Case Management Software

BUYER'S GUIDE

Case IQ™

BUYER'S GUIDE

WHY

In 2020, the SEC collected $4.68 billion in penalties.

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ROI

Case management software offers exceptional return on investment.

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How to get your superiors to buy in.

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What is Case Management Software?

Case management software is an organizational tool that makes it easy for investigators to create cases and manage multiple investigations and for companies to collect and analyze investigative data to manage risk and identify opportunities for improvement.

Centralized

With all case information stored in a centralized database, case management software provides complete documentation of an investigation, with all actions recorded in the case file. Digital evidence can be uploaded to the case file, including interview recordings and notes, emails and supporting documents.

Accessible Yet Secure

Web-based case management software adds another layer of utility, with the ability to access case files from anywhere with an internet connection. Some case management software platforms also provide a mechanism to set up access roles so that remote users can access the case information they need, while keeping confidential information secure and private.

ON THE FOLLOWING PAGE:

HOW CASE MANAGEMENT SOFTWARE WORKS

- Intake
- Case Management
- Reporting
- Alerts/Workflows
- Access/Roles

HOW CASE MANAGEMENT SOFTWARE WORKS:

Intake

Create new cases quickly and easily, collecting all complaints and case-related information from any intake stream into one central file.

HOTLINE
CALL CENTER
INTERNAL WEB FORM
EXTERNAL WEB FORM
EMAIL-TO-CASE

Case Management

Manage investigations with workflow rules that create a logical, structured process and all case information stored in one place.

NOTES
TO-DO'S
EMAILS
ATTACHMENTS
INTERVIEW REPORTS
INVESTIGATION REPORTS

Reporting

Analyze investigation data using summary reports that provide in-depth information on trends and areas of risk.

WRITER
DASHBOARD
DISTRIBUTION

ALERTS / WORKFLOW

ACCESS / ROLES

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Why do I Need Case Management Software?

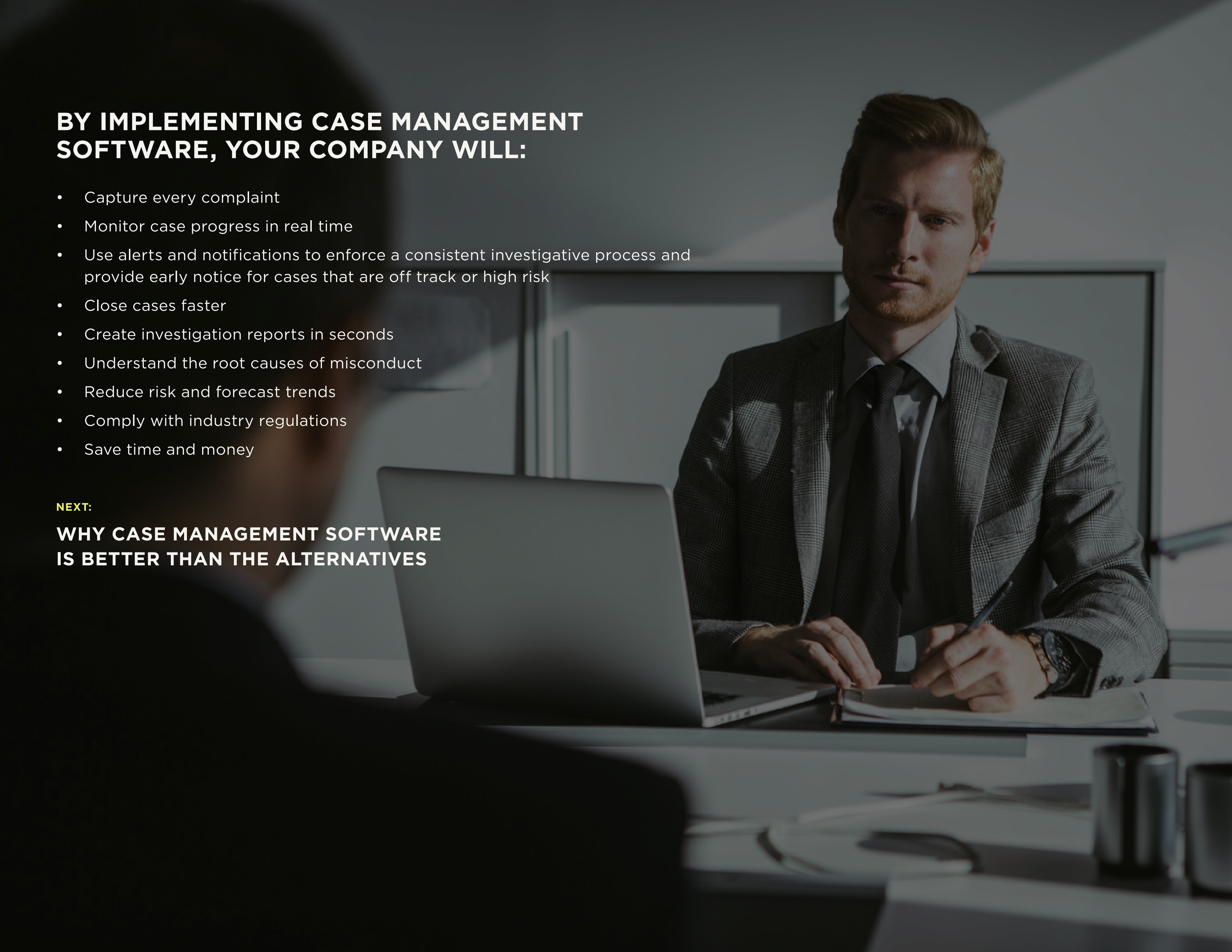
A centralized case management platform that contains all case information in an organized, accessible format for key stakeholders is key to an effective ethics & compliance program.

