

# Is your compliance proactive or reactive?

Monitoring, investigating, and resolving Code of Conduct, Regulatory, and Employee Equal Opportunity violations quickly is an essential part of a legal and HR leader's job. Unfortunately, while you may have a strong legal process to follow, you may not have the supporting technology to execute.

Fact-finding is often a lengthy and labor-intensive process. If you don't have adequate supporting technology, you may not be able to root out wrongdoing or the process may take too long. An Advanced Information Archive is a foundational technology that will help accelerate your process and protect the organization and its employees from misconduct.



Governance is a top **board room concern** in today's workplace. The impacts of remote work and social inequalities has organizations **shifting to a proactive approach to resolve Code of Conduct issues.**

## THE REACTIVE INVESTIGATIVE PROCESS IS COMPLEX



Today's process is long. Legal or HR fact-finders have to request data from the IT department who shares the raw data they have (usually in the form of hard-to-manage .pst files). This can slow down the process and risk data leakage and with remote work, information can be anywhere. **89% of IT leaders agree that the lift in virtual communications has increased compliance risk.**



## THIS PRESENTS CHALLENGES

### Having to rely on IT to collect and provide data risks privacy and slows the investigation process...

Speed is essential to prevent ongoing harm to the company and individuals. If an issue is suspected, and remediation takes too long, there will be greater impact (like continued theft or harassment), which creates an unsavory snowball effect of damaged trust and reputation-- and possible lawsuit. Using raw data from IT to fact-find is slow and cumbersome. Scalability is key. Take back control of the investigation process and remove privacy risks and bottlenecks.



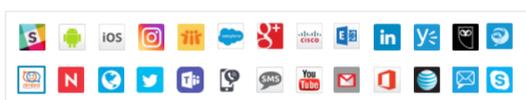
By 2023, Gartner predicts **70% of complex e-discovery cases will be managed by in-house IT leaders**, up from less than 20% today, due to the increasing volume of information.

### More channels and low visibility means more potential for violation...

Email often shines a light on compliance issues, but today's communications involve more channels than email alone. Legal and HR leaders with a reactive approach lack visibility into channels where potential violations may occur.



For example, **52% of attorneys said they expect an increase in lawsuits** related to social media over the next year.



### Building integrity and trust into work culture matters for your brand...

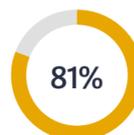
Governance and compliance are top boardroom concerns because they impact culture and brand image. Remote work and social inequality has organizations shifting to a proactive approach to enforce the full range of Code of Conduct issues from theft to equal-opportunity. Companies who investigate and resolve issues are better run, more successful, and less exposed to corporate liability for individual employee misconduct.



Gartner says some **40%** said they would stop doing business with a brand if it lost their trust.

#### Employees exposed to a strong culture of integrity are:

- 90%** less likely to observe misconduct
- 2.4x** more likely to exhibit higher levels of discretionary effort
- 1.5x** more likely to report observed misconduct



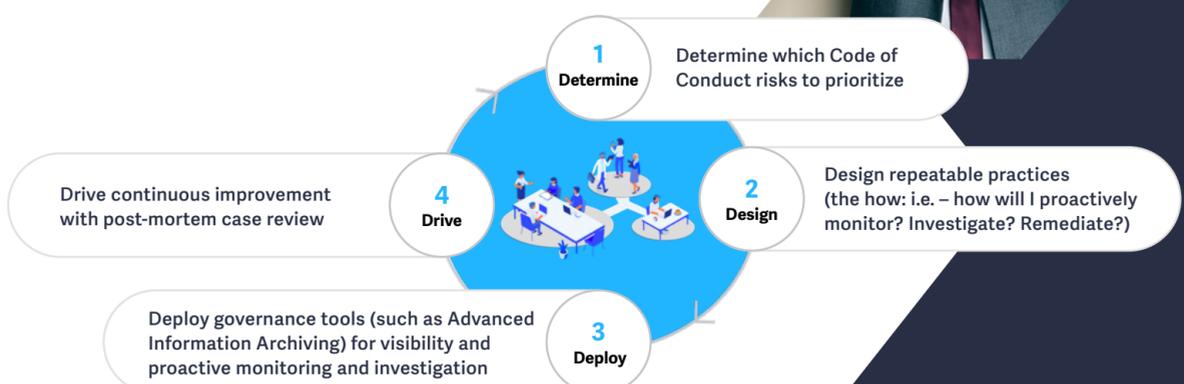
In an Edelman survey, customers ranked **brand trust as a top consideration** when making a purchase, with **81% of customers** saying they "must be able to trust the brand to do what is right."

## THE SHIFT TO PROACTIVE COMPLIANCE

### Follow the Compliance Lifecycle to make the shift

So what's the next step? If you have already determined your Code of Conduct priorities, you may need help next with putting your repeatable policies into practice. You may also need help with proactive monitoring and streamlining the investigation process for faster case resolution.

Zix Advanced Information Archive is an easily deployable governance tool that helps you put your proactive approach into action.



### Benefits of proactive code of conduct compliance...

- Reduce probability of going to trial
- Reduce settlement or litigation costs
- De-risk privacy violations from data leakage in the investigation process
- Speed process and free resources by eliminating IT from the virtual communications investigation process

### Deploy an archive that was designed with simplicity in mind. You can easily...

- Set up proactive monitoring and investigation for code of conduct violations
- Set up auto-alerts to legal and HR for red flags
- Single-click for litigation holds
- Securely share information with third-party investigators, stakeholders, and/or decision makers
- Enhance your ability to review emails over and above review in the .pst format