



2024 Investigative Case Management Benchmark Report from Case IQ

Case IQ

Executive Summary

Benchmarking data is critical to the improvement of any organizational process, and investigators can benefit from understanding what their peers in other organizations are experiencing. How does your volume of cases compare to peer organizations? What percentage of cases are substantiated? What is the outcome of those substantiated cases? How do peer organizations resource the investigation function? How do they view their use of case management systems? To what extent are peer organizations leveraging AI in investigations?

This report will provide useful data to help investigators benchmark their organizations against other, similar organizations. In this report, you'll see that:

Adding more intake channels leads to greater levels of incident reporting and transparency.

Organizations currently offer multiple intake methods and support a mix of employee and non-employee reporters but are not optimizing their intake methods to the fullest degree. Demand is high for adding further intake channels, as the survey results show investigation and substantiation rates improve as more intake channels are offered. Adopting under-utilized automated reporting channels will help meet organizations' needs for greater efficiency, speed and transparency.

Investigators are cautiously adopting AI into their investigation processes, adding value to intake, case management, and reporting/analytics.

Currently, integrating AI into the investigative process improves intake, case management, and reporting/analytics, but respondents are mindful of privacy concerns, leadership buy-in, and trust in the output of AI-driven tools.

Case management systems (CMS) contribute positively to organizational effectiveness, most strongly in the areas of case management efficiency and risk avoidance.

An opportunity still exists to improve the impact of CMS on employee sentiment and morale.

Overall, increased reporting channels, better automation in systems, and artificial intelligence (AI) integration are key needs for organizations.

Introduction

OVERVIEW:

Case IQ, in collaboration with Phase 5 Consulting Group Inc., conducted an in-depth benchmarking study involving over 400 North American professionals working in HR, compliance, fraud, security, and other investigative roles in the first half of 2024. By partnering with a third-party research firm, Case IQ provides an unbiased and methodologically sound approach to collecting, analyzing, and reporting this study's findings.

This comprehensive study focuses on understanding workplace investigation statistics and processes, aiming to provide actionable insights for investigators. The findings from this study offer a detailed look into current practices and suggest improvements that can enhance investigative outcomes and efficiency.



METHODOLOGY:

Online survey of 405 respondents who were recruited via a specialty online B2B research panel.

Respondents were screened to ensure they met specific criteria, including:

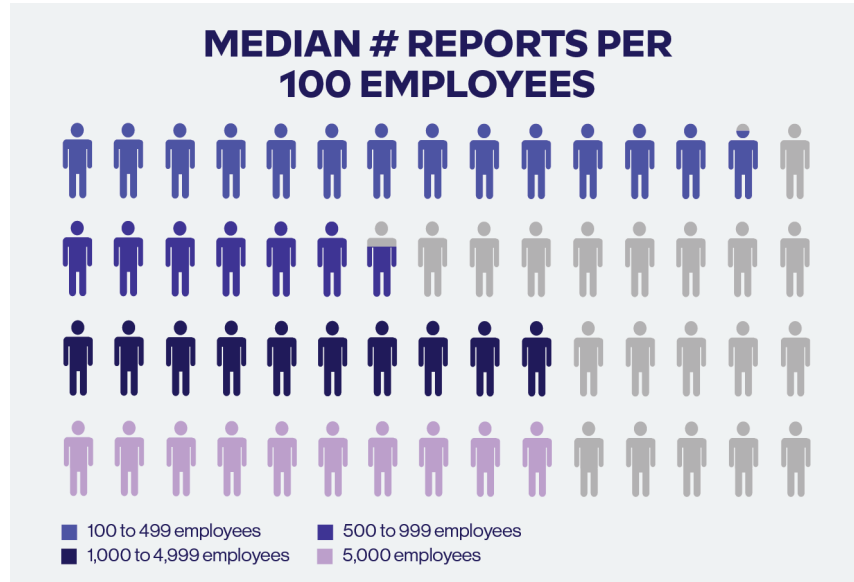
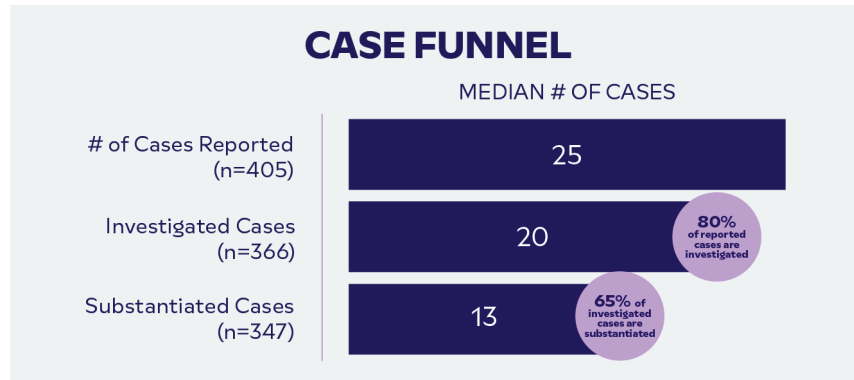
- + Located in the US [n=364] or Canada [n=41]
- + Role involves responsibilities for case reports, investigations and management related to at least one incident type (see table)
- + Have and be familiar with the process for reporting / investigating reports (i.e., purchased solution or internal process for at least one relevant incident type)
- + Have 100+ employees both globally and in North America