Case management software helps to protect organizations against risk in cases of ethics and compliance lapses.

If your company is using spreadsheets or an outdated in-house system to manage investigations, you are putting your company and its officers at risk. Valuable information may be falling through the cracks and you may lose court cases that you could have won if you had the bulletproof documentation that a case management solution provides. Workplace misconduct that isn't investigated and remedied quickly can result in expensive legal and settlement costs, while liability for ethics and compliance failures extends to company executives, who can be held criminally responsible for the ethical lapses of the organization.

IN 2018:

- The EEOC received 67,448 charges
- The DOJ collected approximately $6.4 billion in criminal fines for FCPA settlements
- The SEC collected $4.68 billion in penalties



BY IMPLEMENTING CASE MANAGEMENT SOFTWARE, YOUR COMPANY WILL:

- Capture every complaint
- Monitor case progress in real time
- Use alerts and notifications to enforce a consistent investigative process and provide early notice for cases that are off track or high risk
- Close cases faster
- Create investigation reports in seconds
- Understand the root causes of misconduct
- Reduce risk and forecast trends
- Comply with industry regulations
- Save time and money

NEXT:

WHY CASE MANAGEMENT SOFTWARE IS BETTER THAN THE ALTERNATIVES

WHY CASE MANAGEMENT SOFTWARE IS BETTER THAN HOME-GROWN AND SPREADSHEET SYSTEMS

Spreadsheets:

- Can't collaborate
- Multiple files that are out of sync
- Hard to create the final investigation report
- Users manually track activity, date and time, leaving the records open to mistakes and information gaps
- Users must cut and paste information into spreadsheets from other files resulting in high error rate
- No task assignment, alerts and deadlines
- No reporting

Home Grown:

- IT staff needed to maintain and troubleshoot
- In-house programmers required to update and fix problems
- May not have date and time tracking
- May not have task assignment, alerts and deadlines built-in
- May not have reporting
- May not be available outside the office

CASE MANAGEMENT SOFTWARE:

- No need for dedicated IT staff
- No hardware to buy
- No in-house expertise required for support and maintenance
- Case activity is tracked with the date and time for defence in court
- All information is in one centralized case file
- Investigators and managers can set alerts and deadlines to keep cases on track

ON THE FOLLOWING PAGE:

THE BEST TIME TO IMPLEMENT CASE MANAGEMENT SOFTWARE

- Our caseload is increasing
- Our team is expanding
- Our regulatory environment is changing
- We got in trouble

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The Best Time to Implement Case Management Software

There are several things to consider when deciding the timing for implementing case management software, but often it's changing circumstances that drive the need for a new system.

