



Case Manager User Manual

28 April 2022



AGENDA

Who is this manual for?

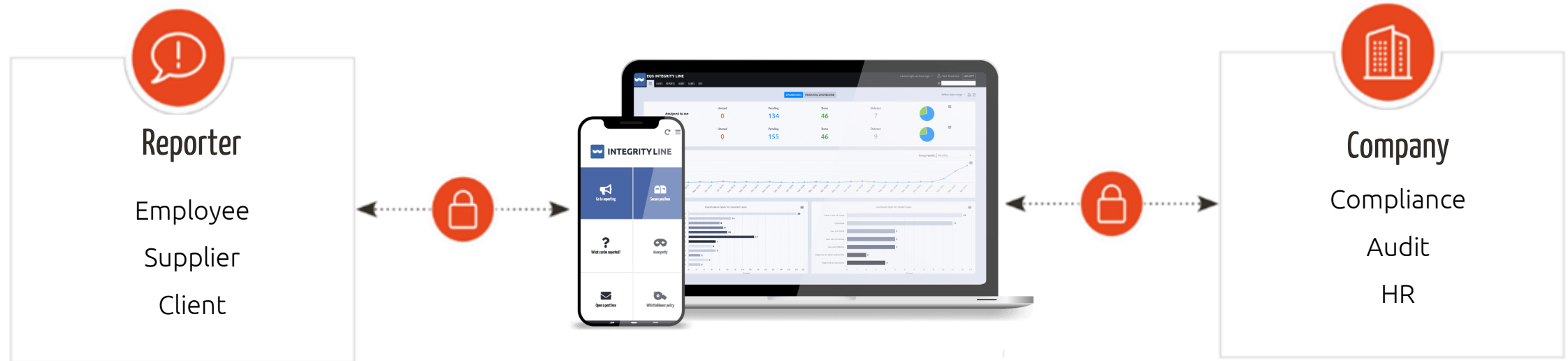
This document is for case managers aiming at answering their most frequently asked questions around how to investigate compliance cases with the help of the EQS Integrity Line.

What does the content include?

The manual gives a comprehensive overview of the system for both Reporters and Case Managers. It comprises of the Reporting Channel where reporters can submit compliance cases and the Case Management System allowing case managers to handle those. While not every single feature will be explained in detail, this document focuses on the most used functions there are.

Please note that this manual consists of all features available in integrity line while your individual solution might only contain a subset.

EQS Integrity Line - Overview

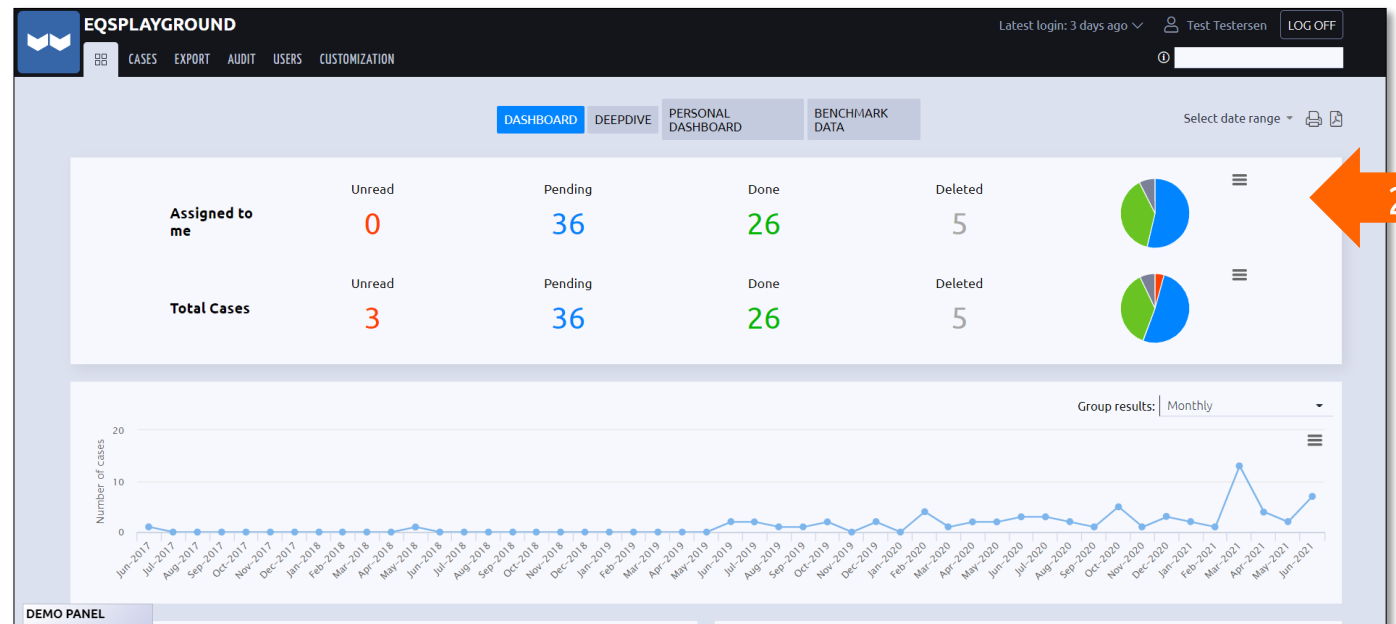
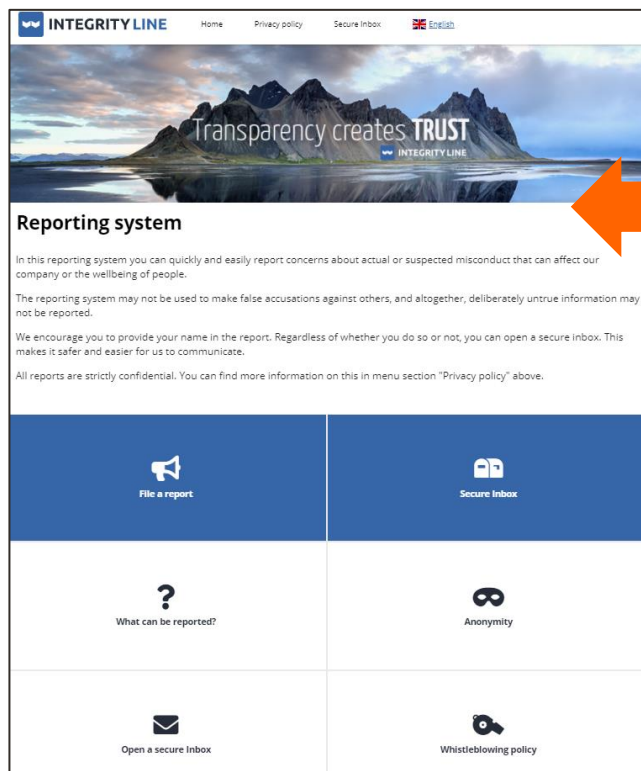


The system consists of two parts, a secure reporting channel for reporters and an integrated case management for case managers to receive and handle incoming cases. Secure connections on both ends enable anonymous communication between the parties.

Key Components

The EQS Integrity Line consists of 2 key components :

1. **Reporting Channel:** The secure reporting channel, where the reporter can submit a report to the company.
2. **Case Management:** Integrated Case Management, where the case managers handle reports, can communicate with the reporter and admin users can configure the system, manage users etc.



Section 1: Reporting Channel

Reporting Channel Overview



INTEGRITY LINE Home Privacy policy Secure postbox Settings English (AU)

We believe that **radical transparency** and **compliance** create the most important corporate capital: **TRUST**

Reporting system

In the reporting system you can quickly and easily report concerns about actual or suspected misconduct that can affect our company or the wellbeing of people.

The reporting system may not be used to make false accusations against others, and altogether, deliberately untrue information may not be reported.

We encourage you to provide your name in the report. Regardless of whether you do so or not, please open a secure post box. This makes it safer and easier for us to communicate.

All reports are strictly confidential. You can find more information on this in menu section "Privacy policy" above.

Go to reporting 1

Secure post box 2

What can be reported?

Anonymity

Open a post box

Whistleblower policy

- When there is a misconduct observed in the company, the reporter can report the incident in the company's reporting system
- The user can choose the country and the language and then file the misconduct.
- The interface consists of 6 main tiles – the two most important of them are:
 1. **Make a Report** : The reporter can click on "Go to Reporting" to file a report that has occurred in their company
 2. **Secure Inbox** : A secure channel between the reporter and the case manager for anonymous communication by a reporter

Make a Report (1)

Home Privacy policy Secure postbox Settings English (AU)

Go to reporting

What is your suspicion? *

Do you work in the organisation?

In which company did the incident take place?

Please give the name of the affected department:

Who is involved in the incident?

In which country did the incident take place?

In which city did the incident occur?

1. In this section, the reporter can enter information about the incident. The fields in the questionnaire are customizable.

2. The reporter also has an option to :



Record a sound clip which will be encrypted and obfuscated



Attach any documents related to the misconduct



Upload pictures from their phone gallery etc.

Make a Report (2)

Contact information 1

You can choose to submit the report anonymously, but we encourage you to provide your name and contact details in the fields below.

Stay anonymous

Name

Phone number

Email

Secure postbox 2

Please open an anonymous and secure postbox. That way you can anonymously submit more information about the case or answer potential questions. We can never find out who you are, even if you create the postbox.

Whether you wish to remain anonymous or not, we ask you to create a postbox, as this will ensure that the information remains in a secure and closed system

If you have already created a postbox on this device, use that PIN code to add this case to your secure postbox.

Enter your PIN code

PIN Code

Repeat PIN code

The PIN code must:

- Contain at least one capital letter.
- Contain at least one digit.

I have read and understand the Privacy Policy and accept the terms and conditions.
[Click here to read the privacy policy](#)

Send 3

1. Contact Information:

- The reporter has an option to stay anonymous or fill in the required name and contact details while filing the report

2. Secure Inbox:

- The reporter creates an anonymous inbox through which they can communicate with the case manager in a secure and anonymous way
- The inbox requires setting a PIN code through which the reporter can access it

3. Once all the necessary details are entered, confirm the privacy policy and click on Send

Make a Report (3)

Contact information

You can choose to submit the report anonymously, but we encourage you to provide your name and contact details in the fields below.

Stay anonymous

Name
Arthur Curry

Phone number
12345677899

Email
praseetha.thamarasseril@eqs.com

Secure postbox

Please open an anonymous and secure postbox to receive potential questions. We can never find out who you are. Whether you wish to remain anonymous or not, your information remains in a secure and closed system. If you have already created a postbox on this device, you can log into your secure postbox.

