

Externally Managed Hotline

## DISCLOSURE SERVICES

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**Managing your disclosure services externally and independently gives your employees the confidence to talk more freely and feed through important information about incidents, corruption or misconduct that may damage your organisation.**

### IN DETAIL:

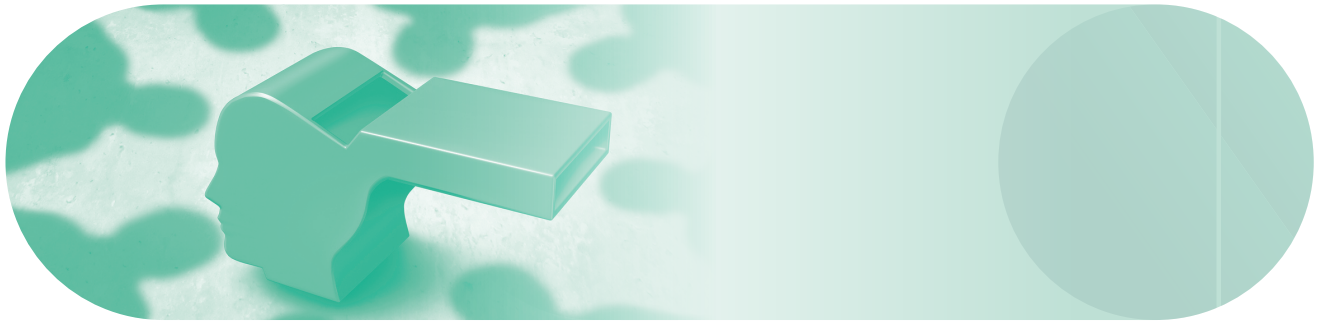
There is a body of evidence that employees are far more likely to disclose their concerns to an independent third-party than to their employer. Even the smallest perception – of risk to their jobs and careers, that their confidentiality may be breached, that their concerns may not reach the right people or that nothing will be done – can prevent them from speaking out. When they choose to remain silent, you may be deprived of an opportunity to step in early and prevent further harm to your people and organisation.

Beyond the risk of silence is the legal risk. As soon as you become aware who a whistleblower is, you are legally obliged to protect them. By keeping their identity confidential, you reduce your exposure to hostile legal action.

### MORE AND BETTER INFORMATION

STOPLINE's Disclosure Services are more than just a conduit that your employees and other stakeholders can feel confident to use. Our operators have expertise in dealing with people who are often stressed and emotional. We use highly ethical and successful techniques to demonstrate care, to elicit the right details from them, to understand the motivation for their call and context of their concerns, and the subtle insights that may explain how misconduct has avoided detection. The coin's other side is that we can frequently diffuse situations by guiding employees to your internal tools and resources – showing them how to resolve a problem without the angst and expense of a formal complaint.

***“As soon as you become aware who a whistleblower is, you are legally obliged to protect them. By keeping their identity confidential, you reduce your exposure to hostile legal action.”***



### SMART, PRIORITISED REPORTING

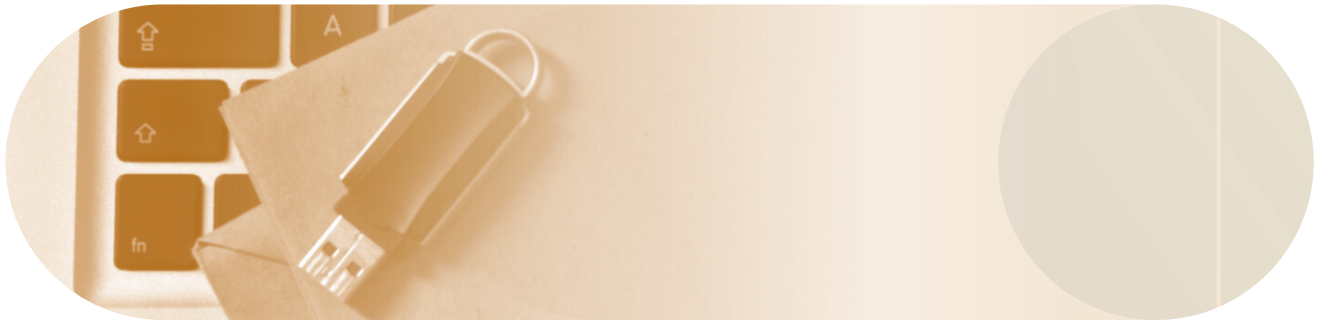
Our reporting is structured to give you all the data you need to assess and prioritise an issue and determine what action to take. Each report is prepared and sent to you within 24 hours by the person who took the call. Because they are trained on what's important to you, they know what information to prioritise and what is of secondary value. If an incident is out of your usual scope and you are undecided on how best to respond, we may be able to furnish you with insights on how other organisations have dealt with similar circumstances - without, of course, breaching client confidentiality.

