an audit trail.
- **Dialog with reporters** – The case investigator or administrator can conduct an anonymous dialog with the reporter, allowing for the continuous exchange of information throughout the investigation.
- **Create and manage reports** – You can develop reports for key personnel on a "need to know" basis. Your CMS includes an analytics dashboard with key metrics and trends and the ability to drill into details using comprehensive and easy-to-use controls.
- **Attach documentation to reports** – You can supplement reports by uploading additional files as needed.
- **Collaborate with ease** – Users can share detailed or summary information about a report with appropriate personnel, and data is easily exportable. Our message board feature also allows messages to be sent to system users.
- **Relate reports** – You can easily associate reports you identify as having similar issues to identify patterns and risk areas.
- **Customize with ease** – It's simple to customize our fields and system to meet your specific needs.



Ethics and Compliance Hotline Reporting Checklist

Our checklist outlines the features to consider when evaluating a secure, anonymous and confidential employee hotline for your organization.

	Syntrio	Vendor 2
Flexible Incident Reporting Options		
Flexible Report Submission Options - Click, Chat, Call or Fax	✓	
24/7, 365 Days a Year, Worldwide	✓	
Multilanguage Operators	✓	
Certified Operators	✓	
Flexible Contact and Dialog Options	✓	
Rapid Case Submission with Unlimited Text	✓	
Transcribe Reports Into System on Employee's Behalf	✓	
Anonymous Virtual Chat Dialog Capability	✓	
Report Processing and Maintenance		
Restrict Reports Based on Attributes (Name, Title, Email)	✓	
Workflows for Auto Assignment	✓	
Delegated Reviewers	✓	
Update Report Categories, Regions, etc.	✓	
Reviewer Can Link Two or More Reports	✓	
Reviewer Can Change the Name of a Report	✓	
Multilanguage CMS	✓	
Establish Naming Conventions	✓	
Security and Resilience		
Secure Case Management System	✓	
Secure Report History	✓	
ISO 27001 Certification	✓	
Protected B Certification	✓	
Microsoft Azure Cloud Architecture	✓	
Microsoft Azure Cloud Data Hosting	✓	

“Syntrio gives us great insight into issues that we want to know about and, as a result, makes it easier to efficiently address and rectify issues.”

Dana Matyas, Director of Compliance Operations and Compliance Counsel, BAYADA

	Syntrio	Vendor 2
Regulatory Compliance		
Comply with U.S. Legislation	✓	
AODA Compliance	✓	
GDPR Compliance	✓	
Complies with All Major Regulation and Privacy Legislation	✓	
SOC 1 and SOC 2 Compliance	✓	
Customization		
Standard Customization	✓	
Advanced Customization	✓	
Custom Fields to Document a Report	✓	
Custom Fields to Sign Off on a Report	✓	
Custom Fields to Run Quarterly Reports	✓	
Standard Custom Fields	✓	
Advanced Custom Fields	✓	
Communication Tools and Training		
Digital Posters and Communications	✓	
Training Videos	✓	
Library and Rollout Guides - Multilanguage	✓	
Real-Time Analytics and Audit Support		
Secure Report History	✓	
Watchlist for Urgent Reports	✓	
Watchlist for Reports Not Actioned in 90 Days	✓	
Watchlist for Reports to Close in 90 Days	✓	
Export to Excel	✓	
Tag Reviewers for Email Notifications	✓	
Reviewer Dashboard for Analytics, Trends, Hotspots, etc.	✓	
Customer Success and Satisfaction		
Simple Setup and Implementation	✓	
Near 100% Renewal Rate	✓	
Dedicated Customer Success Team	✓	
Follow-the-Sun Support	✓	
Certified Advisory Specialists, Confidential Report Processors and Multilingual Services	✓	
Trusted Independence	✓	

Visit our resource center for Essential Guides and other valuable resources at syntrio.com/industry-resources



About Syntrio

Syntrio is a global leader in governance, risk, compliance and human resource solutions that help more than 6,500 organizations make the workplace a better place. Syntrio solutions include a comprehensive ethics reporting hotline and case management system, and seven modern training libraries in Employment Law and Harassment, Ethics and Compliance, Diversity and Inclusion, Health and Safety, Business Skills, Cybersecurity, and Hotline Learning.

For more information visit [syntrio.com](https://www.syntrio.com).

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