Enter your PIN code

PIN Code

Repeat PIN code

The PIN code must:

- Contain at least one capital letter.
- Contain at least one digit.

I have read and understand the Privacy Policy and accept the terms and conditions. [Click here to read the privacy policy](#)

Send

Security validation

Please solve the math problem below:

1 + 10 =

Answer

1. Once the report is submitted, the reporter is asked to solve a simple math problem to confirm they are not a robot
2. The Reporter is provided with the Case ID
3. As soon as the report is filed, the Case Manager receives an email about a new case that has been filed

Home Privacy policy Secure postbox Settings English (UK)

We have received your case. The processing period can be up to 7 working days.

If you have created a secure postbox or provided your contact information, we may ask you a few questions about the case. We therefore request that you regularly log in to the postbox to see whether you received any new mail. If you have entered an e-mail, you will be notified by e-mail if a question is sent to you. Thank you for your help.

Important:

If you are using private browsing, we suggest you log into the Secure Postbox and take note of the Case ID and Case Password available on the Details tab. This allows you to log into the postbox.

Your Case ID is: D5CQ-3382

i You have opened a secure postbox. To log into the postbox, you must use the PIN code you just typed in. To login on another device/computer you will need the case number and case access code. This information can be found in your postbox. It is important that you remember your PIN code because due to anonymity and security in the system it's not possible to send it to you if you forget it.

[URL UNKNOWN]Message from the EQS Integrity Line portal regarding the issue with issue ID: 2021-73

noreply@whistleblownetwork.net
To: Praseetha Thamarasseril

EXTERNAL EMAIL

Message from the EQS Integrity Line portal regarding the issue with issue ID: 2021-73

A new issue has been received and has been placed in the "EthicsLine" folder. Please log in to process the issue.

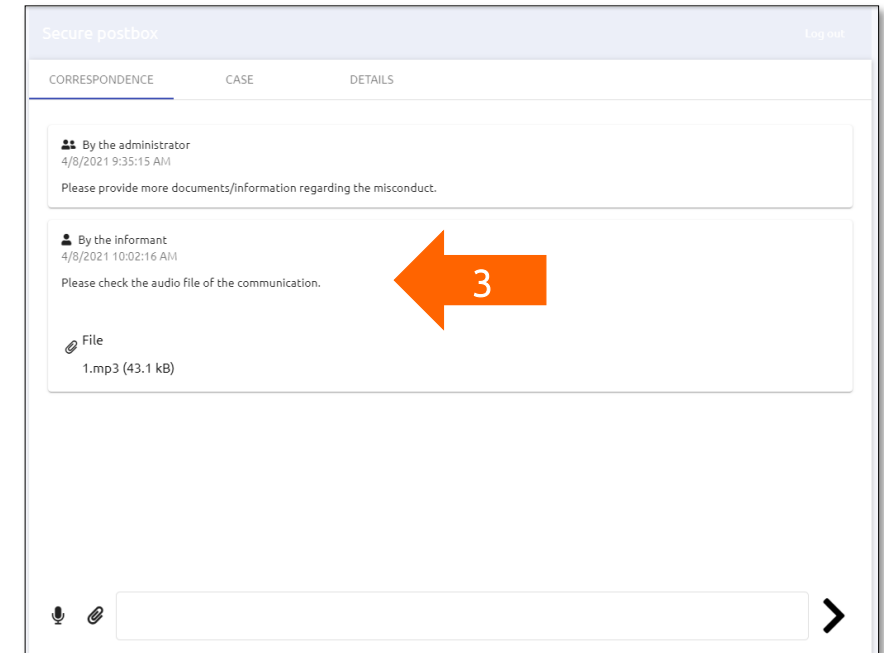
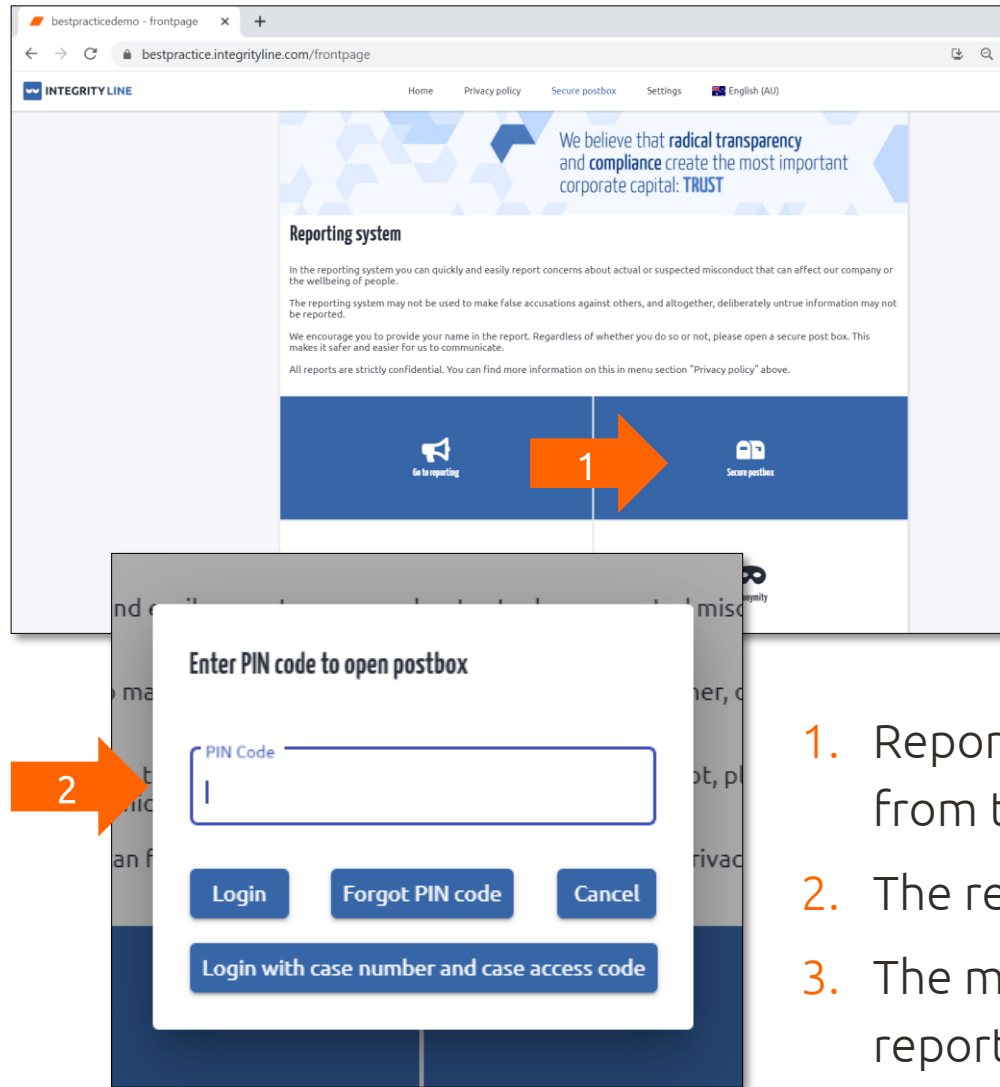
Issue id 2021-73

Login here: [BLOCKEDadmin-bestpractice\[integrityline\].com/admin/Login/Login.aspx?ReturnUrl=L0FkbWUu0z3c3VVMml2VjYlOVkaXQuYXNweD9JZD0xMDEyOQ%3d%3dBLOCKED](#)

If you have any questions, contact us on support@gotethics.com

© Got Ethics AIS 2011-2021
We promote honesty in people

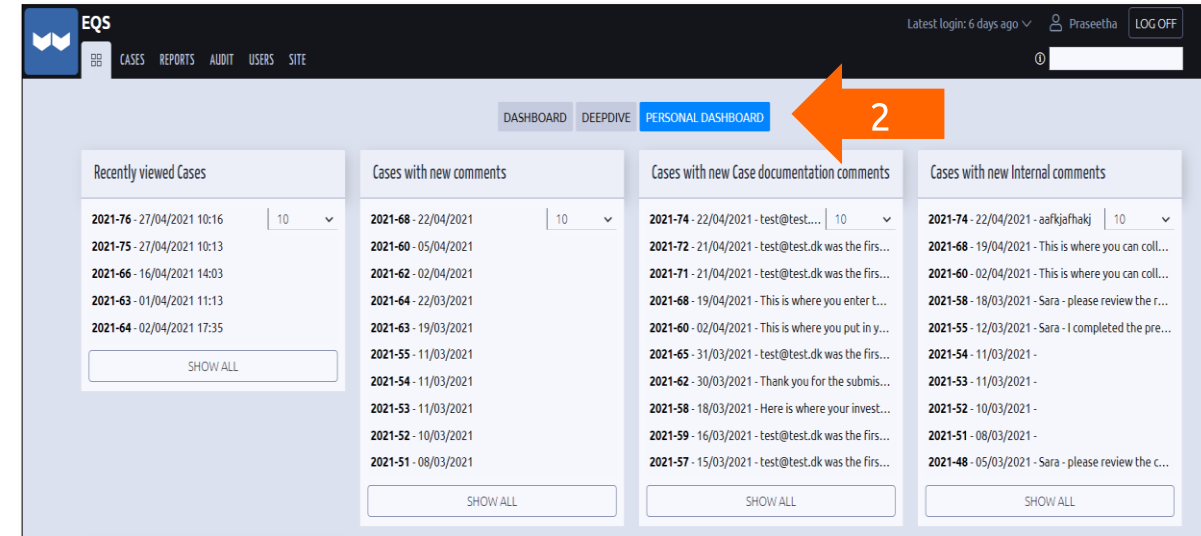
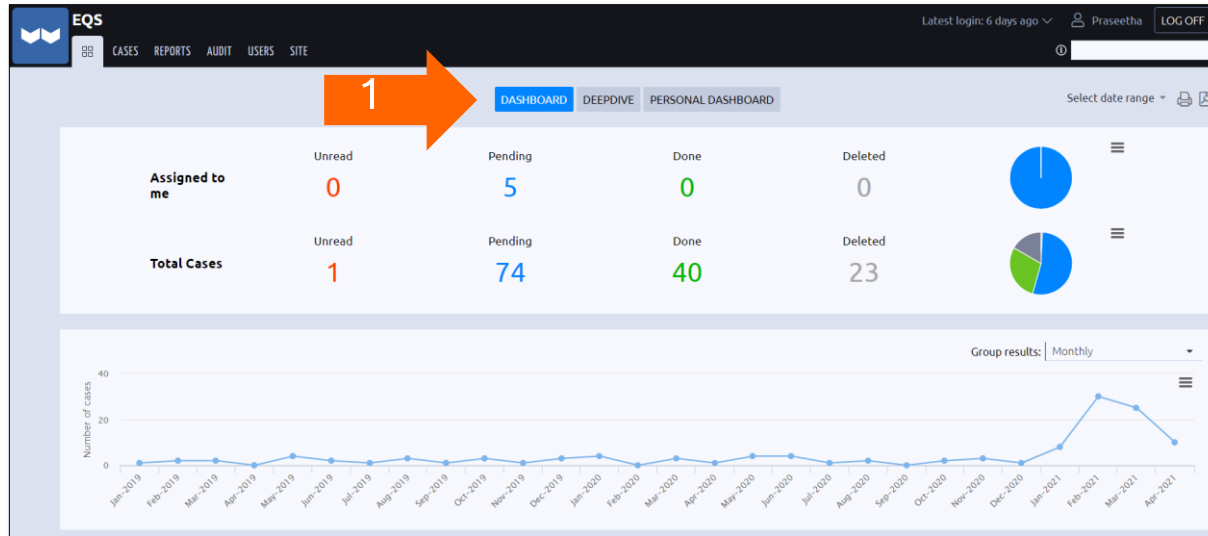
Secure Inbox