In the case of an emergency, and particularly when someone may be at imminent risk of physical harm, we will phone your designated officer immediately and follow-up with written documentation as soon as practicable.

### KEY FEATURES

- 24 X 365 secure disclosure options:  
Telephone: 1300 number, answered by a human, with no call line identification. Mail: Australia Post locked bag. Email: dedicated and customised. Online: secure customised microsite.
- Reporting within 24 hours
- Immediate emergency reporting
- Consolidated quarterly and annual reports
- Advisory services
- Available to employees, contractors, suppliers and any other stakeholders you nominate
- Etc.

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Organisation & People

# INVESTIGATION SERVICES

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**In our view, there is only one correct way to conduct an investigation; by transparently following due process. The more effectively and demonstrably that is done, the greater the odds of a quick resolution. It becomes even more critical if the matter escalates to civil or criminal proceedings, or becomes a wider workplace issue.**

## IN DETAIL:

When misconduct or an offence take place, STOPLINE's investigation services can ascertain the chain of events and assist in protecting your people and organisation from further harm. Wherever possible, we help to reverse any damage that has been caused. A major component of our service is to give you complete confidence in the outcome of the investigation. You can take the right steps, with authority, knowing that both the impartiality of the investigators and the integrity of the process will withstand the toughest scrutiny.

However, due process does not equate to painting by numbers. We bring to the task experience and expertise that enables us to take a faster and more direct route to determining what happened, who did it, how, why, where and when.

Our investigators – many of whom had long careers in law enforcement – have the skills to rapidly-unearth information, establish the connections between people and events, gather supporting evidence from multiple angles and layers, decipher what is factual and what is not, and document the findings. Frequently, we can also provide guidance on how to prevent or minimise future risk.

**Our investigations services cover both internal and external threats and generally slot into two categories:**

## OFFENCES AGAINST THE ORGANISATION

We undertake investigations into issues such as fraud, theft of intellectual property, selling or sharing trade secrets, collusion with third parties to secure contracts or to bring about unlawful influence.

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We also conduct investigations into physical damage to the organisation, such as harm to property, breaking and entry, tampering, and theft of goods, equipment and documents. We can assess and make recommendations on the effectiveness and compliance of security assets, such as CCTV monitoring, storage of records, locks, access, lighting, and physical safety barriers.

#### **OFFENCES AGAINST PEOPLE**

This is inevitably the most sensitive area of investigations. Emotions can run high for those who are victims of misconduct, those who are accused of it and those who are responsible for people's safety and wellbeing. This holds particularly true when investigating issues such as bullying, harassment, damage to personal property, physical intimidation and assault. We bring the skills and acumen to conduct investigations delicately, but without compromise.

We can provide guidance on both statutory compliance and risk minimisation, including reviewing policies and procedures against industry best practice. We can also advise you to what extent people are aware of their obligations and the degree to which these are adhered to. Our conclusions can be documented in formal reports or through informal discussions and consultation.

#### **KEY FEATURES AND SERVICES**

- Awareness training
- Breaches by competitors and third parties
- Breaches, tampering and criminal activity by employees
- Bullying and harassment
- Expert reports
- Expert witness
- Financial and corporate investigations
- Fraud and misconduct investigations
- IT forensics
- Litigation support
- Response to ransomware (including data recovery options)
- Review of internal processes
- Sabotage
- Search & Seizure
- Supplementing internal resources
- Theft
- Vulnerability assessments

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Financial & Accounting

## FORENSIC SERVICES

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**Decades of forensic accounting experience have made it clear to us that the most effective approach to verifying financial claims is to view assets and interview people in person. This is not only a more robust investigative practice, it heightens credibility when evidence is tested in court.**

### IN DETAIL:

STOPLINE has a specialist team focussed on investigating financial and accounting fraud, misappropriation of funds, misleading financial documents and regulatory compliance failures. The team's extensive auditing experience and financial expertise are supplemented by two complementary attributes: the ability to detect even the subtlest aberration in financial patterns or transactions that do not align with the normal conduct of business; and a firm belief that all key financial assumptions should be properly verified. Frequently that means corroborating the financial statements by examining assets and processes in situ. On many occasions this has resulted in a substantive reassessment of the value of assets (finding, for example that they are poorly maintained, non-operational or non-existent), and evidence of misconduct (where, for example, accounting processes have been bypassed and company funds have been misappropriated for personal use).

### RESPONSE TO FINANCIAL MISCONDUCT

We will respond rapidly and effectively if you uncover financial misconduct within your organisation, or suspect it may be taking place. We deploy a combination of deep accounting forensics, information technology forensics and interviewing skills, to form a clear picture of what has occurred, track the process by which it was carried out, when, by whom, what the losses are and where financial assets have been diverted to. We provide you with a clear and conclusive chain of evidence, backed by expert reports and expert testimony. This places you in a strong position to stem the damage, hold people accountable for their actions and, wherever possible, to achieve partial or full financial recompense.