Respondents who could provide data for multiple incident types were asked to answer for only one incident type, based on the area for which they could provide the most comprehensive information.

Case Volumes and Rates

KEY NUMBERS:

- Organizations see a median of five reports per 100 potential reporters and 10 reports per 100 employees.
- Approximately 30 percent of cases are reported anonymously.



IMPLICATIONS FOR INVESTIGATORS:

The study indicates that organizations offering more intake methods experience higher rates of anonymous and non-employee reporting. Most reports include the reporter's name, regardless of the intake method used. The majority of reported cases are investigated, and around two-thirds of these are substantiated. Lower case volumes per investigator and higher rates of anonymous reporting are associated with more and higher-quality investigations. Additionally, substantiation rates tend to improve when more intake methods are offered.

Encouraging anonymous reporting can increase the likelihood of uncovering issues that might otherwise remain hidden. Offering a diverse range of intake methods streamlines the process for reporters and ensures a higher rate of investigation and substantiation. Monitoring and managing case volumes per investigator is necessary to maintain high investigation and substantiation rates.

Intake Methods and Reports Supported

KEY NUMBERS:

The study reveals that organizations typically offer a median of four intake methods, providing support to a median of 350 employee reporters and 200 non-employee reporters. Organizations that provide four or five intake channels receive 52 percent more reports than those that offer two or three.

WHAT INTAKE CHANNELS DO ORGANIZATIONS OFFER?

Intake Methods	% Offer
Email	83%
Web Portal	73%
Direct Contact	60%
Chatbot	35%
Live Answer Hotline	33%
Text Messenger	30%
Live-person SMS-Chat	28%
Mobile App	28%
Virtual Hotline	25%



IMPLICATIONS FOR INVESTIGATORS:

The most prevalent intake methods are email, web portals, and direct contact to the investigator (email, phone, walk-in). Channels that facilitate direct communication or form-based reporting are utilized more frequently. Although there is a high level of satisfaction with current intake methods, there is a significant need to increase the number of available reporting channels and to implement greater automation in reporting processes.

Survey respondents agree - 87 percent of them said they plan to increase the number of intake channels they use.

To accommodate different preferences and needs of reporters, including both employees and non-employees, it is vital to increase the variety of intake methods. Implementing automated reporting channels can significantly improve reporting efficiency and overall satisfaction with the process. Regularly assessing and optimizing the mix of intake methods ensures they meet the needs of all reporters effectively.

