

# EMPLOYEE RISK ASSESSMENTS

Confirm an educated, compliant workforce, provide transparency to important company policies, identify critical risk areas within the organization and help prevent future incidents.

## Proactively Identify Organizational Risk and Important Trends

Employee Risk Assessments are a great method to uncover actual or potential threats to worker safety, breaches of policies, intentional sabotage, loss prevention and much more. Due to the nature of a Risk Assessment that is conducted within our platform, users can feel more secure in divulging information versus an in-person interview.

### Employee Risk Assessments Highlights:

- **FULLY CUSTOM QUESTIONNAIRES & PROCESSES:** Each organization can evaluate risk according to their own unique set of criteria – depending on the type of business, its operating procedures, its locations, its risk appetite and any other factor that is important to the compliance department. Risk Assessments can be customized by topic area, business unit, geography and more. This allows many different assessments to be deployed over the course of and employee's tenure.
- **IDENTIFY CATEGORIES OF THREATS:** By categorizing threats into specific, focused classifications, subject matter experts can easily be brought into the process to review and help prevent future incidents. For example, you may have employees that are at risk of IT sabotage (e.g., stealing code, proprietary programs, etc.); stealing trade secrets in order to have an advantage at their new employer (usually a competitor) or to gain an advantage for a new business they plan to start; financial fraud; or any number of different risk areas.
- **EASY TO USE INTERFACE:** Users will not need to learn complicated software and/or interfaces in order to disclose an actual or potential conflict of interest – rather, our intuitive portals and forms enable easy access and processing. This characteristic speeds adoption time, business process cycle time, and mitigation actions.
- **INCIDENT FOLLOW-UP / MITIGATION ACTIONS:** The application enables incident tracking, follow-up consequences, and mitigation actions to occur directly within the case file. Depending on the type or other properties of the disclosure, the appropriate individual(s) can be invited into the process to review and issue corrective action. Those actions can also occur directly within the file, with requirements enforced and escalated over time as needed.
- **POWERFUL, CUSTOM REPORTING:** Conflicts of Interest reporting can look across any data sets captured not only within the application, but any application deployed within the platform to spot trends and gain business intelligence. For example, you may report on a conflict with a specific counterparty while comparing with data collected in the third-party due diligence process. Other features of reports in Platform319:
  - Push-button PDFs or Excel-based files
  - Real-time on-demand
  - 100% customizable
  - Automatically delivered to a distribution list on a schedule (management report once a week for example)
  - Populated in custom portals, dashboards and workstations as desired by users
  - Able to be generated in-line within forms and delivered via notifications from an event within the process
- **AUTOMATIC DEPLOYMENTS:** The application can deploy conflict of interest disclosure forms automatically to users on an event – upon hiring, termination, promotion, demotion, on a schedule, or any other type of trigger.

#### KEY BENEFITS OF

## Employee Risk Assessments with 319 InSight



**Maximize Employee  
Performance & Compliance**



**Gain Important  
Business Intelligence**



**Secure Sensitive &  
Confidential Information**

## “ Compliance business processes are dynamic and ever-changing ”

Recently, the United States Department of Justice ("DOJ") [published a report](#) outlining guidance and best practices for corporate compliance programs. In this report, they share key information about how prosecutors evaluate programs when a possible violation may have occurred.

*"Prosecutors should consider the effectiveness of the company's risk assessment and the manner in which the company's compliance program has been tailored based on that risk assessment and whether its criteria are periodically updated."*

*"The organization shall periodically assess the risk of criminal conduct and shall take appropriate steps to design, implement, or modify each requirement [of the compliance program] to reduce the risk of criminal conduct."*

*"Prosecutors may credit the quality and effectiveness of a risk-based compliance program that devotes appropriate attention and resources to high-risk transactions, even if it fails to prevent an infraction in a low-risk area. Prosecutors should therefore consider, as an indicator of risk-tailoring, revisions to corporate compliance programs in light of lessons learned."*

It is a must that your third-party due diligence process evolves over time, and consequently it is a must that your system is able to support those changes inline and without interruption of your business. **319 InSight is the only platform with the power and flexibility to handle these requirements.**