***"This resulted in a substantive reassessment of the value of assets – finding that they are poorly maintained, non-operational or non-existent, and evidence of misconduct – where processes have been bypassed and company funds have been misappropriated for personal use."***



## PREVENTION OF FINANCIAL LOSSES

Our preventative services slot into two categories. We are able to provide professional reviews of your existing financial policies and systems, identify areas of vulnerability and advise you how to add greater security to protect the financial integrity of your business. This makes it both harder for financial misconduct to occur in the first place and, if it does, makes it more easily detectable and traceable. The overt nature of these improvements remove temptations and serve as a strong deterrent.

As part of any due-diligence process, our services can give you confidence in the financial statements provided to you by vendors when purchasing assets or a business interest. We investigate the accuracy of financial statements, the process by which they were created, and the validity of the underlying figures. We will flag transactions that may have been brought forward or postponed to boost profits, questionable loans and transactions, and where figures may be misleading and asset values inflated.

## KEY FEATURES AND SERVICES

- Advice and Review of Accounting Policies and Accounting Standards and Corporations Act Reporting requirements.
- Anti—bribery and corruption due diligence/ risk assessments
- Audit and Special Committee Investigations
- Company and Business Valuations
- Damages and Loss of Profit Analysis
- Expert Testimony
- Financial statement misstatements, inadequate disclosure and restatements
- Fraud and Complex Financial Investigations
- General and Commercial Disputes Services
- Independent Internal Controls and Fraud Risk Assessment
- Insurance Claims Assessments
- Merger and acquisition fraud services
- Pre-Acquisition Due Diligence and Post – Acquisition Disputes
- Professional Indemnity and Malpractice Claims

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Information & Technology

## FORENSIC SERVICES

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**Knowing exactly what information was breached, by who, when, how and what people did with it, gives you significant leverage. You can recover data, bring the perpetrator to task and you gain actionable insights into your system's vulnerabilities.**

### IN DETAIL:

Information & Technology systems are breached through technical or behavioural vulnerabilities, or a mix of both. However, even if you know who the perpetrator is, or have well-grounded suspicions, that is unlikely to suffice. When people are questioned, the typical response is to deny that they have accessed or copied information, believing that their actions cannot be traced. That tune changes, along with a newfound willingness to cooperate, when they are shown incontrovertible proof – expert evidence that can be substantiated in a formal hearing or in court.

STOPLINE's team can provide that proof; identifying data breaches where your IP may have been stolen or compromised, uncovering instances of fraud – such as financial or document tampering – through to finding evidence of significant criminal activity that may have been undertaken through your technology systems.

We can then help you to assess, stem and partially or fully unwind the damage, take steps to increase the security of your systems, and ensure that you are alerted sooner should future breaches occur.

### TECHNICAL: FINDING THE EVIDENCE WITHOUT CONTAMINATING IT

A key complexity in searching data is that just by accessing it, you change it. Even a basic search function leaves the equivalent of digital fingerprints that can muddy or wreck evidence. STOPLINE uses specialised technology that enables data to be searched and interrogated without changing its integrity. Our team can capture data stored on any fixed or portable devices, or that has been stored online, and conduct deep searches of that information: including encrypted, corrupted, hidden and deleted files. We identify documents, locate specific words and phrases (including those with coded or unintentional spelling errors), match associated or linked information and show the pathways between them.

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We can document who accessed files, whether and how they copied or printed them, if they emailed them, from which email account and to whom, who was blind copied, and previous correspondence between the parties that establishes a pattern or intent.

#### **BEHAVIOURAL: WHAT THE DATA WON'T SHOW YOU**

While specialist technological capabilities are essential, they are just one side of the coin. STOPLINE has wide-reaching investigative experience, with an emphasis on the workplace. Our investigators are able to assist in the execution of search warrants and civil search orders, and are qualified to conduct formal and informal interviews. These aim to uncover information of a different complexion. This includes finding links to related evidence, such as business, financial or personal relationships, and behavioural patterns that are out of the norm. All of which add support to the technical evidence and build an even more robust and multi-pillared case. Should the matter proceed to a formal third-party hearing or to civil or criminal court proceedings, our key investigators are classified as Experts in Computer Forensics and can provide expert evidence to the court.

#### **KEY FEATURES AND SERVICES**

- Awareness training
- Breaches by competitors and third parties
- Breaches, tampering and criminal activity by employees
- Data extraction
- Data recovery
- Cyber security assessments
- e-Discovery
- Expert reports
- Expert witness
- Financial and corporate investigations
- Fraud and misconduct investigations
- Integrate network security software
- Intellectual Property theft
- IT forensics
- Litigation support
- Response to ransomware (including data recovery options)
- Search & Seizure
- Vulnerability assessments

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