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What is our purpose?

ComplianceLine is on a mission to make the world a better workplace by giving leaders who care actionable insight, tools, and services to mitigate risks, engage employees, and build strong cultures. We strive to be an extension of our client's corporate compliance offices. We act as a reliable liaison between reporters and your organization, managing issue intake, and writing reports with actionable information.

What is a compliance report?

A compliance report is a concern, issue, violation, question, request for guidance, etc., raised by a caller to the help center on a designated hotline. Our agents ask a series of preliminary questions and then perform an adaptive interview based on the nature of the caller's concern. Our trained agents check client directives, as well as determine the severity level and categories for each report. These are considered action items for our clients and typically requires some sort of follow-up, review, investigation or intervention. These types of calls are signified by a '1' following the account code. For example, 1912-AAA-**1**0001-01. In most cases, these numbers are issued to the caller, along with a call back date.

What does the report number mean?

- **19**01-AAA-10001-01: The first two numbers are the year the original report number was generated
- 19**01**-AAA-10001-01: The second two numbers are the month the original report number was generated
- 1901-**AAA**-10001-01: The letters are your unique account code
- 1901-AAA-**1**0001-01: The first number after the account code indicates the report type.
    - 1 = Hotline Compliance Report.....................1901-AAA-10001
    - 2 = Request for Information/RFI....................1901-AAA-20001
    - 3 = Internal Office Compliance Report........1901-AAA-30001
    - 4 = MCR/Web Report..................................1901-AAA-40001
- 1901-AAA-1**0001**-01: An ascending series number of that issue taken in the month of that year
- 1901-AAA-10001-**01**: Sequence type, (this example showing the original). Follow-ups will have a -02, -03, etc.

RFI Report Numbers

RFIs are signified by a '2' following the account code in their report number (eg. 1912-AAA-**2**0001-01). These numbers are not provided to callers; therefore, there are no follow-ups to RFIs.

What is a request for information (RFI)?

A request for information (RFI) is a call that came in to the help center on a designated hotline, however; the caller did not have a concern to report or declined for various reasons. For example, a caller might have needed a telephone number to the support desk because he/she was locked out of his/her account. Our agents briefly document what transpired on the call, however; they do not probe further unless the caller would like to file a report.

How do you interview callers?

After the greeting, our agents gather preliminary information, such as if the caller is calling for the first time how they heard about the hotline, and the location information about where the issue being reported took place. We then ask the caller if he/she would like to remain anonymous or not, and then gather a synopsis of the concern.

Once we understand the nature of the concern, we perform an adaptive interview, formulate clarifying questions, with a focus on fact-based information, the who, where, what, when, and how of an issue. If necessary, we include pertinent supplemental information to help with context with consideration given to what sort of information would be helpful to an investigator. Any and all information a caller provides is entirely voluntary. We verify all information, including spelling of names, back to the caller.

The Greeting

When we receive a call, it is **always** answered by a live person and a customized greeting is always read to the caller that typically goes like, "Thank you for calling Your Organization Compliance Line. This is <first name of the agent>, how may I help you?" Each client can customize or tweak the greeting anyway they want.

What is an adaptive interview?

An adaptive interview is an intake process unique to ComplianceLine and is designed to ensure the most relevant and best information is acquired on initial intake to cut down on the amount of time spent by our clients on resolving the issue. An adaptive interview adjusts and conforms to the issue being reported because not all issues are the same. Instead of using a predetermined script that can leave out key information or eliminate the context of a situation in a written report, we use flexible questions on every call to glean the mostrelevant and fact-based information. While we always ask for the key characteristics, such as who, where, what, when, and how, this may not be enough to get a clear understanding of an issue.

Someone reporting a clear compliance violation usually can convey the issue by sticking to the traditional line of questions. On the other hand, someone reporting unfair treatment or more serious allegations might need supportive context to convey the true nature of the concern. In some cases when there are clear present risks, it is inappropriate to focus questions on past events. If the call agent determines there is an immediate risk, it does not make sense to stick to a script when they should be asking where the subject of a reported issue is located at the time of the call.

For example, imagine a report comes in on a healthcare facility's hotline and it is about patient abuse or drug and alcohol use. Our agent might ask questions such as, "Is the subject there now? Was there any injury, harm or another adverse event? Has management been notified and has any action been taken? Were there any witnesses? Has this happened to anyone else?"

What is a call back date?

When an original report is generated, the caller is provided his or her unique report number and a call back date. That is the date the caller will be asked to call back on or after, at their convenience, to check the status of their report for any correspondence from their respective corporate compliance department. There is no guarantee that a response or a resolution will be provided. It is a means for our clients to have an open line of communication with their reporters, especially in the event they remain anonymous. Callers are also provided call back dates during subsequent follow-up dates if there was no new response provided or the reporter provided additional information to be reviewed.

What is a follow-up report?

If a previous caller calls the hotline back and provides their report number, the call agent can look it up and read any responses or ask questions provided by the client. Ideally, a caller will follow up on their assigned call back date, but they can call earlier or later. In either case, any available responses from the client will be read to the caller. Follow-ups also allow callers to add new details or clarification to any of their previously reported concerns. If the client has provided a response with questions, the caller's answers can be provided by follow up.

If a caller tries to report a new concern unrelated to the previous concern, this will not be taken as a follow-up. Instead, the call agent will take another report and the caller will be given a new report number for the new concern.

Verifying the Caller

Follow-ups can only be made to a report by the original person who made the report (ie. they cannot have someone else call back on their behalf). Every time a caller gives a report number to follow up, the agent will look at the report details and an ask for the caller to verify a specific detail in the report.

What are the different user levels and what are their permissions?

- **Administrator [30]:** This user has full access to account profile, settings, permissions, and cases. They can add and disable users, configure settings, and add/edit various options and user fields. The administrator has the best and most robust reporting capabilities. These characteristics are in addition to everything a Standard [40] user can do.

- **Standard [40]:** This user has robust access to individual cases that they are assigned to. They can add and edit investigations, case notes, documents, status information, and more. They can add new cases to the system and utilize the internal case management system (Compliance Office). This user also has access to reporting features, but not as comprehensive as the Administrator [30].

- **Restricted [50]:** This user has limited (lite) access to the system and features. They only have view-only abilities and have little case management functionality. These users can review hotline cases and add responses to the report.

What are the different user levels and what are their permissions?

- **Severity Level I:** The highest priority, as it is a serious and imminent threat to a person, property or environment, or one that just occurred. Immediate notification to the Client Coordinator(s) upon termination of the call will be made. Voice messages will be left if our calls are not answered.

- **Severity Level II:** The second highest priority, defined as a serious situation that requires prompt attention, but does not require immediate action. These calls are typically ongoing situations, like drug and alcohol use, workplace violence, or patient care issues that are not occurring at the time of the call. A call to the primary coordinator's business telephone number is made and a message will be left if the call is unanswered.

- **Severity Level III:** Calls that do not require immediate action (everything else).