Anonymity

KEY NUMBERS:

Around 30 percent of case reports are made anonymously, with higher rates of anonymity for fraud, Title IX, or HR/Employee Relations incidents. There is little variation in the proportion of anonymous reports by company size, although companies with 100-499 employees tend to have more reports containing the reporter's name (76 percent on average per incident type).

% OF REPORTS MADE ANONYMOUSLY

MEDIAN OVERALL & BY INCIDENT TYPE



IMPLICATIONS FOR INVESTIGATORS:

The study indicates that organizations offering more intake methods experience higher rates of anonymous and non-employee reporting. Most reports include the reporter's name, regardless of the intake method used.

Offering a diverse range of intake methods, and ones that offer confidentiality, increases reporter confidence and ensures a higher rate of reporting, investigation, and substantiation.

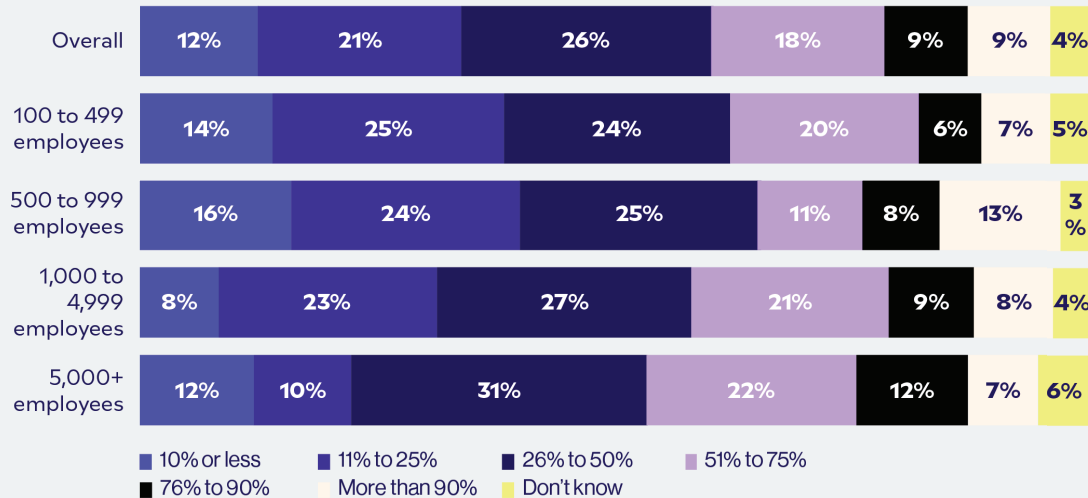
Substantiation Rates

KEY NUMBERS:

Survey respondents reported a median incident substantiation rate of 40 percent. Substantiation rates were higher among larger organizations with 5,000+ North American employees (50 percent v. 37-40 percent with 100-4,999 employees) and those better resourced to investigate cases, with fewer active cases per investigator (50 percent substantiation rate when investigators are handling one to five cases v. 35-40 percent when active caseload is six or more per investigator).

% OF REPORTS THAT WERE SUBSTANTIATED

RANGE OVERALL & BY COMPANY SIZE (NORTH AMERICAN EMPLOYEES)



IMPLICATIONS FOR INVESTIGATORS:

Organizations with smaller caseloads per investigator and more resources have higher substantiation rates. Smaller organizations or those with smaller investigative teams and budgets should evaluate their intake and triage processes to ensure they are substantiating cases properly. A lack of resources could lead investigators to “sweep reports under the rug” if they don’t seem urgent or serious, which could lead to decreased organizational trust and employee morale, escalating issues, and even lawsuits for mishandling an incident.



