SpeakUp®

5 steps to managing complex global compliance cases

For compliance and HR leaders managing multi-entity, cross-border compliance programs, this guide outlines how to structure, coordinate, and operationalize case management for real-world complexity.

Don't adapt to software. Build a process that fits your team.

Why case management at scale can be difficult

When your organization has many employees (whether 5,000 or 100,000) and operates across multiple countries and business entities, managing compliance cases effectively can become a complex challenge.

HR-related grievance and compliance reports can growing in complexity due to differing local regulations and when case volume grows but processes remain manual. Without a robust and scalable system to match your needs, delays and lost trust become the result.

Common challenges in large enterprises:

High volume and complexity
Large organizations manage thousands of reports, and without structured triage, urgent cases can get buried under lower-risk issues.

Decentralized operations and unclear ownership
Different units and regions follow their own procedures, causing delays, mishandling, or lost cases during handoffs.

Policy fragmentation due to regulatory differences
Conflicting laws and regulations around data privacy, anti-bribery, and local labor protections make a one-size-fits-all approach impossible, requiring localized handling with global oversight.

Language and cultural barriers
Employees hesitate to report if channels aren't in their native language or aligned with cultural norms.

Outdated systems
Legacy tools and manual processes can't keep up with scale, leading to inefficiency, missed risks, and compliance gaps.

Step 1:
Define your structure

Your structure determines how cases are received, investigated, and resolved, so its important to <u>ensure you have a scalable intake model.</u>

Factors such as the jurisdictions you operate in, varying legal frameworks, and internal roles and responsibilities have an enormous impact on how you should structure your case management processes.

Model	Description	Pros	Cons
Centralized	All cases go to one central team.	Consistency and enterprise-wide visibility.	Slower resolution if local language or legal expertise is lacking.
Decentralized	Local teams manage and resolve cases directly.	Aligns with regional laws, language, and culture.	Weaker central oversight, harder to track risks and enforce standards.
Hybrid	Local teams manage most cases; central handles complex, high-risk, or cross-border matters.	Balances speed and control.	Requires crystal-clear roles and escalation rules to avoid confusion.

The decision isn't just between centralizing at headquarters or leaving everything local. Most large organizations benefit from a hybrid model.

Takeaway: Choose a structure that reflects how your team operates, not just what's easiest to map out.

Step 2:
Coordinate across borders

Global case management succeeds when strong cross-team coordination is paired with adaptation to local sensitivities that builds trust.

Build strong cross-team coordination

Cases often span Compliance, HR, Legal, and Operations, making clear coordination essential to avoid delays or gaps.

✓ **Bridge compliance with other departments**
Use automated routing and shared dashboards to keep the right people engaged without friction.

✓ **Role-based access controls**
Protect confidentiality and meet privacy requirements by filtering access by case type, region, or sensitivity.

✓ **Assemble the right team**
Keep the core group small (Compliance, HR, Legal) and only bring in specialists when needed.

✓ **Define roles and train regularly**
Ensure everyone knows their responsibilities and can confidently use the system.

✓ **Document your processes**
Standardize workflows, timelines, and ownership, logging every action to stay audit ready.

> **Takeaway:** Effective case management means connecting the right people, adapting processes to local needs, and maintaining global oversight.
> In short: **coordinate globally, act locally.**

Localize with global oversight

Give employees multilingual intake experiences that reflect their local reporting preferences, then consolidate cases and apply consistent standards organization-wide.

How to build a scalable intake model

SpeakUp

→ Factsheet

How to build a scalable compliance intake model

Step 3:
Handle high case volumes smartly

Aside from the complexity of cases, the sheer volume of cases that larger organizations must manage can mean that, without prioritization, urgent cases can fall through the cracks.

Tools and tactics to manage volume:

✅ **Configurable case workflows:** It's important to be able to change workflows quickly (without IT) as risks, regulations or local practices change.

✅ **Intelligent triage with automation:** When volume gets high automated or AI-powered triage can help prioritize cases by automatically categorizing reports, flagging high-risk cases, translating reports, and drafting summaries.

✅ **Centralized hub:** To avoid blind spots, aim to have all channels — hotline, web, app — feeding into one centralized location.

✅ **Security and compliance features:** Use anonymization, audit trails, and secure in-platform communication to protect confidentiality. Trust is hard won but easily lost.