Our Caseload is Increasing: Often, the need arises because of an increased caseload that requires investigators and managers to track and organize case information more efficiently. Implementing a new case management solution as early as possible will prevent cases from falling through the cracks and will allow investigators to learn the system before their caseloads reach maximum capacity.

Our Team is Expanding: Team expansion could include the addition of more investigators, contract or full-time additional roles or even additional management. All of these scenarios could trigger a need for a more efficient, better organized system for managing and documenting investigations.

Our Regulatory Environment is Changing: The increased scrutiny by the SEC and DOJ with respect to FCPA violations has put heavy pressure on organizations to ensure their investigations are timely, thorough and well documented. An effective case management solution is part of a strong ethics and compliance program, so when it becomes necessary to beef up compliance, it's time to implement case management software.

We Got in Trouble: For many organizations, it's been painfully obvious when to implement case management software. They've been hit with huge fines, sanctions and reputation damage due to ethical lapses. Implementing an investigative solution sends a strong message that the company is taking ethics and compliance seriously and has been shown to help in reducing fines and sanctions.

Be Proactive

The best time to implement case management software is NOW. It's a lot easier to integrate a new solution in your operations when processes are running smoothly, rather than waiting until circumstances make it necessary.

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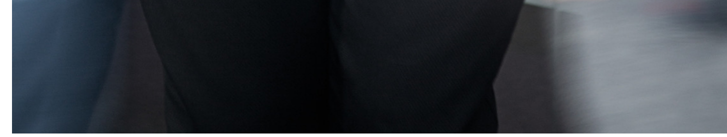
ROI

Case management software offers exceptional return on investment.

- Cost avoidance – less money spent on IT staffing, administrative personnel.
- Cost savings – scalable platform makes it less expensive to upsize or downsize.
- Increased productivity – fewer people can do more in less time.
- User adoption – investigators like using tools that make their jobs easier.
- Asset reallocation – extra staff can be reassigned to other areas where they're needed.
- Lower fines – proof of a timely, fair and complete investigation means lower fines and a strong defense.
- Lower litigation costs – solid documentation of investigations lowers – and sometimes eliminates – the cost of litigation.
- Fewer incidents – access to reports that help you analyze areas of risk and take preventive action.



COST COMPARISON:

Software for managing investigations can be complicated and in-house IT teams generally underestimate the costs to get you to the finish line.

Cost of Home-Grown

Software for managing investigations can be complicated and in-house IT teams generally underestimate the costs to get you to the finish line.

- Building a system from the ground up requires conceptualizing and designing from scratch, which is time-consuming and labor-intensive.
- Cost and maintenance of servers in-house is often more expensive than hosting.
- Information privacy compliance mechanisms must be researched and incorporated.
- You'll have to purchase and maintain secure information backup systems and hardware.
- IT staff must be dedicated for the entire building phase, taking them away from other tasks.
- Continuity and maintenance can be an issue when the staff who built the system leave.
- Software upgrades and support require getting into the internal IT services queue, and fighting to keep your priority.
- Penetration testing and security measures must be carried out at regular intervals, requiring IT staff time.

Cost of Case Management Software

The cost of ownership for case management software is much lower than the costs of building a home-grown system. Total cost of implementing case management software includes:

- Time spent researching companies, vetting proposals and attending demonstrations.
- A one-time setup fee, which is lower than staffing costs to build a home-grown system from scratch.
- A few hours of IT staff input to ensure compliance with your company's security and process requirements.
- A couple of weeks of staff time for implementation, spread over the course of two months.
- On-site or remote training to ensure your team is comfortable using your new system
- Annual licensing fees, which include 24/7 support, so that your IT department doesn't need to be involved.