1. Reporters can log into the secure inbox to check for messages from the Case Manager or submit additional information.
2. The reporter has to enter the PIN Code to log into the Inbox
3. The messages from the Case Manager and the ones from the reporter are displayed in the inbox.

Section 2: **Case Management**

Integrity Line Dashboard

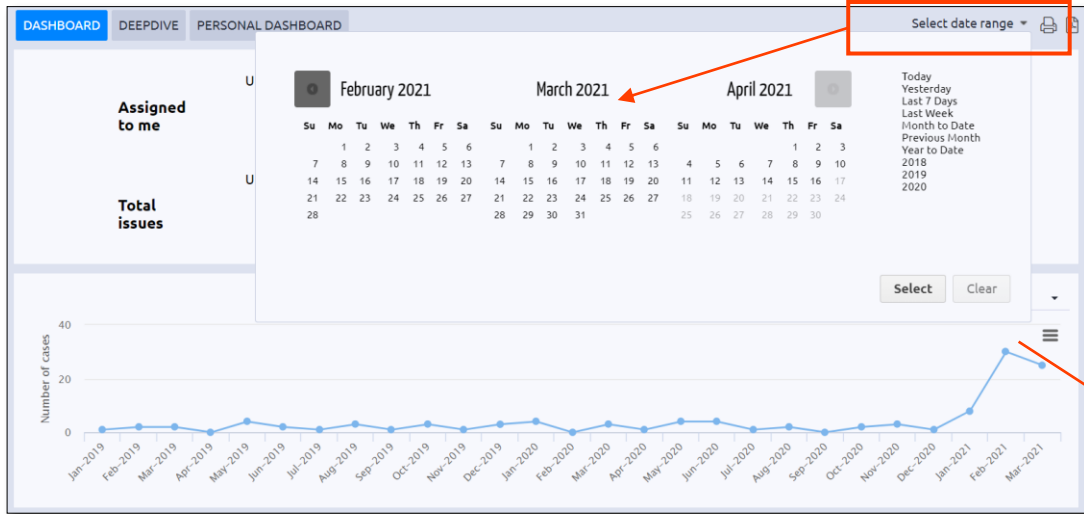


After logging into the Case Management System, the case manager can see 2 main components:

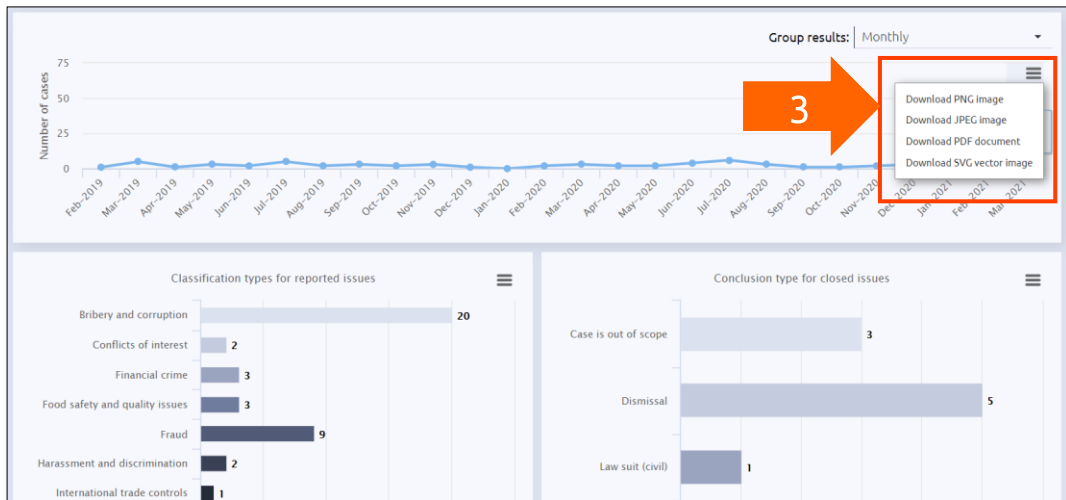
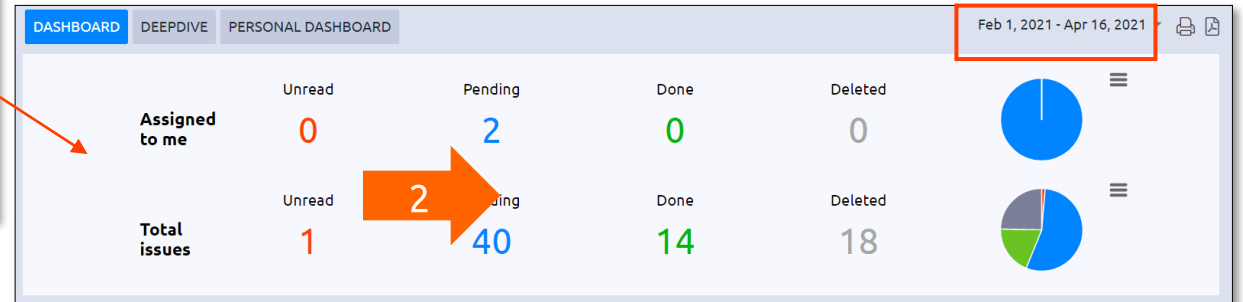
- 1. Dashboard:** Showcases a graphical overview of all the cases in the system. All the charts can be downloaded in various formats : PNG, JPEG, PDF and SVG vector image
- 2. Personal Dashboard:** Showcases an overview of issues with recent activities and pinned issues

Case Managers will only see cases/statistics which they have been granted access to. Those access permissions are based on the countries and folders a case is assigned to (E.g., a specific German case manager might only have access to German cases while another case manager can only see, and access cases reported in France in the folder HR).

Dashboard Reporting

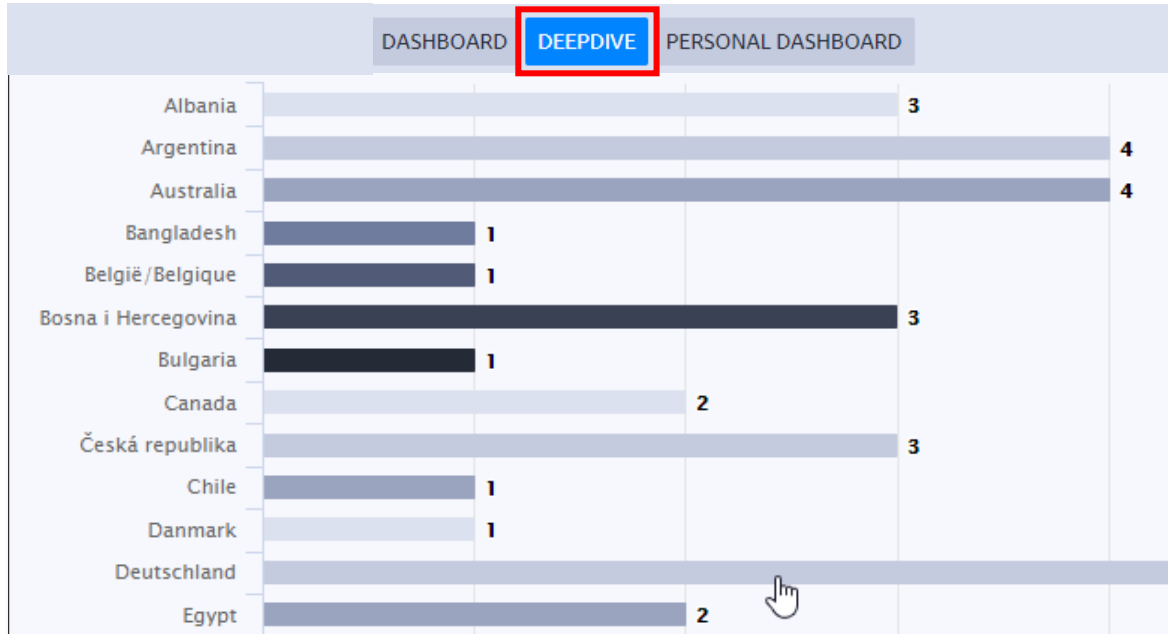


1. In the Dashboard, the case manager can view, print or create PDF reports for a specific date range. All graphs automatically adjust their values based on the selected date range



2. Clicking on any button takes you directly to your or all cases filtered by their progress (e.g., assigned to me and pending)
3. Each graph can be downloaded in various format such as PNG, JPEG, PDF and SVG Vector image

Deep Dive (1)



1. The deepdive enables case managers to create more granular and individualized reports where they can check the case status, responsibilities, outcomes etc. by selecting grouping options