Takeaway: Smart triage ensures critical cases get the attention they deserve and help your team prioritize. Forward thinking compliance teams need smart tools to handle many complex cases.
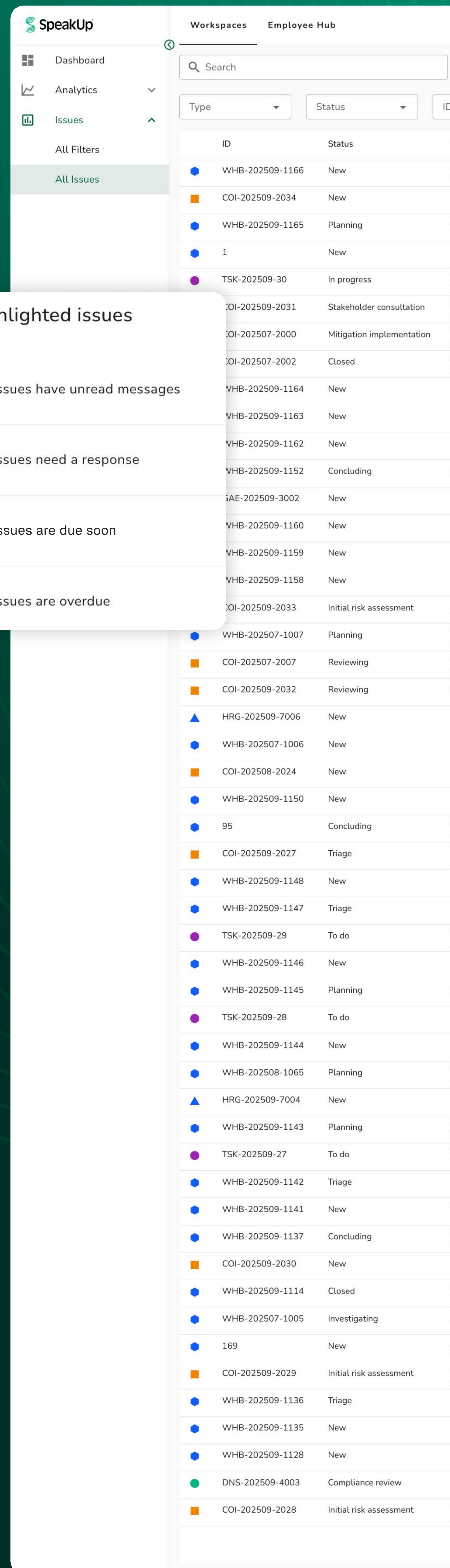
Step 4:
Adapt to policy fragmentation

Global organizations juggle a web of regulations, which is difficult to manage. A way to simplify this is to anchor your program to the toughest requirements worldwide, ensuring every region meets or exceeds them.

Best practices:

✅ **Establish a global framework with local adaptation**
Create baseline policies and workflows for investigations and reporting, then add local provisions for data privacy, timelines, or other legal requirements. Use the most stringent policies as your floor, not your ceiling.

✅ **Appoint local compliance champions**
Assign regional liaisons who adapt global policies to local realities, surface emerging risks, and ensure consistent application on the ground.

✅ **Unify case management systems**
Adopt a centralized, cloud-based platform for reporting and tracking, with role-based access and local storage options to balance global visibility with regional compliance.

✅ **Design flexible workflows**
Adjust by issue type, jurisdiction, and business unit without starting from nothing each time.

✅ **Ensure consistent training and communication**
Deliver regular training on global standards, translated and localized for cultural fit, and reinforce expectations through ongoing leadership communication.

Takeaway:
Embrace complexity with adaptable systems that protect both compliance and efficiency.