Case Closure Times

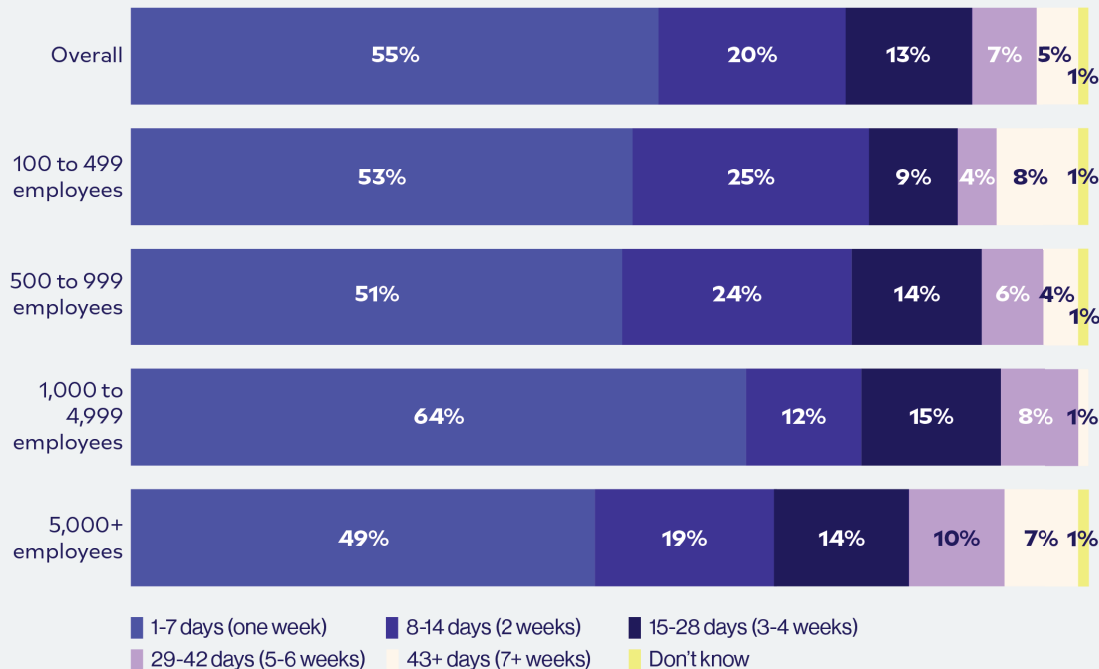
KEY NUMBERS:

Organizations close cases in a median timeframe of seven days, regardless of organization size. Case closure times tend to be slightly longer for large organizations (closure times for organizations with 5,000+ employees were one day longer than smaller organizations, on average).



TIME TO CASE CLOSURE (DAYS)

RANGE OVERALL & BY COMPANY SIZE (NORTH AMERICAN EMPLOYEES)



IMPLICATIONS FOR INVESTIGATORS:

Maintaining a median case closure time of seven days across most organizations reflects efficient case management, though larger organizations experience slight delays due to increased complexity and volume. Investigators can uphold or improve this standard by leveraging technology, standardizing processes, ensuring adequate resources, and engaging in continuous improvement and training. Effective communication, collaboration, and balancing speed with thoroughness are also crucial. Addressing specific challenges in larger organizations, such as streamlining workflows and mitigating bureaucratic delays, will further enhance case closure efficiency and maintain organizational trust.

