



2024 Investigative Case Management Benchmark Report from Case IQ

HUMAN RESOURCES

Case IQ

Executive Summary

Benchmarking data is critical to the improvement of any organizational process, and HR teams can benefit from understanding what their peers in other organizations are experiencing. How does your volume of cases compare to similar 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 their HR 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:

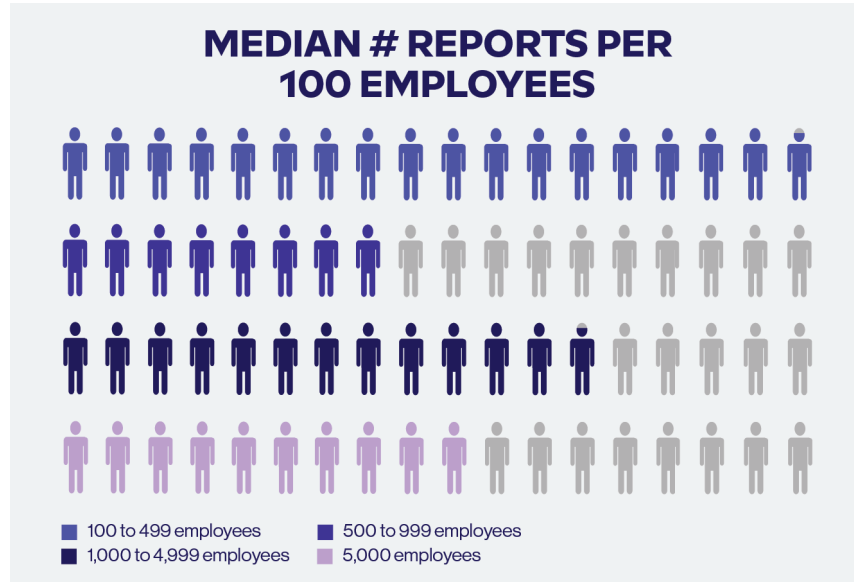
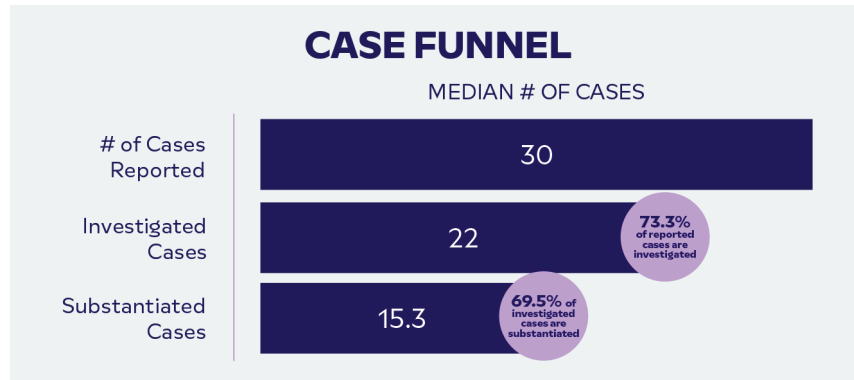
- + Located in the US [n=364] or Canada [n=41]
- + Role involves responsibilities for case reports, investigations and management related to at least one incident type (see table)
- + Have and be familiar with the process for reporting / investigating reports (i.e., purchased solution or internal process 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 7.5 reports per 100 potential reporters and 12.5 reports per 100 employees.
- Approximately 25 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 were not anonymous and included 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 workplace 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

OVERVIEW:

The study indicates that organizations typically offer a median of four intake methods, which provide support to a median of 380 employee reporters and 148 non-employee reporters. Organizations that provide four or five intake channels receive 52 percent more reports than those offering two or three. Email, web portals, and direct contact are methods used by the majority of respondents, with SMS, mobile apps, and live answer hotlines the next most popular channels offered.

WHAT INTAKE CHANNELS DO ORGANIZATIONS OFFER?