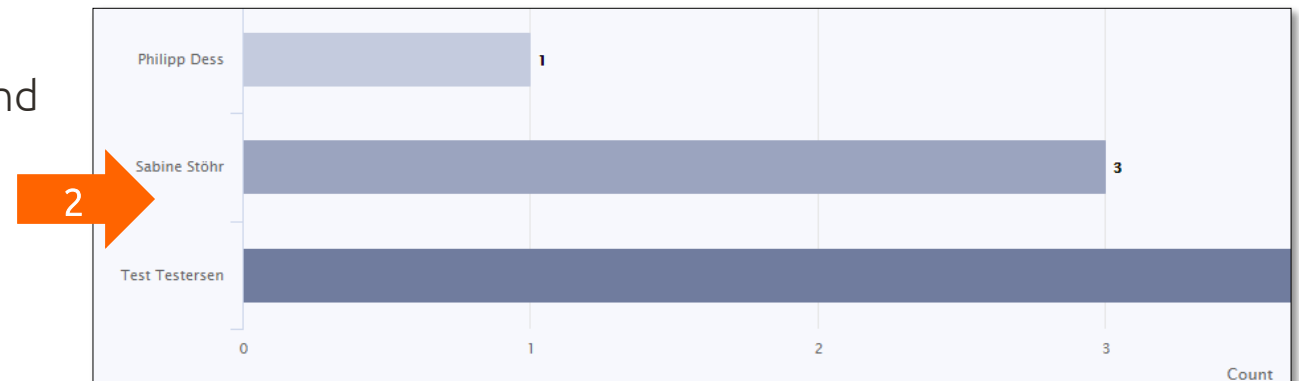
Deep Dive

Selected Country: Deutschland

Please select your grouping option

Anonymized	Classification	Completed	Conclusion
Country	Created	Deleted	EForm
First read	Folder	Folder type	Has unread comments
Responsible	Source	Workflow Status	

2. The displayed report will then be based on the selected grouping options. In this example Deutschland (Germany) was chosen and grouped by responsible persons. We can now see how many German cases a specific case manager is responsible for



Deep Dive (2)

The screenshot shows the 'Deep Dive' interface. On the left, a horizontal bar chart shows counts for different responsible users: Lorenzo Trevisiol, Philipp Dess, Sabine Stöhr, and Test Testersen. An orange arrow labeled '3' points to the 'Classification' column in a table below. The table has columns for 'Classification', 'Completed', 'Conclusion', 'Country', 'Created', 'Deleted', 'EForm', 'First read', 'Folder', 'Folder type', 'Has unread comments', 'Responsible', 'Source', and 'Workflow Status'. An orange arrow labeled '4' points to a button that says 'CLICK TO SEE ALL ISSUES'. An orange arrow labeled '5' points from this button to a second horizontal bar chart on the right. This second chart is titled 'Home » Country: Deutschland » Responsible: Test Testersen' and shows counts for different classifications: Bribery and corruption, Competition law (1), Fraud, and Protection of personal data (1).

3. You can drill down even further by selecting an additional grouping option

4. At any level of detail, it is then possible to view all cases for which the selected grouping options apply by clicking “click to see all issues” which will display them in a list below

5. In this example we can view all **German** cases for which the case manager **Test Testersen** is responsible based on their **classification**.

Cases

EQS INTEGRITY LINE

Latest login: yesterday | Praseetha | LOG OFF

CASES | REPORTS | AUDIT | USERS | SITE

Search [] SEARCH CHOOSE COLUMNS CLEAR ALL FILTERS

ISSUE ID	CREATED	FOLDER	COUNTRY
2021-139	28/04/2021 17:12:38	Group Ethics Committee, EthicsLine, Chairman of the Board	Ελλάδα (Greece)
2021-138	27/04/2021 15:48:27	EthicsLine	UK
2021-137	27/04/2021 13:18:45	EthicsLine	Schweiz
2021-136	27/04/2021 11:14:24	EthicsLine	Italia
2021-135	27/04/2021 10:42:12	EthicsLine	Italia
2021-134	27/04/2021 10:40:55	EthicsLine	Italia
2021-133	27/04/2021 09:56:22	EthicsLine	中国 (China)
2021-132	27/04/2021 09:33:17	EthicsLine	Italia
2021-131	26/04/2021 16:23:32	EthicsLine	
2021-130	26/04/2021 16:08:43	EthicsLine	
2021-129	26/04/2021 10:47:13	EthicsLine	
2021-128	23/04/2021 15:51:07	EthicsLine	

Unread: 0
My pending: 7
My completed: 0
All: 187
Pending: 142
Completed: 45

+ Create new issue

1. Search in cases for keywords and metadata
2. Clicking on 'My Pending' opens the cases assigned to the logged in case manager

3. Clicking on a specific case opens the case management portal where the report filed by the reporter is displayed to the case manager.

EQS INTEGRITY LINE

Latest login: yesterday | Praseetha | LOG OFF

CASES | REPORTS | AUDIT | USERS | SITE

Whistleblower:2021-138

ANONYMIZE ISSUE

Print

CASE | OVERVIEW | CASEWORK (1) | INTERNAL COMMUNICATIONS (1) | SECURE INBOX (0)

What is your suspicion?
I noticed some irregularities in our accounting team's documentation

Do you work in the organisation?
No

In which company did the incident take place?
[]

Please give the name of the affected department:
[]

Who is involved in the incident?
[]

DEMO PANEL | < BACK | DELETE ISSUE | REQUEST TRANSLATION | USER ACCESS | AUDIT LOG | DOWNLOAD | MOVE TO DONE | GENERATE PDF | GENERATE EXCEL

Case Details

The screenshot shows the 'Whistleblower:2021-100' case details page. At the top, there are tabs for 'CASE', 'OVERVIEW', 'CASEWORK (1)', 'INTERNAL COMMUNICATIONS (0)', and 'SECURE POSTBOX (0)'. An orange arrow labeled 'Case Tabs' points to these tabs. The main content area is divided into two columns. The left column contains a form with the following fields: 'What is your suspicion?' (text area), 'Do you work in the organisation?' (dropdown menu with 'Yes' selected), 'In which company did the incident take place?' (dropdown menu with 'Stark Industries' selected), 'Please give the name of the affected department:' (dropdown menu with 'HR' selected), 'Who is involved in the incident?' (dropdown menu with 'Nick Fury' selected), 'In which country did the incident take place?' (dropdown menu with 'Australia' selected), 'In which city did the incident occur?' (dropdown menu with 'Melbourne' selected), and 'Contact information' (text area with 'Maximus Decimus', '12345677899', and 'praseetha.thamarasseril@eqs.com'). An orange arrow labeled 'Initial Report' points to the top of this form. The right column contains a sidebar with the following sections: 'Short description' (text area), 'Country' (dropdown menu with 'Australia' selected), 'Author' (text area with 'The report has been reported through the app'), 'WB CaseId' (text area with 'E6DP-339D'), 'First read date' (text area with '09/04/2021 15:29:31'), 'Published date' (text area with '09/04/2021 15:28:58'), 'Responsible' (dropdown menu with 'Praseetha' selected), 'Classification' (dropdown menu), 'Assigned Folders' (dropdown menu with 'EthicsLine' selected), 'Attached Files' (text area), and 'Reminders' (text area). An orange arrow labeled 'Sidebar' points to this sidebar. At the bottom of the page, there is a row of buttons: '< BACK', 'DELETE ISSUE', 'REQUEST TRANSLATION', 'USER ACCESS', 'AUDIT LOG', 'DOWNLOAD', 'MOVE TO DONE', 'GENERATE PDF', and 'GENERATE EXCEL'. An orange arrow labeled 'Case Activities' points to the 'REQUEST TRANSLATION' button.

Sidebar (1)

☆ Whistleblower:2021-73

CASE OVERVIEW CASEWORK (2) INTERNAL COMMUNICATIONS (0) SECURE POSTBOX (0)

What is your suspicion? John McClane, the HR Head was seen taking a bribe from a potential client.

Do you work in the organisation? Yes

In which company did the incident take place?

Please give the name of the affected department:

Who is involved in the incident?

In which country did the incident take place?

In which city did the incident occur?

Contact information
Arthur Curry
12345677899
praseetha.thamarasseni@eqs.com

Short description ✎
Bribery case

Country 🌐
UK

Author
The report has been reported through the app

WB CaseId
D5CQ-3382

First read date
01/04/2021 11:04:06

Published date
01/04/2021 10:54:31

Responsible 👤
Praseetha

Classification 🔒
Bribery and corruption

Assigned folders 📁
EthicsLine

Attached files

Reminders 🔔

Interlink issues +

1. The initial report is displayed here. This area cannot be edited by the case manager

2. General case data:

- a. Short Description of the case (editable)
- b. Country where the misconduct occurred (editable) – note that case permissions are associated with countries
- c. Author (source of the report)
 - i. Website report: “the report has been reported through the app”
 - ii. Call center report: “The report has been reported through phone hotline”
 - iii. Manual report: The report has been reported manually by XYZ (xyz@abc.com) using the "Create new issue" functionality
- d. WB CaseID (external case ID for the reporter)
- e. First Read date
- f. Published Date (reporting date)

Sidebar (2)

Whistleblow

Change responsible

Name	Email
Ania Wojtus	ania.wojtus@eqs.com
Charlotte Guilliland	charlotte.guilliland@eqs.com
Gerald Chifamba	gerald.chifamba@eqs.com
Oliver Jeger	oliver.jeger@eqs.com
Petri Hacklin	petrirobert.hacklin@eqs.com
Philipp Dess	philipp.dess@eqs.com
Sabine Stöhr	sabine.stoehr@eqs.com
Sabrina Schmidt	sabrina.schmidt@eqs.com
Test Testersen	test@test.dk

Change classification

Classification

- Bribery and corruption
- Competition law
- Conflicts of interest
- Financial crime
- Food safety and quality issues
- Fraud
- Harassment and discrimination
- International trade controls
- Other breaches of the code of conduct
- Protection of personal data
- Rights and protection of individuals
- Serious environmental damage

Case Details:

Short description: **Bribery case**

Country: **UK**

Author: **The report has been reported through the app**

WB Caseid: **D5CQ-3382**

First read date: **01/04/2021 11:00**

Published date: **01/04/2021 11:00**

Responsible: **Praseetha**

Classification: **Bribery and corruption**

Assigned for: **EthicsLine**

Attached files

Reminders

Interlink issues

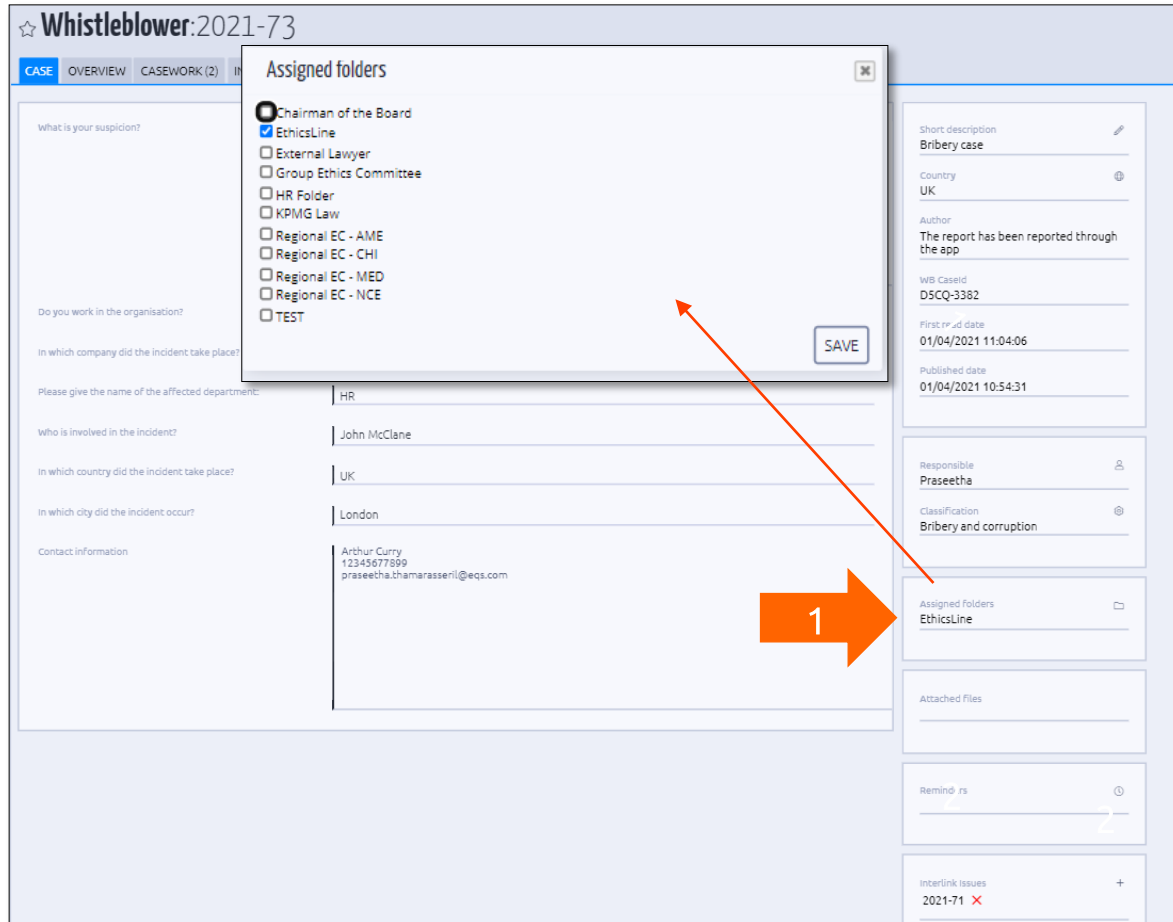
1. **Responsible** : The person who first accesses the case gets automatically assigned as the 'Responsible Case Manager'

- The Case Manager can be changed by clicking on the icon beside 'Responsible'
- All case managers will be displayed, and the designated one can be selected from here

2. **Classification** :

- The Case Manager can select a classification for the case
- 'Classification' refers to the category to which a report belongs to and can be used for reporting purposes.

Sidebar (3)

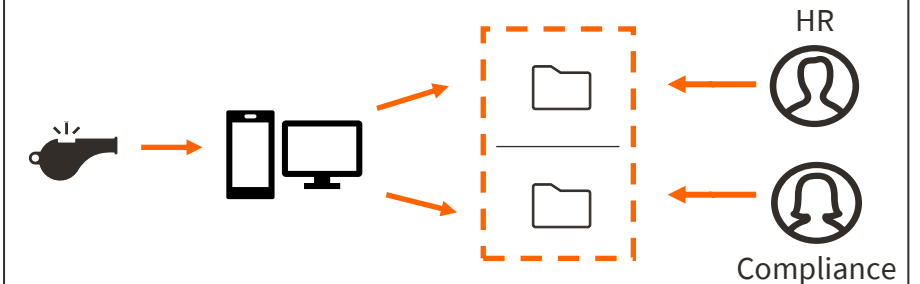


- 1. Assigned Folders:** Each case is assigned to a folder making it accessible to the subset of case managers with permissions on the folder. You can change the assigned folder by clicking here.

Folders

Incoming reports are assigned to a folder. The permissions of case managers are based on these folders allowing them to access only cases on which they have been granted permission rights to.

Example: If your system has two folders "Compliance" and "HR", a case manager with permissions only for "Compliance" would not be able to see reports put into the folder "HR".



Each report is automatically assigned to a default folder after submission. The default folder is defined within the mobile form.

Sidebar (4)

☆ Whistleblower:2021-73

CASE OVERVIEW CASEWORK (2) INTERNAL COMMUNICATIONS (0) SECURE POSTBOX (0)

What is your suspicion? John McClane, the HR Head was seen taking a bribe from a potential client.

Do you work in the organisation? Yes

In which company did the incident take place? Stark Industries

Please give the name of the affected department?

Who is involved in the incident?

In which country did the incident take place?

In which city did the incident occur?

Contact information

Short description
Bribery case

Country
UK

Author
The report has been reported through the app

WB Caseid
D5CQ-3382

First read date
01/04/2021 11:04:06

Published date
01/04/2021 10:54:31

Responsible
Praseetha

Classification
Bribery and corruption

Assigned Folders
EthicsLine

Attached Files

Reminders

Interlink Issues
2021-71

Reminder

Reminder for Issue #2021-73

E-mail recipient
praseetha.thamrasseril@eqs.com

Reminder recurrence
 Reminder should only occur once
 Reminder should be recurring

Reminder date
00:00

Title

Message

This is a reminder for Issue #2021-73. Click [here](#) to access the issue

CREATE REMINDER

1

2

3

- Attached Files:** If the reporter has attached any files, those details will be displayed here
- Reminders:** Custom reminders can be set by the Case Manager
- Interlink Issues:** If there are logically connected cases or duplicates, they can be interlinked