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Three Steps to the Right Case Management Solution

Buying case management software will change the way your team manages investigations. They will be more organized and efficient, close cases faster and create better reports.

Choosing the right case management solution is crucial, both from a financial perspective and because it will affect the daily work lives of your entire investigative team. You'll need to assess your own situation, accurately forecast your future requirements and conduct comprehensive research into the solutions available and how they fit your needs. Based on your assessment and research, you'll need to go into the process with the right questions so that you can quickly identify and shortlist those vendors whose offerings match your needs.

HERE ARE THE STEPS YOU'LL NEED TO TAKE TO GET STARTED ON THE ROAD TO BETTER INVESTIGATIONS

ON THE FOLLOWING PAGES:

THREE STEPS TO FINDING THE RIGHT SOLUTION FOR YOU:

Step 1 – Self Assessment

Step 2 – Outline Strategy

Step 3 – Vendor Evaluation

STEP ONE:

Self Assessment

SELF ASSESSMENT

What system are you currently using to manage ongoing investigations?

How do you capture new cases?

How many people in your organization are involved in the day-to-day process of managing investigations?

How many investigations does your team usually have under way at any one time?

How do managers and supervisors oversee investigative caseloads and results?

STEP ONE

Taking stock of your current processes and systems will help you to identify the features that a new case management system should have.

SELF ASSESSMENT

How many jurisdictions/countries do you operate in?

Where do you store electronic evidence?

Do you have a mechanism for reporting and analyzing investigative data across locations?

In what areas does your current system fail to answer your organization's needs?

STEP ONE

A self assessment will also help you determine how a structured workflow can improve your processes.

STEP TWO:

Outline Strategy

OUTLINE STRATEGY

Who in your organization is involved in conducting investigations?

Who oversees investigations and how can you improve the way this is done?

How many jurisdictions/countries do you operate in?

What types of reports do you generate? What additional reports would improve your organization's performance?

How do investigators access their cases? Could this be improved?

STEP TWO

Now that you've identified what you currently have in place, it's time to asses what you need. The following questions will help you to decide on your requirements for a new case management solution and to build a strategy to help you find it.

OUTLINE STRATEGY

What other systems do you pull information from? Can this be conducted more efficiently?

How do you measure performance? Are there things you would like to measure that you currently don't?

What short-term goals do you hope to achieve with case management software?

What long-term goals do you hope to achieve with case management software?

STEP TWO

When responding to these questions, it's important to involve all the stakeholders in every department that will be affected by your new system. Investigations span roles, departments and locations, so your decision about case management software should take every aspect of the workflow into account.

STEP THREE:

Vendor Evaluation

VENDOR EVALUATION

Take notes during demos, keeping in mind the strategy you outlined in Step 2. Go back and review your answers in Step 2 periodically to ensure you are continually assessing products and vendors with your strategy in mind.

During the vendor evaluation phase, keep the following tips in mind:

1. **Insist on live demos** to give you insight into how the software functions, the speed at which it functions, and how easy or difficult it is to use. A live demo shows how complicated or intuitive the interface is and gives you an idea of what it would be like for users to interact with the software.
2. **Assess all the basic features** you would expect to use in a case management tool, including adding cases, setting alerts and notifications, creating reports and performing searches.
3. **Jot down questions** during the demo, but don't be afraid to interrupt if you have a question that's relevant to the feature that is being demonstrated. Keep in mind all the features you identified during Steps 1 and 2 and ensure you cover all of them. The person doing the demonstration may not have a full understanding of your needs and may not demonstrate all the features relevant to your processes.
4. **Use the questions on the following pages** as a basis to keep communication lines open, but customize them to your own organization if necessary. Make notes in the spaces provided to keep your information and thoughts organized and avoid confusing information from different vendors when attending several demos in the same day or series of days.