Intake Methods	% Offer
Email	79%
Web Portal	61%
Direct Contact	54%
Mobile App	43%
Live-Person SMS-Chat	34%
Live Answer Hotline	33%
Text Messenger	31%
Chatbot	28%
Virtual Hotline	23%



IMPLICATIONS FOR INVESTIGATORS:

The most prevalent intake methods are email, web portals, and direct contact to the HR team (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.

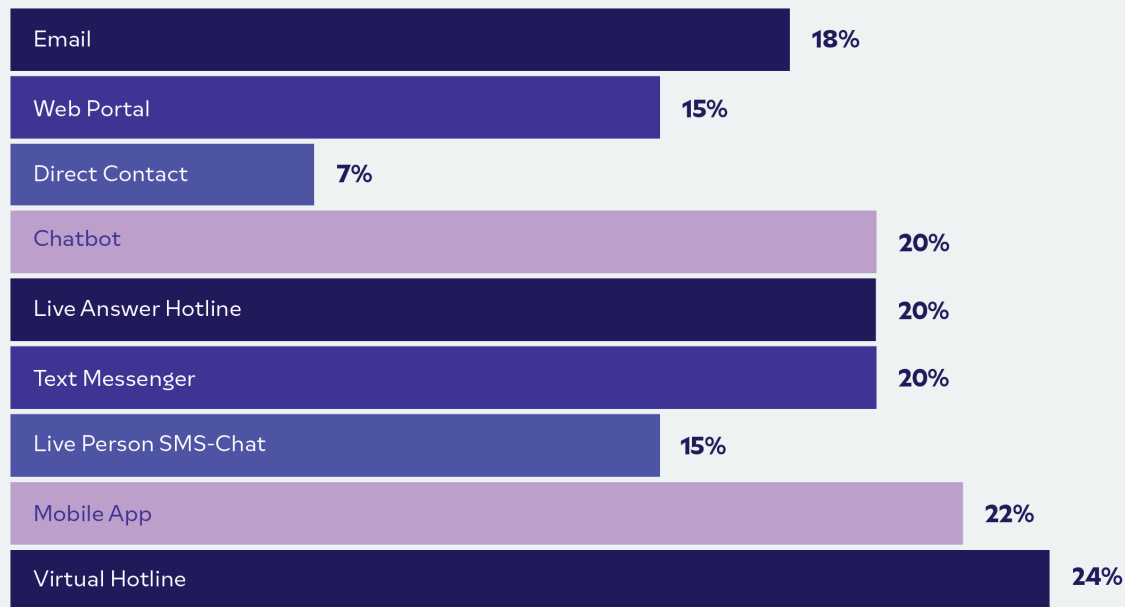
Anonymity

OVERVIEW:

Around one-quarter of case reports are made anonymously, with higher rates of anonymity through digital channels. Most reports include the reporter's name, regardless of the intake method used.

% OF REPORTS MADE ANONYMOUSLY

MEDIAN OVERALL & BY INCIDENT CHANNEL



IMPLICATIONS FOR INVESTIGATORS:

Offering a diverse range of intake methods, including those that offer confidentiality, increases reporter confidence and ensures a higher rate of reporting, investigation, and substantiation. HR investigators should encourage the use of anonymous channels while ensuring robust mechanisms are in place to protect the identity of involved employees.