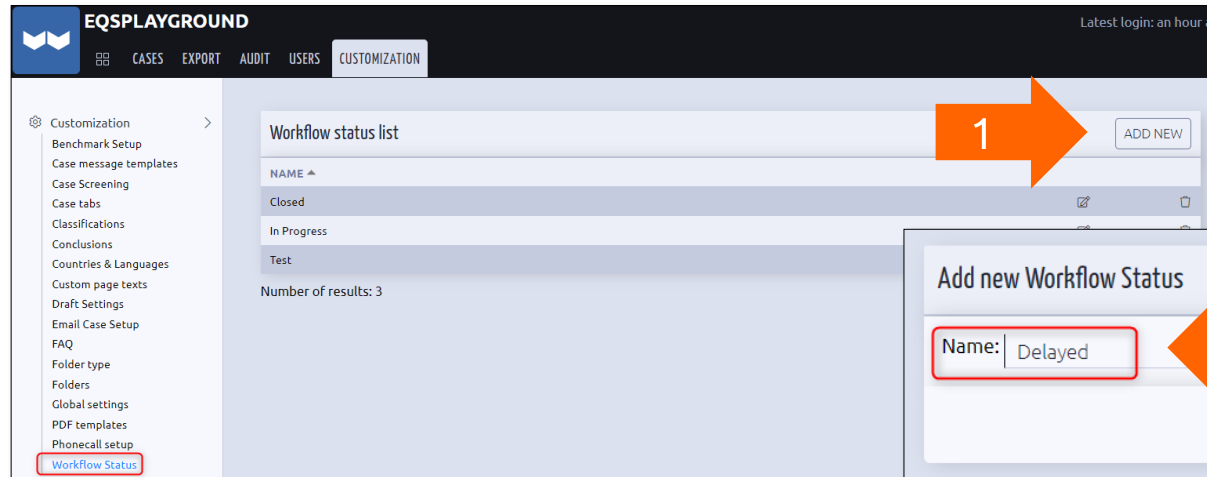
Interlink Issues

Issue id to interlink

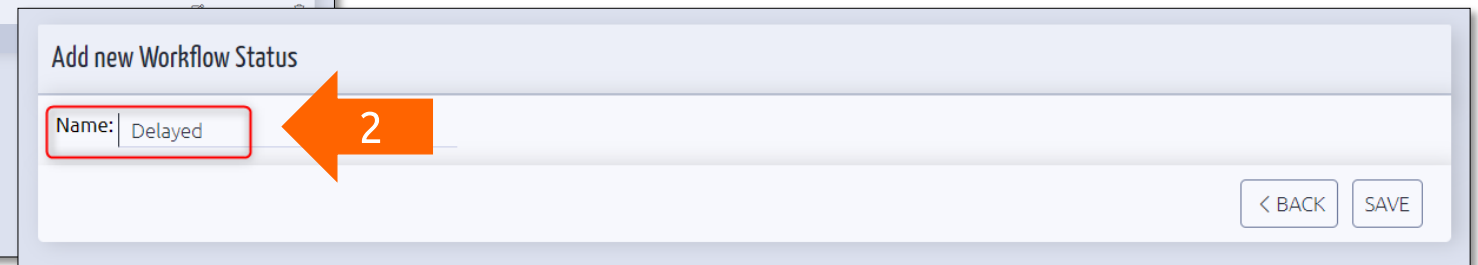
2021-71

INTERLINK

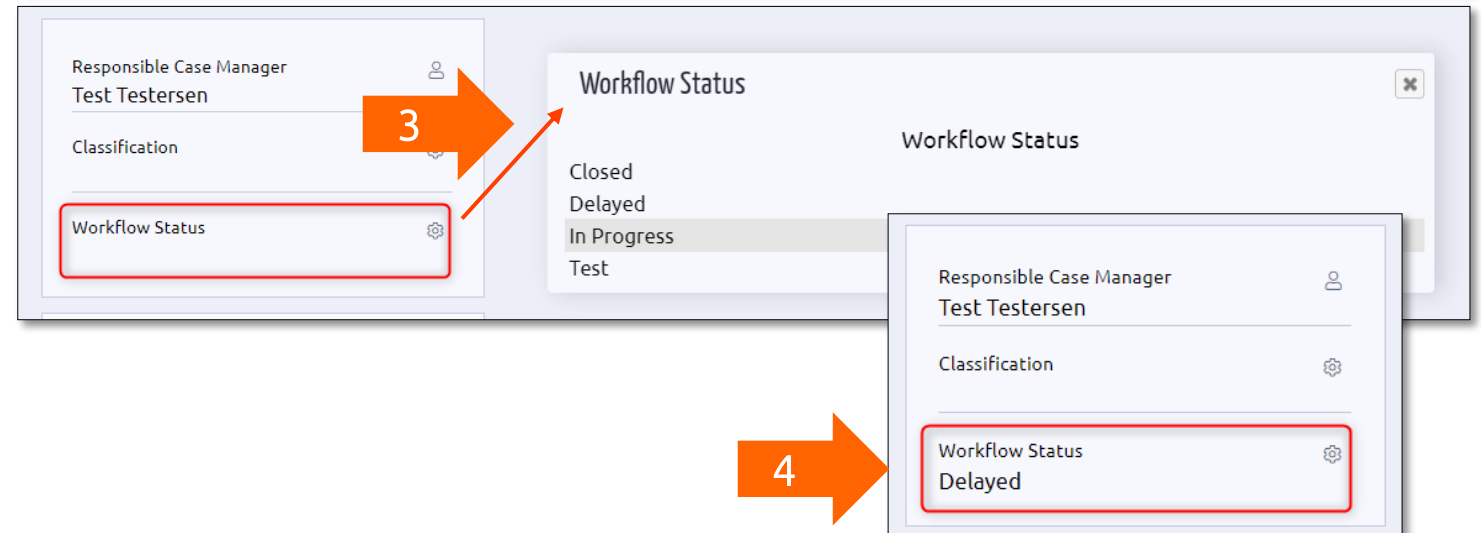
Workflow Status



1. Workflow statuses can be created to specify the current status of a case that is being worked upon by a Case Manager. Click on 'Add New' to create a new Workflow status



2. Enter a new name for the status
3. Under a specific case, click on the gear icon and select the required status
4. The selected status is displayed under 'Workflow Status'



Casework

Whistleblower:2021-73 ANONYMIZE ISSUE

CASE OVERVIEW CASEWORK (3) INQUIRIES (0) SECURE POSTBOX (0) Print

New comment:

Add file: Choose Files No file chosen

SAVE COMMENT

Praseetha [Delete] [Edit] 08/04/2021 08:32:21
@Praseetha (praseetha.thamarasseril@eqs.com) please check this case.

REPLY

Praseetha [Delete] [Edit] 01/04/2021 11:24:03
praseetha.thamarasseril@eqs.com has set classification to Bribery and corruption

REPLY

Praseetha [Delete] [Edit] 01/04/2021 11:04:06
praseetha.thamarasseril@eqs.com was the first to view issue and is automatically set as responsible

REPLY

[URL UNKNOWN]Message from the EQS Integrity Line portal regarding the issue with issue ID: 2021-73

noreply@whistleblowernetwork.net
To: Praseetha Thamarasseril

If there are problems with how this message is displayed, click here to view it in a web browser.

Message from the EQS Integrity Line portal regarding the issue with issue ID: 2021-73

A new casework comment on the issue with issue ID: 2021-73 is available in the portal. Please log in to review the issue.

Issue id 2021-73

Login here: [BLOCKEDadmin-bestpractice\[integrityline \]com/admin/Login/Login.aspx?ReturnUrl=L0FkbWVudL0ztc3VlVmlkZVYl0VkaXQuYXNweD9JZD0xMDEyOSN0YWJzO29ibWVudHM%3dBLOCKED](#)

If you have any questions, contact us on support@gotethics.com

© Got Ethics AIS 2011-2021
We promote honesty in people.

File download

Test.docx

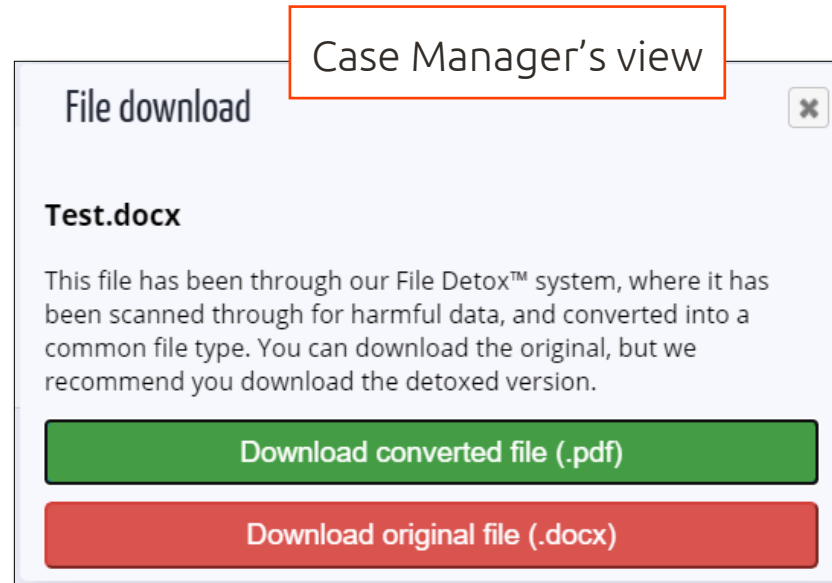
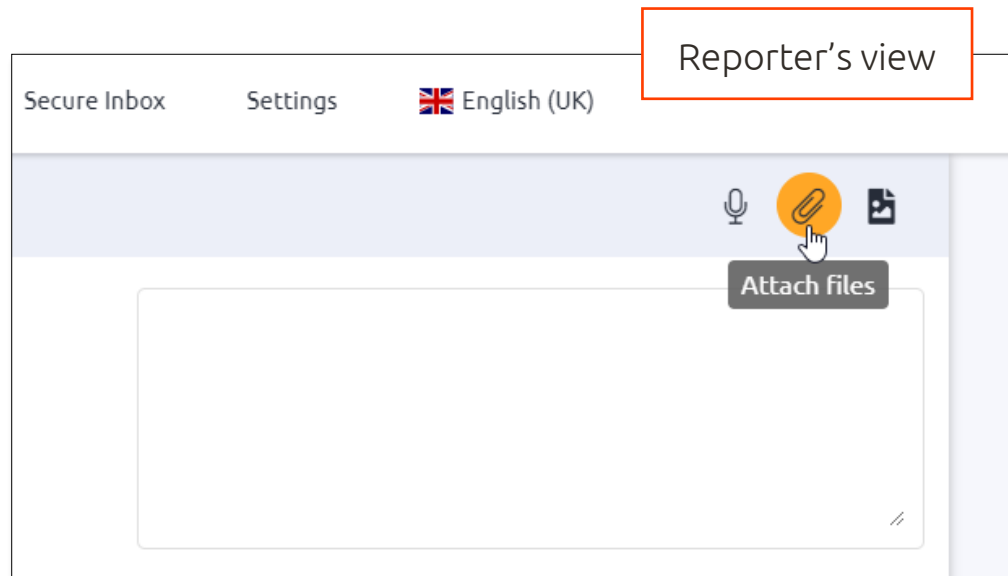
This file has been through our File Detox™ system, where it has been scanned through for harmful data, and converted into a common file type. You can download the original, but we recommend you download the detoxed version.

Download converted file (.pdf)

Download original file (.docx)

1. The Casework tab acts like a journal for the Case Manager. Additional files, information etc. can be entered here and an email alert is received.
2. Case Managers can attach files in common file formats (e.g., excel, word, PDF, JPG, PPT etc.) which can also be downloaded

File Detox and Malware Prevention



- Normal antivirus programs do not protect against zero-day viruses. Therefore, we have developed our own system “File Detox” that cleans the files uploaded in the system.
- File Detox creates a mirror of the original file where only information that is known to be safe is copied to.
- For example:
 - Document files (e.g., word) into a new pdf document.
 - Sound files (e.g., mp3 files) into a new mp3 file.
 - Image files (e.g., jpg and png files) into a new jpg file.
- This process removes malicious content from the files.
- Furthermore, meta data which might expose the identity of the reporter is removed from the file during the detoxing process (e.g., author, creation date).

Internal Communications

Whistleblower:2021-73

CASE OVERVIEW CASEWORK (3) **INTERNAL COMMUNICATIONS (1)** (0)

ANONYMIZE ISSUE Print

New comment:

Add file: Choose Files No file chosen

SAVE COMMENT

Philipp

@Praseetha (praseetha.thamarasseril@eqs.com) Please check this case.

Delete Edit 08/04/2021 09:19:06

REPLY

1. The Internal Communications Tab helps in establishing communication between the case managers and other departments.
2. The entered comment is displayed at the bottom of the page and the case managers also have an option to attach any additional files to the case

2. The Case Managers can tag other case managers to engage in a conversation or distribute tasks
3. An email is triggered to the tagged Case Manager as an alert when tagged in a comment

[URL UNKNOWN]Message from the EQS Integrity Line portal regarding the issue with issue ID: 2021-73

N noreply@whistleblowernetwork.net
To: Praseetha Thamarasseril

If there are problems with how this message is displayed, click here to view it in a web browser.

EXTERNAL EMAIL

Message from the EQS Integrity Line portal regarding the issue with issue ID: 2021-73

A new internal comment on the issue with Issue ID: 2021-73 is available in the portal. Please log in to review the issue.

Issue id:2021-73

Login here: [BLOCKEDadmin-bestpractice\[\]integrityline\[\]com/admin/Login/Login.jspx?ReturnUrl=L0FKbWUuL0lzc3Vlmlid2VyL0VkaXQuYXNweD9JZD0xMDEyOSN0YVJzSW50ZUJyYXVxDb211dW5pY2F0aW9ucw%3d%3dBLOCKED](#)

If you have any questions, contact us on support@gotethics.com

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We promote honesty in people.

Secure Inbox (1)

Whistleblower:2021-100

CASE OVERVIEW CASEWORK (1) INTERNAL COMMUNICATIONS (1) **SECURE POSTBOX (0)**

ANONYMIZE ISSUE Print

New comment: No template

Please provide more information

Add file: Choose File No file chosen

When choosing translation, the comment will not be visible to the person before the comment has been translated!

Translation option Don't translate

ADD COMMENT

Whistleblower:2021-100

CASE OVERVIEW CASEWORK (1) INTERNAL COMMUNICATIONS (1) **SECURE POSTBOX (1)**

ANONYMIZE ISSUE Print

New comment: No template

Add file: Choose File No file chosen

When choosing translation, the comment will not be visible to the person before the comment has been translated!