Step 5:
Track metrics for continuous improvement

Case management at scale is never "set and forget." You should aim to benchmark your performance, conduct regular reviews and updates, and share best practices to help ensure continuous improvement.
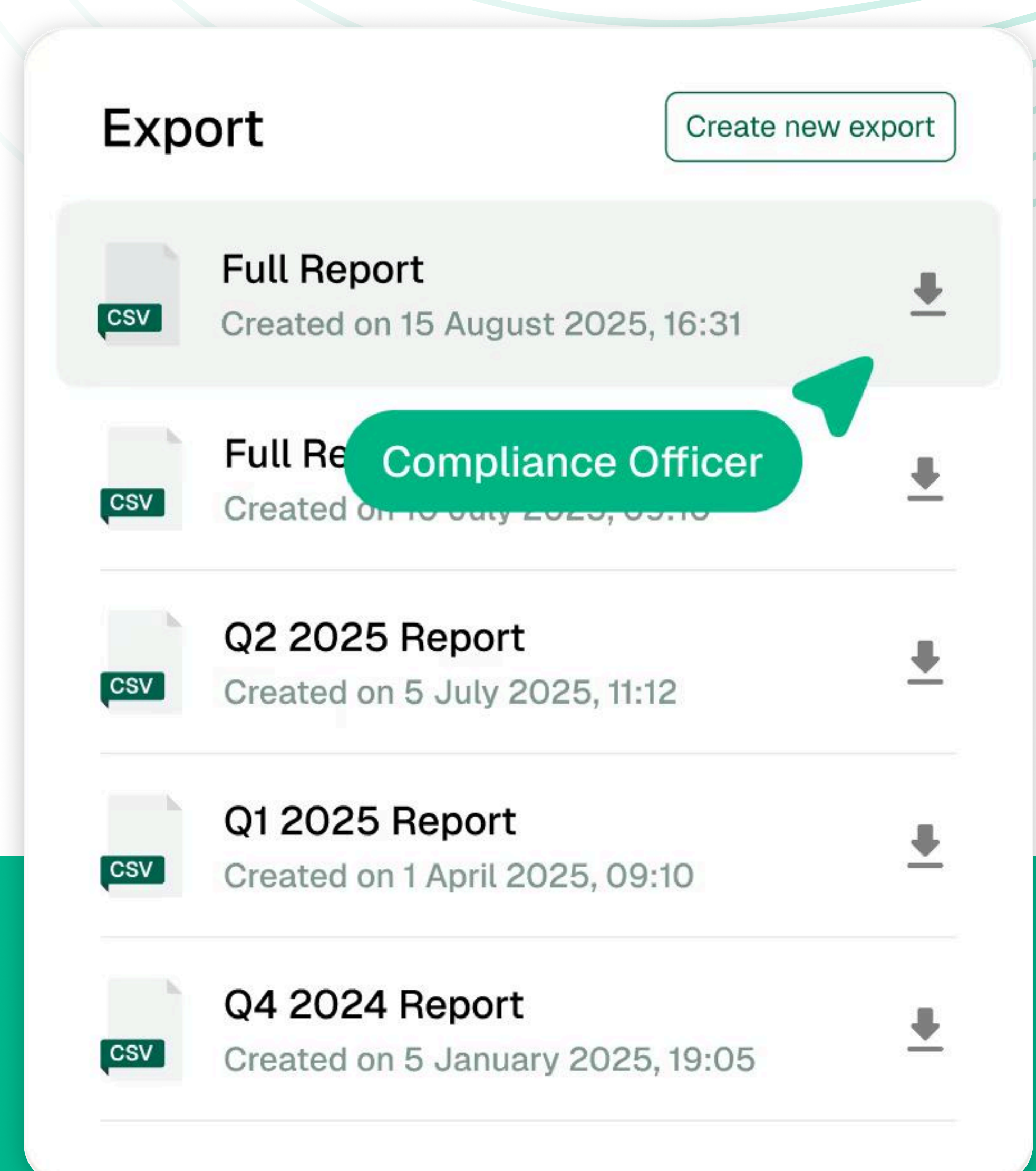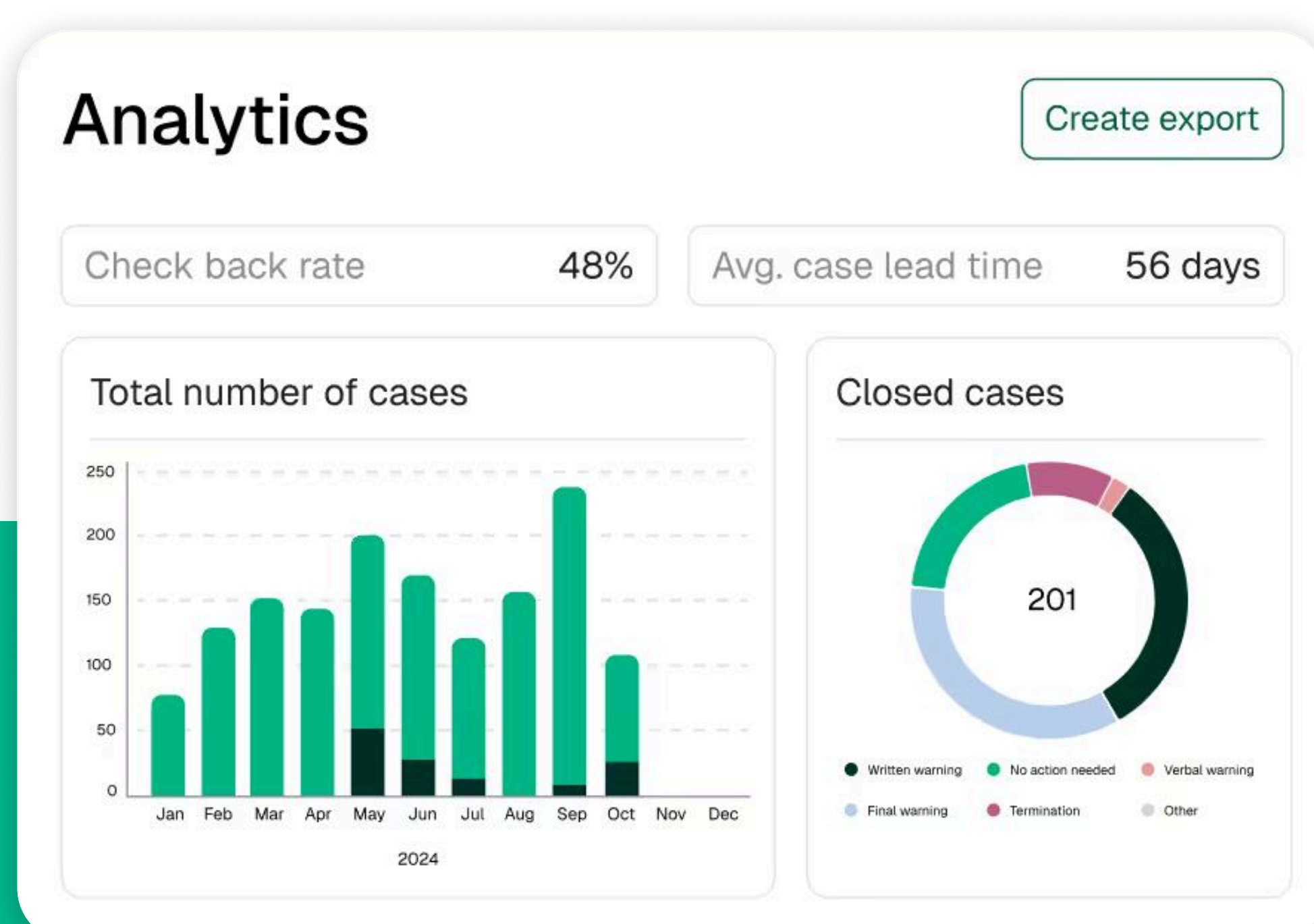
What to measure:

✅ Number of reports, case types, time-to-close, substantiation rates, channel usage.

✅ Break down by region or department to spot under-reporting or sudden spikes.

How to use the data:

✅ Report regularly to the board and executives on trends, risks, and performance.

✅ Refine workflows, triage rules, and resource allocation.

✅ Audit sample cases for quality.

✅ Benchmark against industry peers to gauge program health.

Takeaway: Data isn't just for oversight; it's your engine for better decisions and building trust.

Analytics Create export

| Check back rate | 48% | Avg. case lead time | 56 days |

Total number of cases

Closed cases
201

- ● Written warning ● No action needed ● Verbal warning
- ● Final warning ● Termination ● Other

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Created on 1 April 2025, 09:10 ⬇

📄 CSV **Q4 2024 Report**
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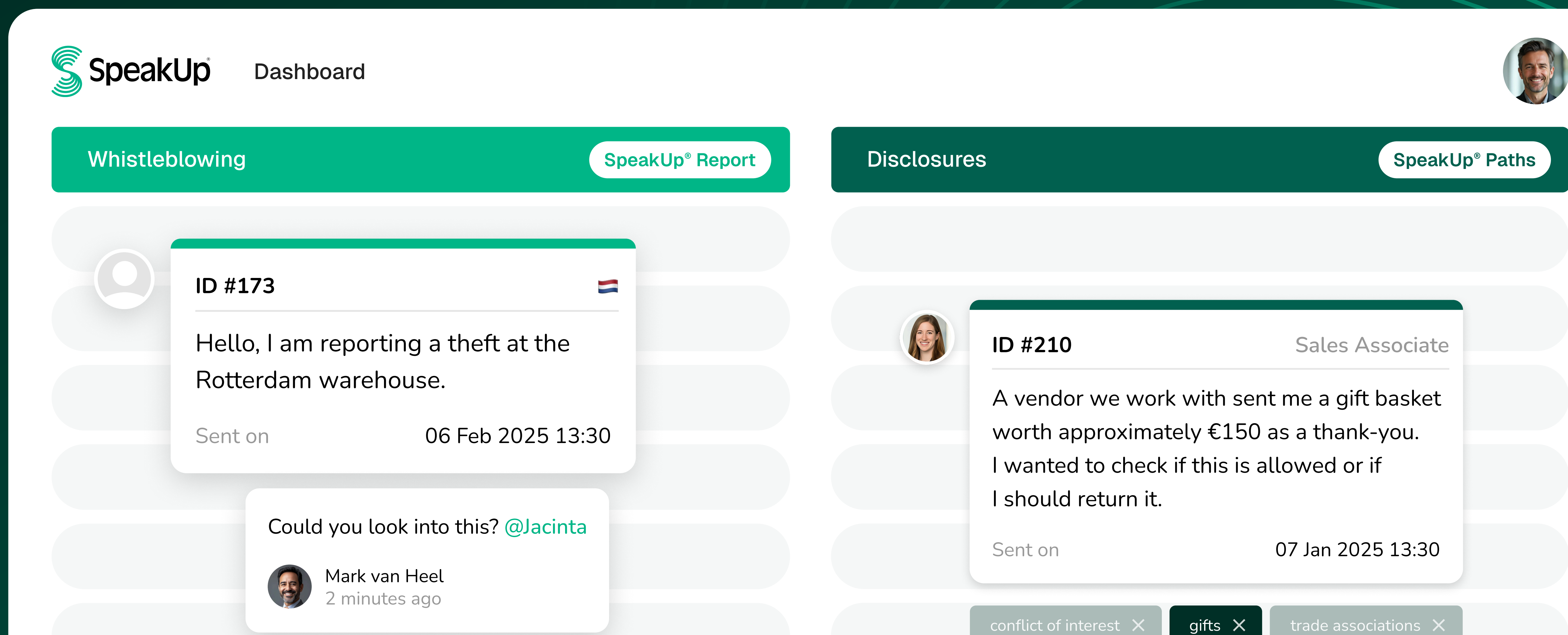
Final note:
Stay agile and plan smart

Large organizations operating in multinational environments create many challenges for compliance teams. The sheer number of cases and the complexity of cross-border investigations can lead to critical cases falling through the cracks.

For compliance teams to be successful they must rely on clarity, adaptability, and trust. By defining the right structure, coordinating across teams and borders, handling high volumes smartly, and anchoring programs to the toughest standards, compliance teams can turn challenge into opportunity.

The key is seeing compliance as a living system. **Consistent at the core, flexible at the edges, and always improving.**

Discuss your HR and compliance case management needs with one of our experts.

[Book a demo →]

SpeakUp® Dashboard

Whistleblowing   [SpeakUp® Report]

ID #173   🇳🇱

Hello, I am reporting a theft at the Rotterdam warehouse.

Sent on   06 Feb 2025 13:30

Could you look into this? @Jacinta

Mark van Heel
2 minutes ago

Disclosures   [SpeakUp® Paths]

ID #210   Sales Associate

A vendor we work with sent me a gift basket worth approximately €150 as a thank-you. I wanted to check if this is allowed or if I should return it.

Sent on   07 Jan 2025 13:30

conflict of interest ✕   gifts ✕   trade associations ✕