STEP THREE

Now that you've done the initial legwork, you're in a good position to start looking at vendors and products. Ask around to find out what products are in the market. Search online for case management solutions for investigations to gather a list of possible vendors to contact. Then start signing up for demos to see what each of the vendors offers and get a feel for the capabilities and limitations of the solutions you've found.

VENDOR EVALUATION

MOBILE OPTIMIZATION

YOUR NOTES:

QUESTIONS TO ASK

- How does the software perform when used on a smartphone or tablet? Is the application scalable for use on any device (i.e. is it built with adaptive HTML)?
- How do investigators access cases from the field? What restrictions are there on remote case access?
- Is the software compatible across browsers? What about on Mac versus PC computers and IOS versus Android devices?
- What kinds of files can be uploaded via mobile device?

VENDOR EVALUATION

TRACKING AND REPORTS

YOUR NOTES:

QUESTIONS TO ASK

- Does the software record all activity associated with a case?
- Is it capable of identifying the person who performed each activity and recording the information? Does it include date and time stamps for every activity associated with a case?
- Can the case information be exported into an investigation report that shows every step taken during the case?
- How are investigation reports created? How long does it take?
- Can investigation reports be customized for our organization? Can investigation report creation be automated?

VENDOR EVALUATION

SECURITY

YOUR NOTES:

QUESTIONS TO ASK

- How does the application ensure data security during transit? Is all information encrypted?
- Describe the information privacy mechanisms built into the software. Is there a way to control access levels for different users? How deep can the access levels be set?
- Is it possible to allow restricted access for third party users? How is information security ensured when third party users access case information?
- Describe the method for monitoring activity in case files. Is there an audit trail? What information is recorded in the case history?

VENDOR EVALUATION

REPORTING

YOUR NOTES:

QUESTIONS TO ASK

- What types of reports can be created and in what formats? Is it possible to generate ad-hoc reports?
- Describe the process for creating and distributing reports to stakeholders. Can the creation and distribution of reports be automated?
- What types of data can be reported on? How deep can we go when choosing data to report?
- How can reports be used to track cases and analyze risk?
- Can we create GIS based reports to see investigation trends geographically?

VENDOR EVALUATION

WORKFLOW

YOUR NOTES:

QUESTIONS TO ASK

- Can workflow be configured to match the way our organization currently manages cases?
- Can notifications and alerts be set to keep cases on track? How is this done?
- Is there a mechanism for assigning cases and tasks to users? How does the system track assignments?
- What types of notifications can be set? Who can set them?
- Is there a way to track milestones? Who can do this?

VENDOR EVALUATION

EMAIL

YOUR NOTES:

QUESTIONS TO ASK

- Can we send an email to the solution in order to create a new case?
- Can we send email from a case record? Are replies to those emails captured in the case file?
- Can we forward emails directly to an existing case file to make it part of the case history?
- Can we create email templates?

VENDOR EVALUATION

SEARCH

YOUR NOTES:

QUESTIONS TO ASK

- Does the application have a search function? How does it work?
- Is search updated in real time?
- Is the search function easily accessible? How easy is it to use?
- What can be searched? How specific can searches be? Are we able to filter search results?
- Can searches be saved for re-use?
- Can we search the contents of attachments? What types of attachments can be searched?

VENDOR EVALUATION

GLOBAL COMPATIBILITY

YOUR NOTES:

QUESTIONS TO ASK

- Can the software be translated to other languages? How many languages can be supported?
- Does the application comply with security requirements of the EU? What about other countries?
- Does the application comply with data privacy requirements of the EU? What about other countries?
- Can we anonymize certain regional data across jurisdictions to comply with international privacy regulations?

VENDOR EVALUATION

TRAINING AND SUPPORT

YOUR NOTES:

QUESTIONS TO ASK

- What types of training are provided to new users of the system? Is it on-site or remote?
- How much training is provided and is there an extra cost?
- How long does it generally take for new users to be proficient at using the software?
- Who provides support for the application? Is it outsourced or in-house? Is it available 24-7?
- Does the company offer peripheral training on investigative best practices, aside from training on using the system?