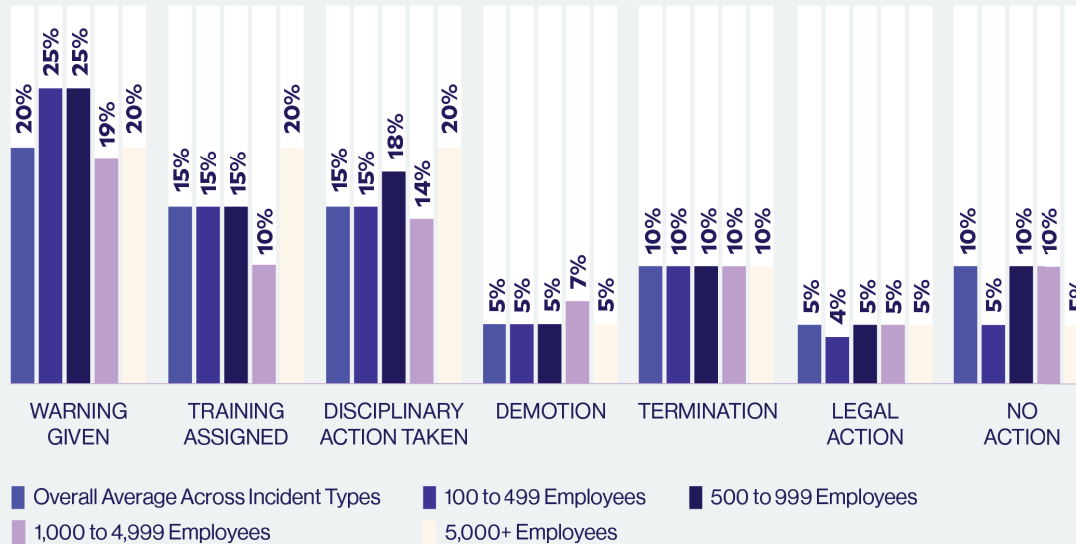
Investigation Outcomes

KEY NUMBERS:

Respondents to the study indicate that the vast majority of substantiated cases (90 percent) resulted in an action being taken. Warnings were the most frequent outcome for substantiated cases, with a median of 20 percent across incident types. Demotion and legal action occurred least frequently, each with a median of five percent per incident type, and were most common for cases related to fraud investigations and corporate security. Outcomes were the least severe for HR accommodations and health & safety cases, which typically resulted in warnings or training.

% OF SUBSTANTIATED REPORTS RESULTING IN OUTCOMES

MEDIAN OVERALL BY EMPLOYEE SIZE



IMPLICATIONS FOR INVESTIGATORS:

Ensuring consistency and fairness in the outcomes of substantiated cases is essential for maintaining organizational integrity and trust. Investigators should apply a consistent framework for evaluating the severity of infractions and determining appropriate actions, taking into account the specific circumstances of each case while adhering to organizational policies and legal requirements.

Proper documentation and reporting of outcomes are key elements of transparency and accountability. Investigators should maintain detailed records of actions taken on each case, including the rationale for the chosen outcomes. This supports the investigative process, streamlines future incident handling, and provides valuable data for future audits and reviews, helping to identify trends and areas for improvement.

Investigation Processes

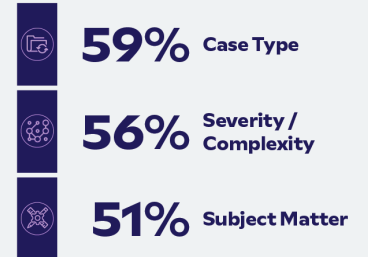
KEY NUMBERS:

Organizations typically have one investigator per 100 reporters and two investigators per 100 employees. Those investigators manage an average of five cases at a time. Investigation processes are generally standardized and collaborative, with regular training sessions reinforcing these practices. Fraud investigations and corporate security departments are better resourced, leading to shorter case closure times and higher investigation and substantiation rates. In contrast, ethics and compliance departments tend to be less well-resourced, resulting in longer case closure times.

INVESTIGATION STRUCTURES ARE:



CASES ARE ASSIGNED PRIMARILY BASED ON:



NUMBER OF ACTIVE CASES PER INVESTIGATOR

MEDIAN OVERALL & BY COMPANY SIZE



Across All Use Cases

# of Investigators / 100 Reporters	1
# of Investigators / 100 Employee Reporters	2

# of Cases per Investigator	Median Substantiation Rate	Median # of days to close a case
1 - 5	50%	7
6 - 25	40%	7.5
26+	35%	10