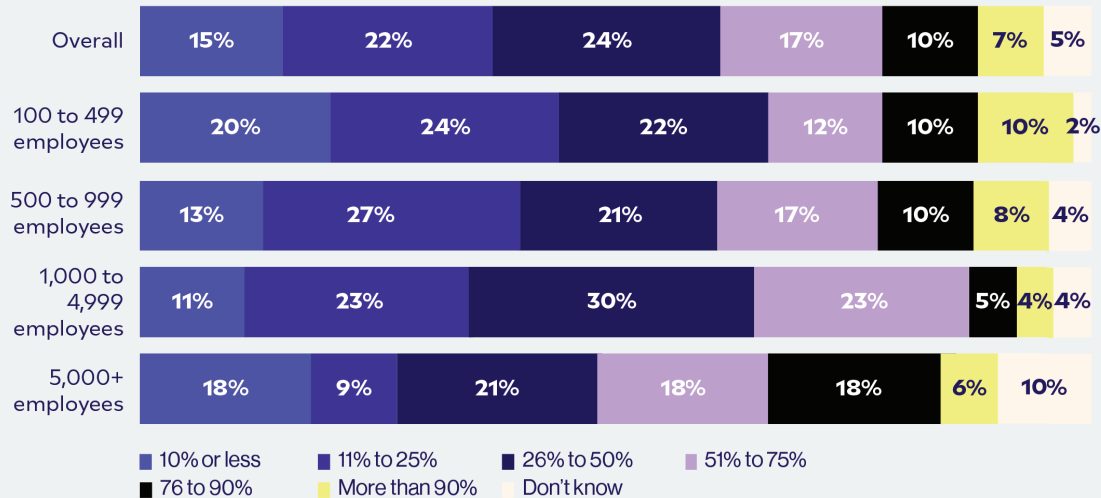
Substantiation Rates

OVERVIEW:

Survey respondents reported a median incident substantiation rate of 40 percent. Substantiation rates were higher among larger organizations with 5000+ North American employees and those better resourced to investigate cases. Organizations with smaller caseloads per investigator and more resources have higher substantiation rates.

% OF REPORTS THAT WERE SUBSTANTIATED

RANGE OVERALL & BY COMPANY SIZE (NORTH AMERICAN EMPLOYEES)



IMPLICATIONS FOR INVESTIGATORS:

Smaller organizations or those with smaller HR teams should evaluate their intake and triage processes to ensure they are substantiating cases properly. A lack of resources, especially for HR teams, who have many other responsibilities besides investigating, could lead investigators to overlook or deprioritize certain reports. This, in turn, could negatively impact organizational trust and employee morale.



Case Closure Times

OVERVIEW:

Organizations close cases in a median timeframe of seven days, regardless of organization size. Simpler issues (such as attendance policy violations) tend to get closed in far less time than more complex issues (such as discrimination).

	Overall in Use Case	Time and Attendance	Policy Violations	Discrimination	Harassment	Other
Median # of Days to Close a Case	7	3	5	5	5	5
1-7 Days	61%	83%	79%	60%	63%	67%
8-14 Days	13%	11%	8%	20%	19%	19%
15-28 Days	19%	5%	11%	15%	13%	11%
29-42 Days	3%	0%	1%	4%	4%	1%
43+ Days	4%	1%	1%	1%	1%	1%
Don't Know	0%	0%	0%	0%	0%	1%

IMPLICATIONS FOR INVESTIGATORS:

Maintaining efficient case closure times is essential for building and upholding employees' trust. Investigators should leverage technology, standardize processes, and ensure adequate resources to keep closure times within the median. Addressing challenges specific to larger organizations, such as streamlining workflows and reducing bureaucratic delays, can further enhance efficiency.



Investigation Outcomes

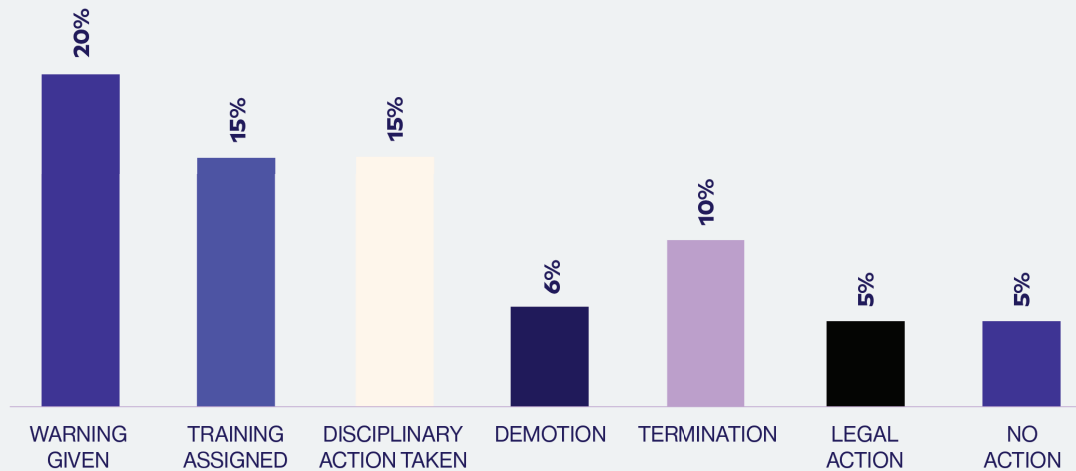
OVERVIEW:

The majority of substantiated cases (95 percent) resulted in some form of corrective action being taken, with warnings being the most common outcome at 20 percent of the time. Legal action and demotions are rare.



% 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 crucial. HR teams should apply a consistent framework for evaluating the severity of infractions and determining appropriate actions, regardless of the employee's tenure or position. Proper documentation and reporting of outcomes are essential for transparency, accountability, and future audits.

Investigation Processes

KEY NUMBERS:

Organizations typically have 1.4 internal investigators per 100 reporters and 2 internal investigators per 100 employees. Investigators manage an average of six cases at a time across all organization sizes. HR investigation processes are generally standardized and collaborative, with regular training sessions reinforcing these practices.

INVESTIGATION STRUCTURES ARE:



NUMBER OF ACTIVE CASES PER INVESTIGATOR

MEDIAN OVERALL & BY COMPANY SIZE

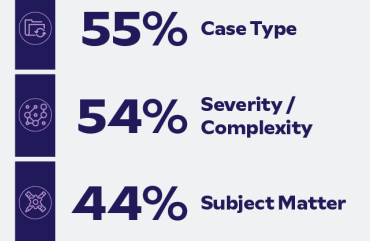


Across All Use Cases

# of Investigators / 100 Reporters	1.4
# 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

CASES ARE ASSIGNED PRIMARILY BASED ON:



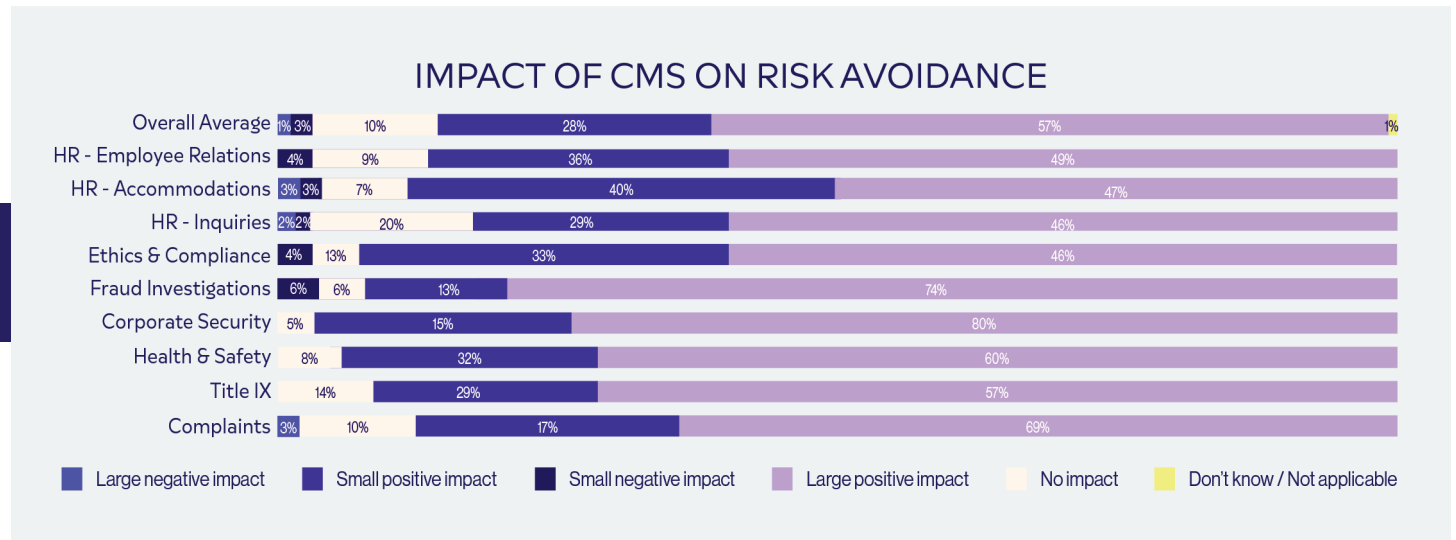
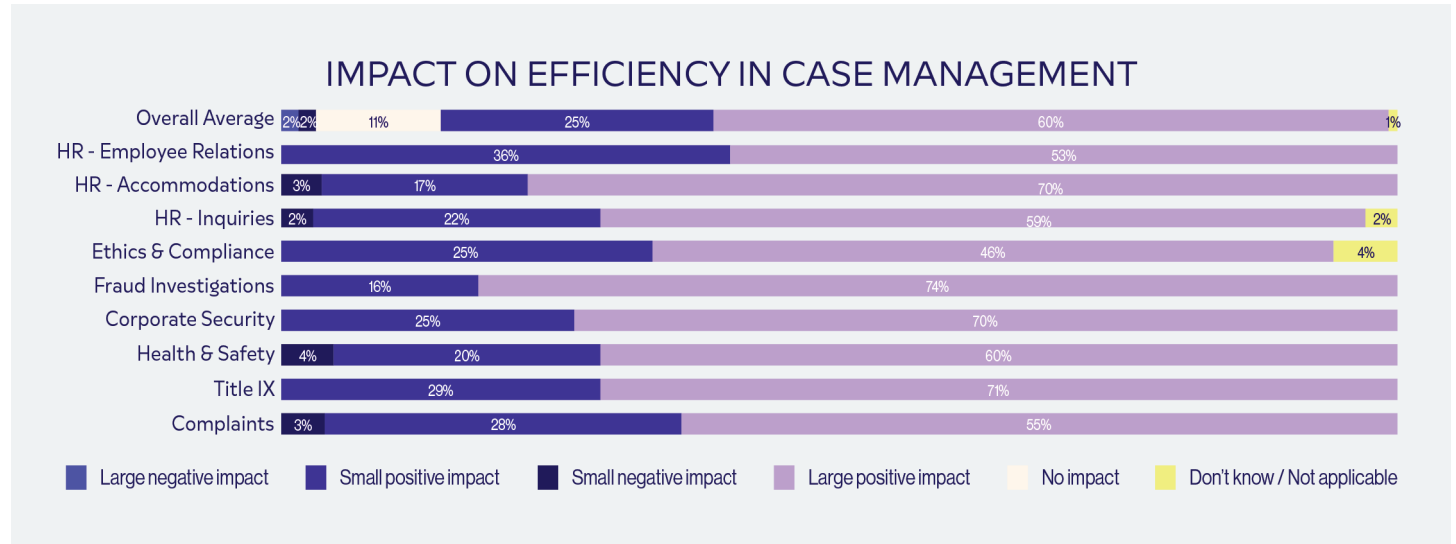
IMPLICATIONS FOR INVESTIGATORS:

Investing in comprehensive training programs and resources for HR investigators can significantly improve case closure times and substantiation rates. Standardizing investigation processes ensures consistency, efficiency, and effectiveness in handling cases. Regularly reviewing resource allocation can help ensure that the HR department has the necessary support to manage employee misconduct cases effectively.

Impact of Case Management Systems (CMS) on Organizational Effectiveness

OVERVIEW:

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 CMS has had a very positive impact see their overall investigation processes as being very effective, particularly in terms of efficiency and risk avoidance.