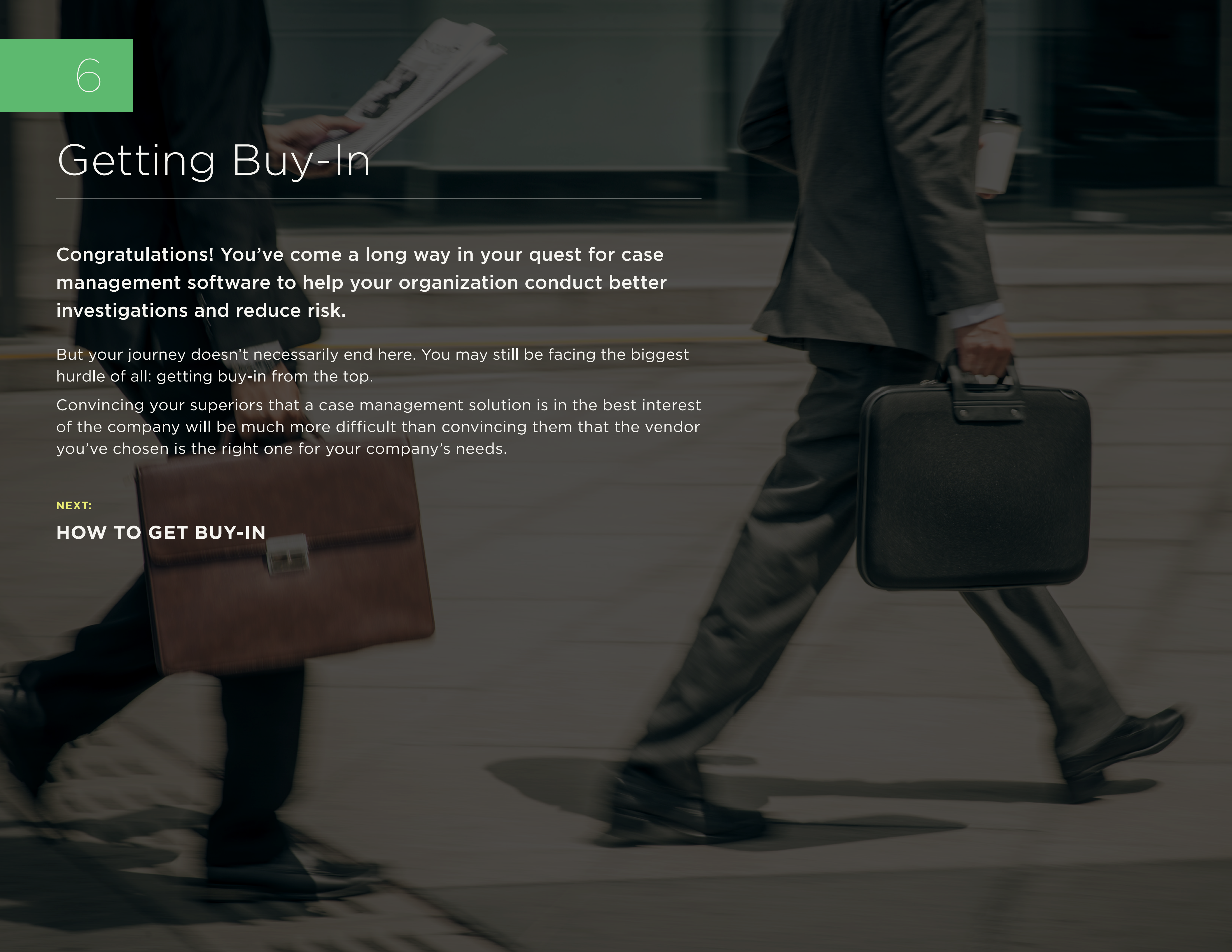
VENDOR EVALUATION

INTEGRATION/MIGRATION OF DATA

YOUR NOTES:

QUESTIONS TO ASK

- Can the solution support integration with our current tools and human resources databases?
- Can the software be configured to funnel complaints from hotlines, call centers, web forms, intranet forms, etc?
- Is it possible to migrate data from historical and legacy databases? What types of data can be migrated?
- Can the software feed data to other tools and databases? How does this work?



