



EthicsPoint Case Management

Overview

EthicsPoint delivers automated solutions for corporate Governance, Risk, and Compliance (GRC), using a Software-as-a-Service (SaaS) model. Our EthicsPoint Case Management solution provides an interface with the Sentrion Policy Engine to create incidents in the EthicsPoint central repository of compliance information to simplify monitoring, remediation, reporting, and audit.

Audience

Firms with that use the EthicsPoint Case Management service to respond to regulatory compliance requirements or industry best-practices mandates for email use and security.

Key Features and Functionality Overview

Financial firms, energy traders, healthcare organizations, and other regulated companies need a central repository of compliance-related information to ensure that required policies are in place, are being followed, and can be documented for audit purposes. For many companies, however, providing the infrastructure and people in-house to securely collect and manage compliance information can drain resources away from the core business.

EthicsPoint takes on the difficult tasks of data management as a SaaS provider, delivering information about compliance incidents from across the enterprise in a unified system that enforces consistency and transparency. With EthicsPoint, companies save on the cost and complexity of collecting, storing, and managing compliance data. More importantly, they gain a single tool that can be used for all their GRC needs, from investigating and resolving individual incidents, to fine-tuning departmental workflows for improved compliance, to providing management with detailed visibility into potential business risks.

Email is one of the primary vectors for business risk, and effective application of Sentrion policies is one of the best ways to mitigate email risk. Our EthicsPoint Case Management solution integrates the Sentrion Policy Engine with the EthicsPoint service, so you can analyze email incidents in the context of your entire company's risk mitigation and compliance efforts. Our Professional Services team creates custom extensions, enabling any Sentrion policy action to trigger an event in the EthicsPoint service in order to support:

- Identification of potential security breaches
- Preliminary screening and risk assessment
- Investigative and task management
- Collaboration with internal and external stakeholders
- Breach response planning
- Affected-party notification
- On-demand management reporting

While investigating a case, compliance officers can use EthicsPoint to see whether emails from a particular sender have been blocked and why. HR managers can look into complaints of emails with harassing or inappropriate content. Risk managers can research suspicious email activities to fine-tune policies. Auditors can investigate email-related incidents and evaluate the company's response. And they can do all this, and more, within the full context of the company's overall GRC activities. So a perplexing incident can quickly become an open-and-shut case.