Translation option Don't translate

ADD COMMENT

09/04/2021 15:45:35

Praseetha (praseetha.thamasseril@eqs.com)

Please provide more information.

REQUEST COMMENT TRANSLATION

1. The Case Manager can communicate with the reporter via the **Secure Inbox**
2. There is also an option to translate the Case Managers message to the language of the reporter.
3. Once the message is delivered, the same is displayed at the bottom of the screen
4. The red envelope icon shows that the reporter did not yet read the message

Secure Inbox (2) - Reporter View

The screenshot shows the 'Secure postbox' interface. At the top, there are navigation links: Home, Privacy policy, Secure postbox (active), Settings, and English (AU). Below this is a 'Secure postbox' header with a 'Log out' link. The main content area has three tabs: CORRESPONDENCE (selected), CASE, and DETAILS. The 'CORRESPONDENCE' tab displays two messages. The first message is highlighted in yellow and is from 'By the administrator' dated 4/9/2021 3:45:35 PM, with the text 'Please provide more information.' The second message is from 'By the informant' dated 09-04-2021 19:17:35, with the text 'Please check the audio attached.' Below this message is a file attachment icon and the text 'File 1.webm (49.6 kB)'. At the bottom of the interface, there is a text input field with a microphone icon on the left, a file attachment icon, and a right-pointing arrow button on the right.

- The message from the Case Manager is displayed in the secure inbox of the reporter after logging in through the reporting channel. The reporter can respond via text, audio or attach any additional documents to the report

Secure Inbox (3)

The screenshot displays the 'Whistleblower:2021-100' interface. At the top, there are tabs for 'CASE', 'OVERVIEW', 'CASEWORK (1)', 'INTERNAL COMMUNICATIONS (1)', and 'SECURE POSTBOX (2)'. Below the tabs is a 'New comment:' section with a text area and a 'No template' dropdown. A file upload section shows 'Add File: Choose File' and 'No file chosen'. A 'Translation option' dropdown is set to 'Don't translate'. An 'ADD COMMENT' button is visible. The main content area shows a comment from 'Praseetha (praseetha.thamasseril@eqs.com)' with a green envelope icon. The comment text is 'Please provide more information.' and includes an audio attachment 'Attachment_1.mp3' with a play button and a 'Transcribed text' field. An orange arrow labeled '1' points to the audio player, and another orange arrow labeled '2' points to the green envelope icon.

1. Once the reporter enters their information, the Case Manager receives an email (based on their notification settings) and can view the message in the Case Management.
2. The letter icon has turned green, indicating that the reporter has viewed the Case Manager's comment

Activity Log

☆ **Whistleblower:2021-73**

CASE OVERVIEW 1 INTERNAL COMMUNICATIONS (0) SECURE POSTBOX (0)

08/04/2021
Issue Casework tab viewed 3 times

08/04/2021
Issue Internal communications tab viewed

08/04/2021
Casework comment created

08/04/2021
Casework: Praseetha
@Praseetha (praseetha.thamarasseril@eqs.com) please check this case.

08/04/2021
Issue Overview tab viewed 2 times

08/04/2021
Issue viewed 4 times

08/04/2021
IssueId: 2021-73 interlinked with 2021-71

01/04/2021
Issue viewed 5 times

01/04/2021
Casework: Praseetha
praseetha.thamarasseril@eqs.com has set classification to Bribery and corruption

01/04/2021
Issue classification changed

01/04/2021
Short description changed

01/04/2021
Casework: Praseetha
praseetha.thamarasseril@eqs.com was the first to view issue and is automatically set as responsible

1. The Activity Log showcases all the activities that occurred in the designated case

It lists:

- comments
- the name of the case manager who created the comment
- the number of times the case or any specific tab has been viewed
- any changes made to the case
- the first case manager assigned to the case
- deleted cases

Anonymize Issue

Whistleblower:2021-101

What is your suspicion?
I was asked by my HR manager, Nick Fury, to provide him all the confidential information regarding our new project. He wanted to give this information to a potential competition.

Do you work in the organisation?
Yes

In which company did the incident take place?
Asgard Inc.

Please give the name of the affected department:
HR

Whistleblower:2021-101

What is your suspicion?
I was asked by my XYZ Dept. manager, ABC Culprit, to provide them all the confidential information regarding our new project. They wanted to give this information to a potential competition.

Do you work in the organisation?
Yes

In which company did the incident take place?
Company

Please give the name of the affected department:
XYZ

View anonymized issue

COMPLETE ANONYMIZATION

SAVE ANONYMOUS CHANGES

Begin anonymizing issue

Anonymizing an issue requires you to go through every tab to ensure that all personal information is removed.

Text is only added to the anonymized version when **SAVE** is pressed on the individual element, including each comment. All files are removed from the anonymized issue. You can toggle between the anonymized issue and the original in the top menu.

To complete the anonymization press the **COMPLETE ANONYMIZATION** button

CANCEL CONTINUE

Anonymize Issue

1. To Anonymize an issue, the case manager first clicks on “ Anonymize Issue”
2. The Case Manager is notified that they need to go through each tab to ensure that personal information is removed manually. All files (audio, pictures etc.) are removed from the case
3. Once all personal information is removed from the case, click on ‘Save Anonymous Changes’
4. The Case Manager can toggle between the original case and the anonymized case
5. Once the required anonymizations are complete, click on “Complete Anonymization”. The Case Manager does have an option to edit the anonymizations again at a later stage

Case Activities

☆ Whistleblower:2021-73 View anonymized issue EDIT ANONYMIZED ISSUE

CASE OVERVIEW CASEWORK (3) INTERNAL COMMUNICATIONS (2) SECURE POSTBOX (2) Print

What is your suspicion? John McClane, the HR Head was seen taking a bribe from a potential client.

Do you work in the organisation? Yes

In which company did the incident take place? Stark Industries

Please give the name of the affected department: HR

Who is involved in the incident? John McClane

In which country did the incident take place? UK

In which city did the incident occur? London

Short description: Bribery case

Country: UK

Author: The report has been reported through the app

WB Caseld: D5CQ-3382

First read date: 01/04/2021 11:04:06

Published date: 01/04/2021 10:54:31

Responsible: Praseetha

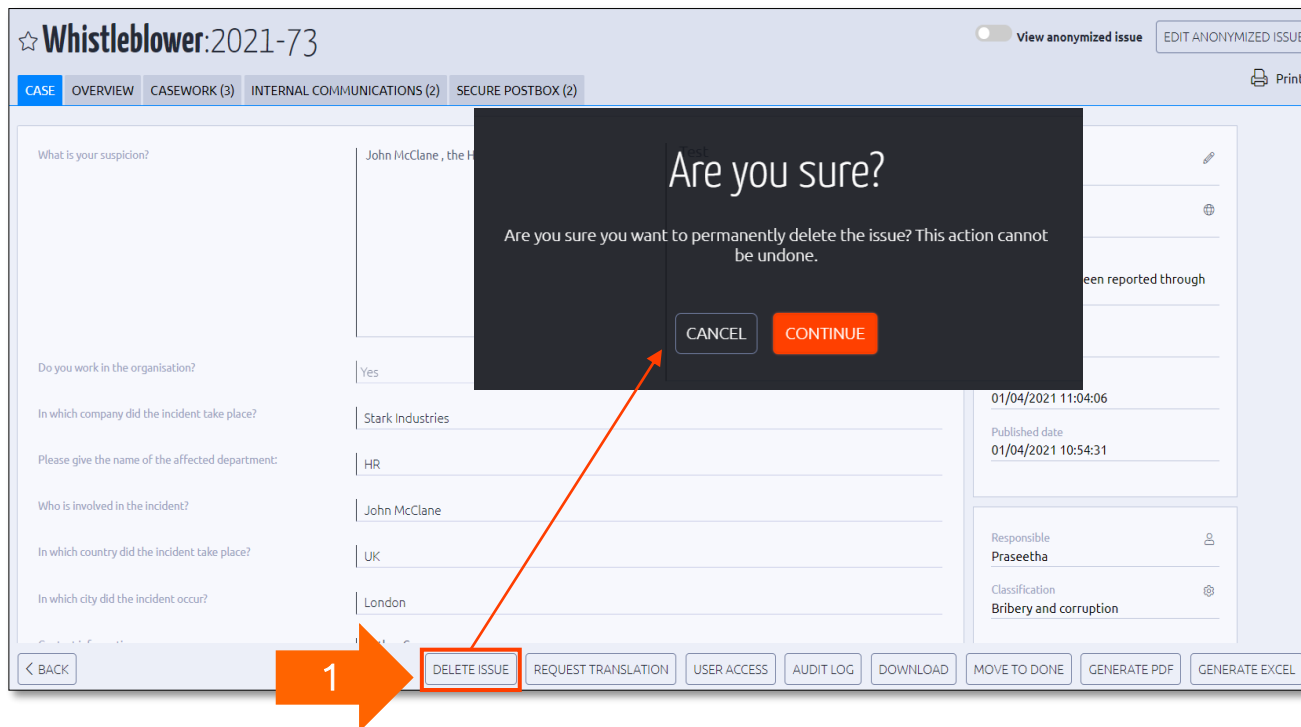
Classification: Bribery and corruption

< BACK DELETE ISSUE REQUEST TRANSLATION USER ACCESS AUDIT LOG DOWNLOAD MOVE TO DONE GENERATE PDF GENERATE EXCEL

- Case activities showcase all the various features that are available to a Case Manager based on their individual permissions (e.g., only a case manager with rights to delete a case will see the respective button)
- These consist of translations, audit logs, access controls etc.

Delete issue

- Delete Issue:** Permanently deletes the issue from the case management. All case data herein is deleted, and the Issue will no longer be visible in the System. However, metadata such as classification, conclusion etc. is kept making it possible to generate reports on Issues that have been deleted in the System.



Request Translation

☆ Whistleblower:2021-101

CASE OVERVIEW CASEWORK (1) INTERNAL COMMUNICATIONS (0) SECURE INBOX (0)

What is your suspicion?
I was asked by my HR manager, Nick Fury, to provide him all the confidential information regarding our new project. He wanted to give this information to a potential competition.

Do you work in the organisation?
Yes

In which company did the incident take place?
Asgard Inc.