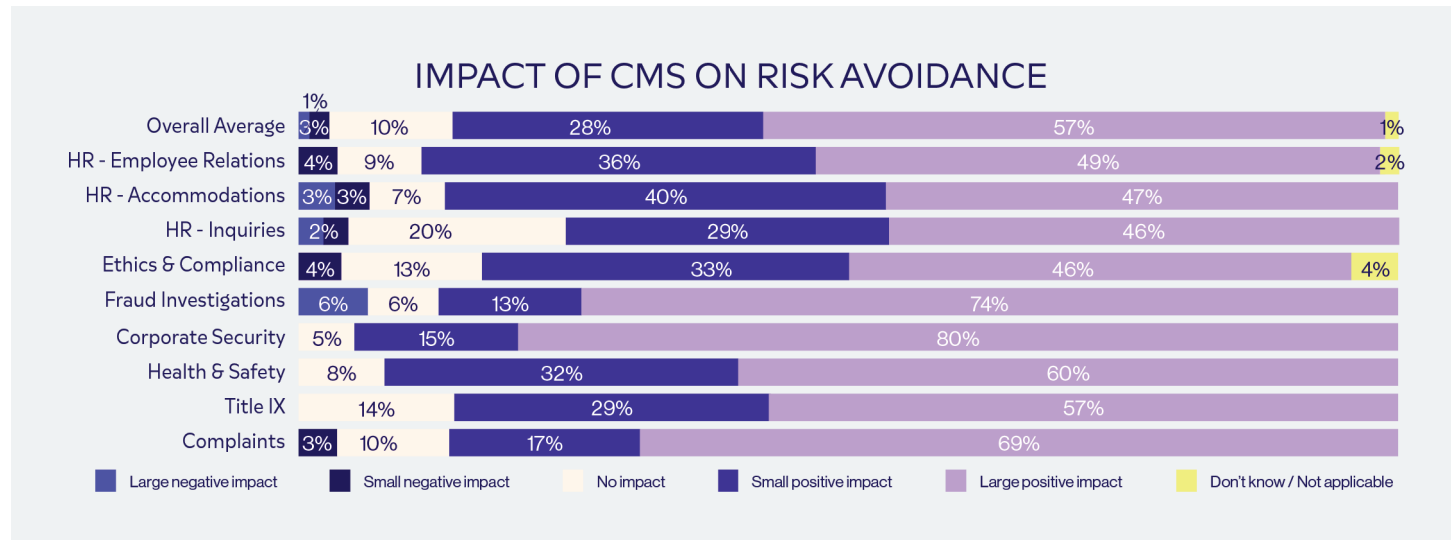
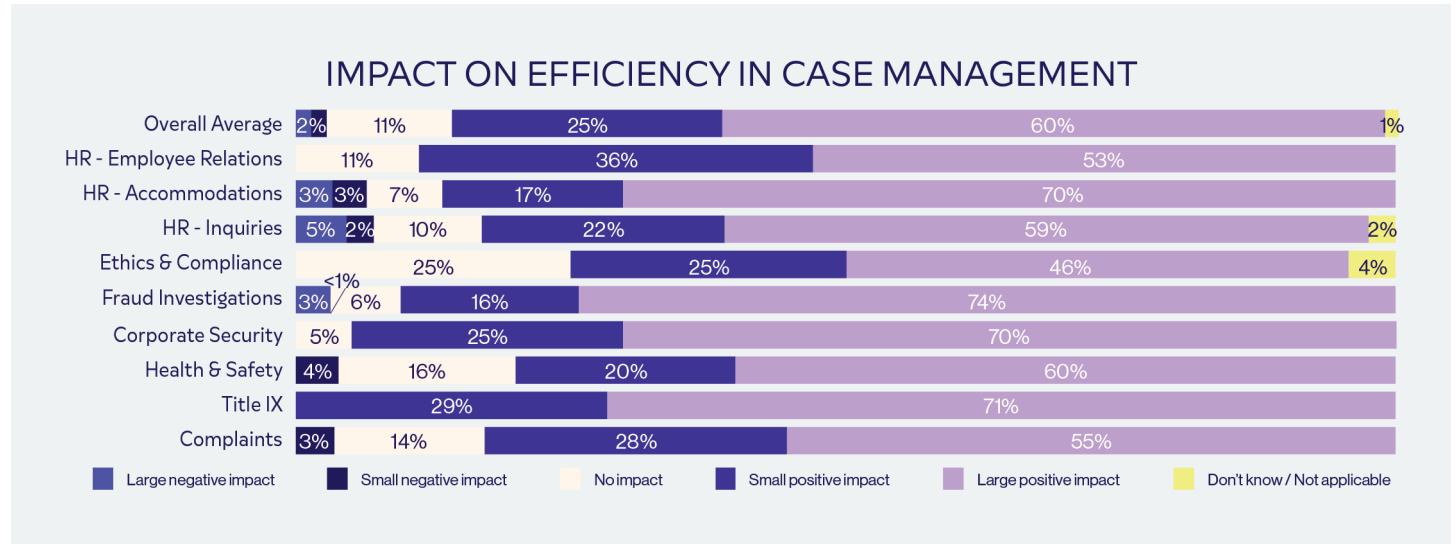
IMPLICATIONS FOR INVESTIGATORS:

Investing in comprehensive training programs and resources for investigation teams can significantly improve case closure times and substantiation rates. Standardizing investigation processes ensures consistency, efficiency, and effectiveness in handling cases. Regularly reviewing resource allocation ensures that all departments, especially ethics and compliance, have the necessary support to manage cases effectively.

Impact of Case Management Systems (CMS) on Organizational Effectiveness

KEY NUMBERS:

The average tenure of CMS in organizations is between three to five years. Seventy-two percent of organizations use vendor-based CMS, and there is a 93 percent satisfaction rate with CMS among users. Organizations that say their case management system has had a very positive impact; they see their overall investigation processes as being very effective, with particular emphasis on efficiency and risk avoidance. This is particularly true among those organizations that offer more intake methods and have fewer cases per investigator- indicating that investing in good systems and a strong investigation team has a positive impact on effectiveness.



Impact of Case Management Systems (CMS) on Organizational Effectiveness (continued)

ORGANIZATIONS THAT GIVE THEIR CMS "VERY POSITIVE FEEDBACK" ALSO REGARD THEIR INVESTIGATION PROGRAM AS BEING "VERY EFFECTIVE"



IMPLICATIONS FOR INVESTIGATORS:

Case management systems significantly enhance case management efficiency and help in avoiding risks. The newer CMS systems are associated with higher levels of user satisfaction. Organizations perceive CMS to have a strong positive impact on overall case management effectiveness, particularly in terms of time and cost savings.