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Getting Buy-In

Congratulations! You've come a long way in your quest for case management software to help your organization conduct better investigations and reduce risk.

But your journey doesn't necessarily end here. You may still be facing the biggest hurdle of all: getting buy-in from the top.

Convincing your superiors that a case management solution is in the best interest of the company will be much more difficult than convincing them that the vendor you've chosen is the right one for your company's needs.

NEXT:

HOW TO GET BUY-IN

GETTING BUY-IN

1. **Establish the Need** Outline the financial, legal and regulatory risks your company faces by not having a case management solution in place.

TIP: Calculate the number of hours being wasted by investigators who have to travel to the office every time they want to update a case, or by cutting and pasting information from documents to create an investigation report. Emphasize the hard and soft costs of not implementing a case management solution.

2. **Present Options** Once the senior management team accepts your assumption that the company needs a new case management solution, provide several options. By presenting only one option it's an all-or-nothing scenario. If they reject your option, you have to go back to the drawing board.

TIP: Present three or more solutions to stimulate dialogue and discussion of the advantages and disadvantages of each. Have your arguments prepared, with the solution you have chosen coming out as a clear winner. This gives your senior team a chance to participate in the evaluation and selection of a vendor.

3. **Encourage Discussion** By listening to what your executive team's concerns are as they arise, you'll be in a better position to defend your recommendation by addressing their concerns as you continue through the presentation, rather than getting to the end only to find out that you should have taken a different angle, based on a concern you didn't know about.

TIP: Be sure to include representation from the IT department so you can address their concerns early on. This is one department that has a lot of power when it comes to decisions about implementing software solutions, so ensure you involve them from the start.

4. **Provide Examples** Tell the stories of companies that have improved operations using the solution you are recommending.

TIP: Use your chosen vendor's case studies to show how similar companies have streamlined their processes and saved time and money by implementing the solution.

5. **Follow Through** After your presentation, make a list of things you need to follow up and communicate your progress to the management team in a weekly progress report.

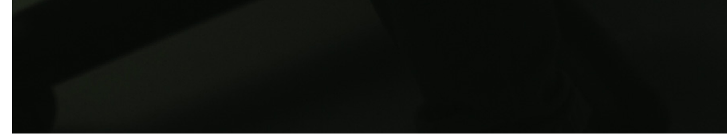
7

Preparing for Implementation

Before you embark on your new case management software implementation project, there are several things you'll need to do to ensure the process runs smoothly and stays on schedule.

Naturally, the approach to your software implementation project will depend on the size and complexity of your stakeholder group, but every project benefits from proper planning.

By answering the following questions, you'll be able to supply your chosen vendor with the information they will need to initiate the project and define accurately the scope and framework.



PREPARING FOR IMPLEMENTATION

Identify stakeholders:

- Who is affected by the processes involved?
- Who needs input into the project?
- Who is responsible for decision making?
- Who holds veto power on any decisions?

Identify reporting requirements:

- What reports do we need?
- What inputs are needed to produce these reports?
- Where do these inputs come from?
- Do they depend on any other inputs?
- How do we need these to be integrated in the new system?
- What structure do these reports take?

Identify integration requirements:

- What data do we have?
- Where is it?
- Do we need to be able to pull information from and push information to other systems?

Identify regulatory requirements:

- What regulatory requirements do we need to consider?
- What data privacy laws govern how we store and transport case information?
- What data do we need to report and to whom?

One-on-One Advice

Our team of experts has implemented Case IQ for companies around the globe.

They are available - free of charge - to speak with you and share the best practices we've learned.
No pushy sales people, just a chance for you to learn from our experts.

With a single focus on investigative case management solutions and a two decades of successful implementations, Case IQ is the global leader in configurable case management software for investigations. To get a demo please visit http://caseiq.com/request-a-demo/

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