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



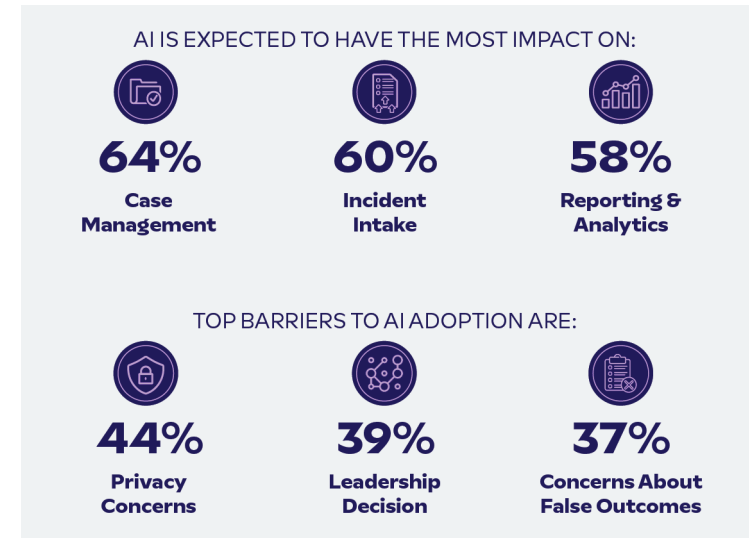
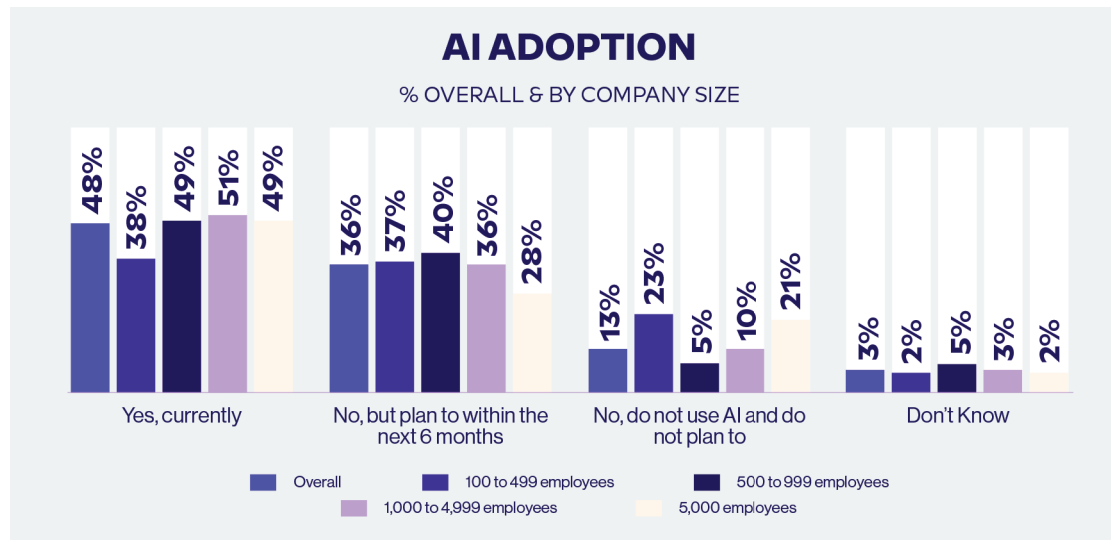
IMPLICATIONS FOR INVESTIGATORS:

Case management systems significantly enhance case management efficiency and help in avoiding risks. Regularly updating and enhancing CMS features helps maintain high levels of user satisfaction and operational efficiency. Highlighting the benefits of CMS in improving HR risk management and organizational effectiveness can secure continued investment and support for these systems.

The Future of Incident Reporting and Management

KEY NUMBERS:

Forty-eight percent of organizations are currently using AI in their HR 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 workplace incident reporting and management systems. AI integration can significantly enhance HR case management and reporting processes. However, concerns about privacy, leadership support, and potential false outcomes remain barriers to AI adoption. Advocating for AI integration while addressing these concerns is crucial for the future of your HR team's investigative processes.



Conclusion

The benchmarking study conducted by Case IQ provides valuable insights into current Human Resources and Employee Relations investigation practices and highlights key areas for improvement. By leveraging these findings and recommendations, HR/ER teams can enhance their investigation processes, improve case outcomes, and ensure a more effective and efficient approach to managing workplace incidents. 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.