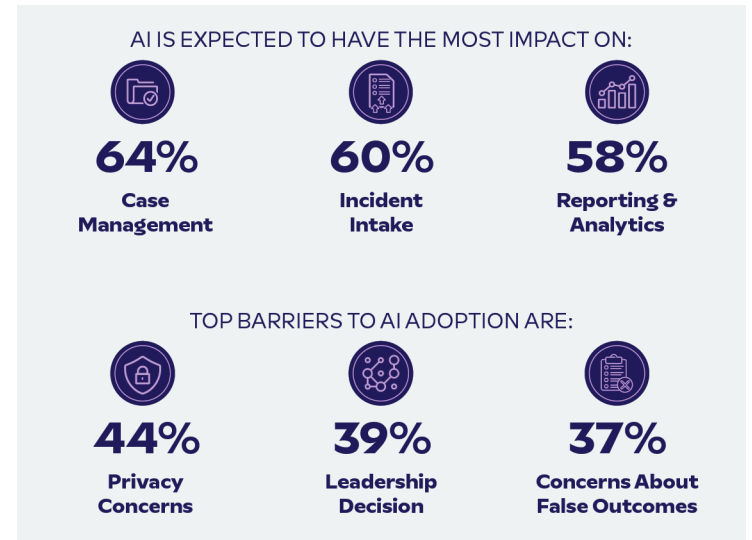
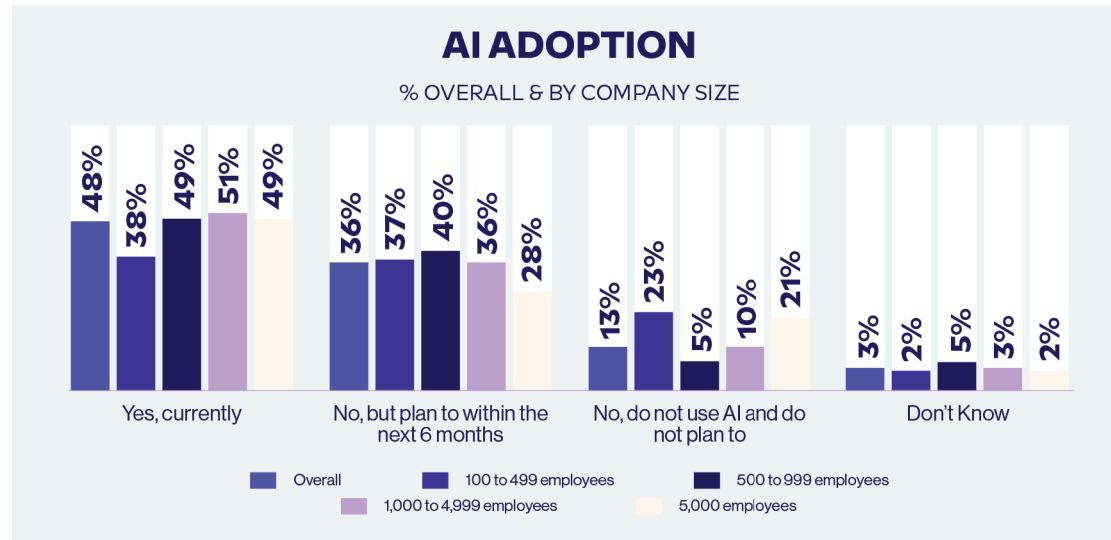
When organizations use case management software, they spend less time and money each year on investigation and case planning/administration. This allows them to put those resources toward other organizational needs such as case data analysis.

Utilizing CMS to streamline case management processes can make them more efficient and effective. Regularly updating and enhancing CMS features helps maintain high levels of user satisfaction and operational efficiency. Highlighting the benefits of CMS in improving risk management and organizational effectiveness can secure continued investment and support for these systems.

The Future of Incident Reporting and Management

KEY NUMBERS:

48 percent of organizations are currently using AI in investigations, and 36 percent are planning to use AI in investigations within the next six months.



IMPLICATIONS FOR INVESTIGATORS:

There is a strong need for better automation in incident reporting and management systems. AI integration is seen as a key factor that can significantly enhance case management and reporting processes. However, concerns about privacy, leadership support, and potential false outcomes remain barriers to AI adoption.

Advocating for the adoption and integration of AI can improve the efficiency and effectiveness of investigative processes such as report intake and triage, case summarization, and data analysis. Addressing privacy and security concerns by implementing robust safeguards and educating stakeholders about the benefits and protections associated with AI is crucial. Ensuring that leadership is on board with AI initiatives is necessary to drive successful adoption and integration.

Conclusion

The benchmarking study conducted by Case IQ provides valuable insights into current workplace investigation practices and highlights key areas for improvement. By leveraging these findings and recommendations, organizations can enhance their investigation processes, improve case outcomes, and ensure a more effective and efficient approach to managing workplace issues. Embracing technological advancements, optimizing intake methods, and investing in training and resources are vital steps towards achieving these goals.



To receive a personalized review of this benchmarking data, and to see how Case IQ can help your organization improve its case management process, please go to www.caseiq.com/request-a-demo.