

CASE TYPE EXAMPLES

When to file a report

It's often hard to know what constitutes misconduct and when to file a whistleblower report.

The best place to find information is within a company's Code of Ethics and Whistleblower Policy. The information seen there should provide guidance on what types of behaviour undermines a company's culture and values, and what it considers unethical – this is when employees can speak-up!

A third-party incident reporting and case management system allows employees to anonymously and confidentially file an incident report. It also allows management to quickly and thoroughly investigate every report received that could pose a threat to the organization.

Following are examples of various types of misconduct employees may face in the workplace. These examples are meant to cover a broader spectrum found throughout the workplace. Every company will expand on these examples based on its industry, culture, and values.

Use the IntegrityCounts incident reporting tool to anonymously report on the following...



A CRIME AGAINST

FILE AN INCIDENT REPORT

Conflict of Interest

WHAT

A conflict between the private interests and the official responsibilities of a person in a position of trust.

EXAMPLES

- A relative or close friend reports to a supervisor who affects their job responsibilities, pay, and promotions
- A male manager dates an employee who reports to him
- An employee works part time in the evening for a company that makes a product that competes with the products of his full time employer

Criminal Activity

WHAT

An act committed in violation of law where the consequence of conviction by a court is punishment.

EXAMPLES

- White collar crimes committed in the context of an occupation, such as stealing money, insider trading, tax evasion
- Property crimes such as burglary, larceny, theft, arson
- Personal crimes such as aggravated assault, robbery, murder

Financial Reporting / Accounting

WHAT

Falsifying the formal record of financial activities, position of business, person or other entity.

EXAMPLES

- Fictitious revenue
- Inadequate disclosures
- Improper asset valuation
- “Cooking the Books”
- Altering financial statements



A CRIME AGAINST

Fraud /
Embezzlement

FILE AN INCIDENT REPORT

WHAT

Willfully withholding assets for the purpose of using them for personal gain.

EXAMPLES

- Pocketing money from a cash register
- A vendor giving an employee money in exchange for continued service to a company
- Falsification of overtime records
- Fictitious names added to a company's payroll or accounts (phantom employee or vendor)

Harassment /
Discrimination

WHAT

Harassment - unwanted physical or verbal behaviour that offends or humiliates.

Discrimination - unjust or prejudicial treatment of different categories of people or things, like race, age, or sex.

EXAMPLES

- Unwelcome remarks or jokes about race, religion, sex, age, disability
- Unwelcome physical contact
- Denying someone goods, services, facilities or accommodation
- Retaliating against a person who has filed a whistleblower complaint

Substance Abuse

WHAT

Overindulgence in or dependence on an addictive substance, especially alcohol or drugs, that may affect work ethic.

EXAMPLES

- Use of alcohol on the company premises if not permitted
- Use of drugs on the company premises if not permitted
- Selling, buying, transferring, or distributing alcohol or drugs on company premises



A CRIME AGAINST

Violence and/or
Abuse

FILE AN INCIDENT REPORT

WHAT

Unwanted physical or verbal behaviour that offends, humiliates, or physically harms.

EXAMPLES

- Physically abusing or threatening someone
- Pushing, shoving, screaming, swearing, etc.
- Excluding or isolating someone socially

Workplace Health
and Safety

WHAT

A concern with the safety, health and welfare of people engaged in work or employment.

EXAMPLES

- Obstructing an exit route
- Inadequate guarding of moving machine parts
- Lack of record keeping
- Improper reporting of injuries or illnesses

Privacy

WHAT

Disclosing personal information against a person or company that is not public concern or interest.

EXAMPLES

- Telling a relative or friend information about a company or its employees
- Discussing confidential information in a public area
- Signing or impersonating another person's initials or signature
- Copying and forwarding personal information related to clients, or staff, to a third party without verbal or written consent



A CRIME AGAINST

FILE AN INCIDENT REPORT

Information Security

WHAT

A breach against the defense of information including unauthorized access, use, disclosure, disruption, modification, perusal, inspection, recording or destruction.

EXAMPLES

- Cybercrime – using a computer or network in the commission of a crime
- Using email, internet, notice boards, chat groups, etc., to intentionally harm the reputation of a company and / or employee
- Hacking, copyright infringement, cyber stalking, identity theft, etc.

Product and Customer Service

WHAT

An act that jeopardizes the integrity of company's products and / or services. A lack of assistance and / or advice provided to people who buy or use a company's product or service.

EXAMPLES

- Bad treatment of products
- Negative comments about products and / or services
- Failure to answer phones and return messages
- Poor communication
- Not making customer needs a top priority

OPEN COMMUNICATION

Many times, misconduct may not be happening intentionally. Lack of communicating, or understanding, a company's values, culture, or code of ethics could potentially enable an employee to unknowingly participate in something they may not necessarily understand the consequences of.

A third-party reporting and case management system is a great place where new ideas can also be coupled with one or more of the above reported incidents. It's a great place for the shy employee to come forward with ideas for improvement on, or better communication of, various situations...



OPEN COMMUNICATION

Suggestions for Improvement

NEW IDEAS OR SUGGESTIONS

WHAT

A confidential reporting system is a great place for employees to anonymously provide suggestions for improving a company's policies, processes and performance. These ideas can be coupled with an incident that has been reported, or given singularly in their own unique instance.

EXAMPLES

- New idea to communicate a company policy or other communication in an attempt to engage employees
- Improving instructions on company products / services if customers have been confused
- Holding fun activities during the workweek
- Improving safety signage in workplace and common areas
- Ideas to keep the office cleaner / more comfortable / better decorated
- Have a relaxation space
- More frequent maintenance of equipment / machinery / office space

Vision and Values

WHAT

A confidential reporting system can be used to anonymously provide ideas for enhancing a company's fundamental values and ethical principles which govern the activities of the organization.

EXAMPLES

- Updating a company's vision and values to make them more relatable within the company, or more relevant to current global and cultural issues:
 - Focus on current environmental factors
 - Including more modern ideals, eg, LGBT, Race, Religion
 - Focus on better recycling
 - Keeping up to date with changes in technology, crime, discrimination issues, etc.

