EU WHISTLEBLOWER PROTECTION DIRECTIVE

Put Convercent Solutions to Work and Meet Directive Requirements

Employers face **six key action items** under the EU Whistleblowing Directive. You are required to:

1. **Establish reporting channels and processes**
2. **Communicate and train employees on the reporting channels**
3. **Ensure that employees and others understand who the Directive protects**
4. **Ensure that employees and others understand the reporting scope of the Directive**
5. **Implement and communicate anti-retaliation measures**
6. **Establish and communicate feedback on the investigation processes and timescales**

We can support you as you tackle each key action item

1 **Establish reporting channels and processes:** These should include access outside the firewall for non-employees, contractors, job seekers, family members and more.

How We Can Help You:

- Convercent's Helpline can be made available to the public and wider stakeholders so that it is accessible to all who have a 'work-based relationship' with the organisation.
- Convercent's website and telephony numbers all work outside of a corporate firewall or employee login, so they are, by their nature, public-facing. However, customers can choose not to name their organisation on the Convercent intake landing page, and they can choose not to publish their intake url and phone numbers outside of their company (i.e. keep their intake channel information on an internal portal). However, should an external party access the intake url or the phone numbers, there is nothing stopping them from reporting a case.

- One recommendation is that customers create specific intake channels that are tailored to each of their external groups—customers, partners, etc.—and then front these with vanity URLs. For example, *companywebsite.com/ethics-and-compliance/customers* redirects to the customer-specific intake channel.

2 **Communicate and train employees on the reporting channels** and their hierarchy, and establish guidance for non-employees e.g. via company websites, vendor portals and more.

How We Can Help You:

- Using Convercent's Policy and Learning tools, customers can send polices and training content to all employees (or specific subsets) and require that they attest or complete (and pass), enabling the organisation to report and prove that employees have accepted and understood their responsibilities.
- Additionally, Customers using Convercent's Ethics and Compliance Portal can create a page for each stakeholder group that teaches them what they should be reporting, host videos that promote the 'why' behind an E&C programme, and provides links to their specific intake channel (see example in Item 1).

3 **Ensure that employees, compliance officers, legal officers and others (including non-employees) understand who the Directive protects** (the channels and processes established in Item 1 clearly need to support these).

How We Can Help You:

- Convercent collaborated with data privacy experts to understand the Directive, and compiled a host of information and resources in this dedicated Regulation page.

  There you can find:

  - Our guide on what the directive means for different organisations
  - A timeline of what's happened and what's to come
  - The Directive's regulatory scope
  - The key capabilities a hotline needs in order to comply
  - Our blog series detailing core directive components
  - An overview of Convercent's Helpline

  Convercent invites customers to leverage this information, whether to use as a base to create your own content, or to simply direct stakeholders to the guide, blog series, and more.

- Whether using Convercent's Ethics and Compliance Portal or an alternative intranet/central hub for ethics and compliance resources, we recommend that you include a specific section on the EU Whistleblower Directive.

4 **Ensure that employees, compliance officers, legal officers, and non-employees understand the reporting scope of the Directive**, which is extensive (and will be widened further by some EU Member States as part of their implementation).

How We Can Help You:

- Like we mentioned above, your Ethics and Compliance Portal or corporate intranet is a key resource for sharing information on the EU Whistleblower Directive with your employees. Ensure that the resources you provide lay out the Directive requirements in plain language. The benefit of using Convercent's Ethics and Compliance Portal to meet this need is that it can be made visible outside your corporate firewall, allowing you to educate non-employees on the requirements with which they are expected to comply.

5 **Implement and communicate your anti-retaliation measures** and protective measures regarding confidentiality and identity.

How We Can Help You:

- Proactively, Convercent's Ethics and Compliance Portal can be used to educate stakeholders on your anti-retaliation policy and the measures your organisation is taking to ensure no retaliation occurs.
- Reactively, the Convercent Case Manager enables customers to set Retaliation Tasks at the case level, which prompt investigators to go back to a case and make sure the reporter hasn't faced retaliation as a result of their report.
- Some customers have used this functionality as part of the company pay review and promotion procedure. You may also implement a rule that when any employees are under a review while involved with an ongoing case, the Convercent application must be referenced to check for courses completed, policies attested to, etc.

6 **Establish and communicate feedback and investigation processes and timescales** that meet the Directive's requirements (three months or, exceptionally, six months).

How We Can Help You:

- Current Convercent customers are encouraged to leverage the data they gather from Convercent applications to create visibility into organisational justice. The Insights analytics tool enables extensive summary report options, including internal benchmark reports on sanctions. These annual or biannual reports can inform employees how many reports were made, the average time it took to close a report, and more. This builds trust for reporters that the company deals with cases properly and that action is taken.
- Convercent Helpline's flexible intake channels (Phone, Web, Manager/Supervisor/Open-door, SMS texting) allow reporters the option for full or partial anonymity (please note that anonymity is mandated differently

across EU member states). Anonymity is a key indicator for trust in organisations. Programme managers can use internal benchmarks on anonymity rates to identify parts of the organisation that lack trust. These indicators inform which employee subsets require additional communication via the Convercent Campaigns tool.

- Convercent's Case Manager streamlines your investigation process, helping to reduce average time-to-close to 23 days, a reduction of 48 percent compared to industry average. The system centralizes all aspects of a reported case, allowing the appropriate team members to access all the information they need at a moment's notice.

All Convercent applications mentioned here can be combined as part of the Convercent Ethics Cloud Platform for even greater visibility into your reporting data, risk profile, employee engagement, and more. Plus, combining two or more Convercent applications streamlines your compliance program for greater efficiency and effectiveness. To learn how combining applications within the Ethics Cloud Platform can save you money, help you work faster, and catapult your program forward, request a demo or get in touch with your Customer Success Manager today.