Please give the name of the affected department:
HR

Who is involved in the incident?
Nick Fury

In which country did the incident take place?
USA

In which city did the incident occur?
New York

Contact information
Maximus Declmus
123456789
praseetha.thamarasseril@eqs.com

DELETE ISSUE REQUEST TRANSLATION USER ACCESS AUDIT LOG

Request translation

Here you can request a translation. Once requested, you will be notified when the translation is done. (If your account has notifications enabled)

Translate from the following language Auto detect

Translate to the following language German

Use machine translation

REQUEST TRANSLATION

☆ Whistleblower:2021-101

CASE OVERVIEW CASEWORK (1) INTERNAL COMMUNICATIONS (0) SECURE INBOX (0)

Original Case: Deutsch

Form language: Deutsch

Worauf bezieht sich Ihr Verdacht?
Mein Personalleiter Nick Fury wurde gebeten, ihm alle vertraulichen Informationen zu unserem neuen Projekt zur Verfügung zu stellen. Er wollte diese Informationen einem potenziellen Wettbewerb geben.

2. There are 2 types of Translations available:

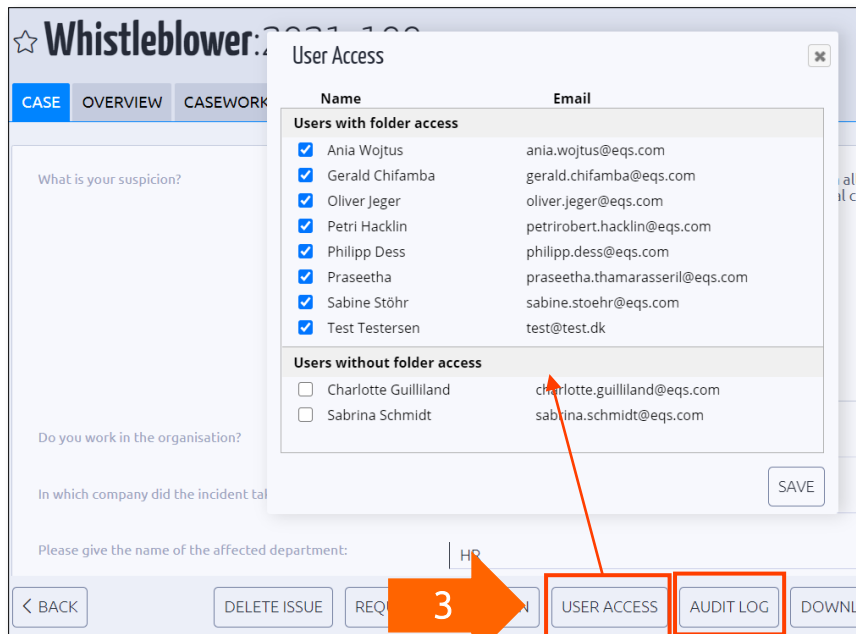
- **Human Translation** : The content will be translated by a human through remote desktop access
- **Machine Translation** : The content can be machine translated to a number of different languages

When using machine translation, the phrase to be translated is encrypted and sent to the Azure Translator. The service translates the phrase into the desired language, encrypts it and sends it back instantly.

User Access and Audit Log

3. User Access: Clicking the “User Access” button opens a window showing a list of the Users who have access to the specific Issue.

By selecting one or more Users and clicking the Save button, the selected Users will gain or lose access to the specific case. It is possible to add Users without Folder Access to an issue. Select the relevant User under “Users without folder access” and click the Save button. This will forward the case permission rights to them.



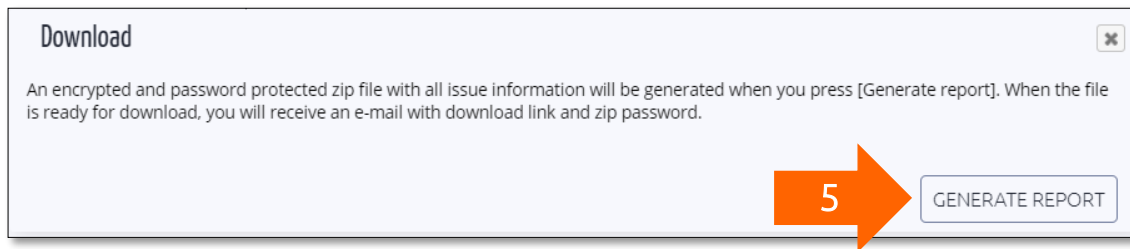
4. Audit Log: Clicking the “Audit log” button opens a historical log containing all events related to the specific case.

The screenshot shows the 'Audit log' window. An orange arrow labeled '4' points to the top of the window. The window displays a table of audit events. The table has the following columns: CREATED DATE, ISSUE, LOGGED IN, AFFECTED USER, AUDIT TYPE, and ACTION STRING. The table contains several rows of data, including dates, issue IDs, user names, and descriptions of actions.

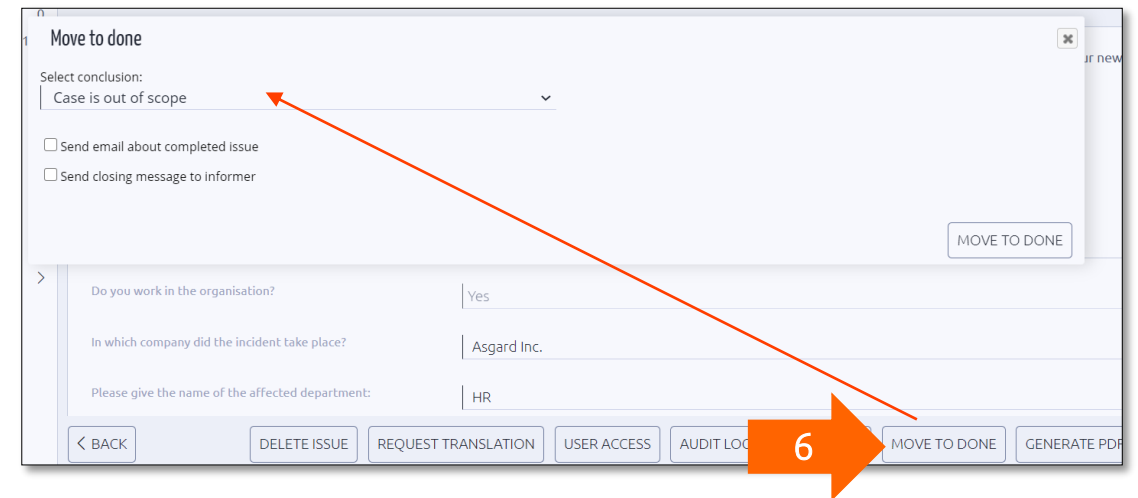
CREATED DATE	ISSUE	LOGGED IN	AFFECTED USER	AUDIT TYPE	ACTION STRING
08/04/2021 12:26:39	2021-73	Praseetha		Viewissue	Issue viewed
08/04/2021 12:26:38	2021-73	Praseetha		IssueTranslati...	Machine Issue translation completed
08/04/2021 12:09:58	2021-73	Praseetha		Viewissue	Issue viewed
08/04/2021 12:09:51	2021-73	Praseetha		Viewissue	Issue viewed
08/04/2021 12:01:43	2021-73	Praseetha		IssueWhistleb...	Issue Whistleblower dialogue tab viewed
08/04/2021 12:01:36	2021-73	Praseetha		IssueWhistleb...	Issue Whistleblower dialogue tab viewed
08/04/2021 12:01:35	2021-73	Praseetha		IssueAnonymi...	Anonymized issue
08/04/2021 12:01:28	2021-73	Praseetha		IssueWhistleb...	Issue Whistleblower dialogue tab viewed

Download and move issue to done

5. Download: An encrypted and password protected zip file with all issue information will be generated when the user clicks on “Generate report”. When the file is ready for download, they will receive an e-mail with the download link and zip password

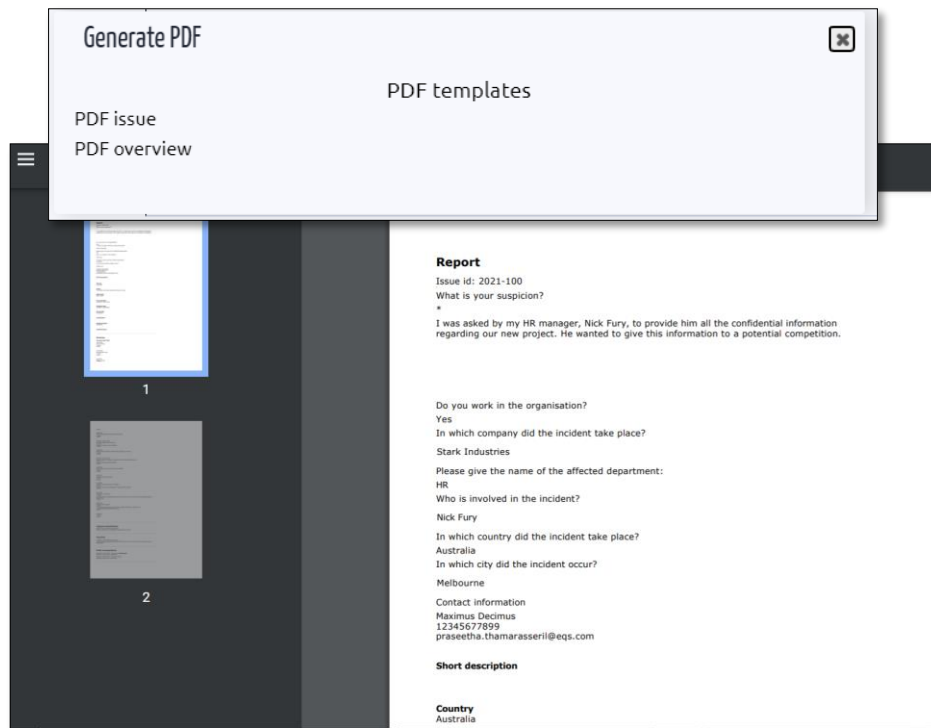


6. Move to Done: Once the case is completed, it can be moved to a conclusion as per the outcome of the case. The Case Manager can choose to send a mail about the completed issue to any of the case managers and/or to the reporter



Generate PDF

7. Generate PDF: Based on the PDF templates, a PDF can be generated regarding the issue or the overview. An Excel file regarding the case and its communication can also be generated.



- The Case Manager can configure the details that need to be populated in the PDF via 'Add new PDF Template' feature present in the Menu*

The image shows the 'Add new PDF template' configuration form. The 'Name' field is set to 'Metadata Export Template'. The 'Show columns' section is expanded, showing a list of fields under 'Basic data' and 'Choose all'.

Add new PDF template

Name: Metadata Export Template

Show columns

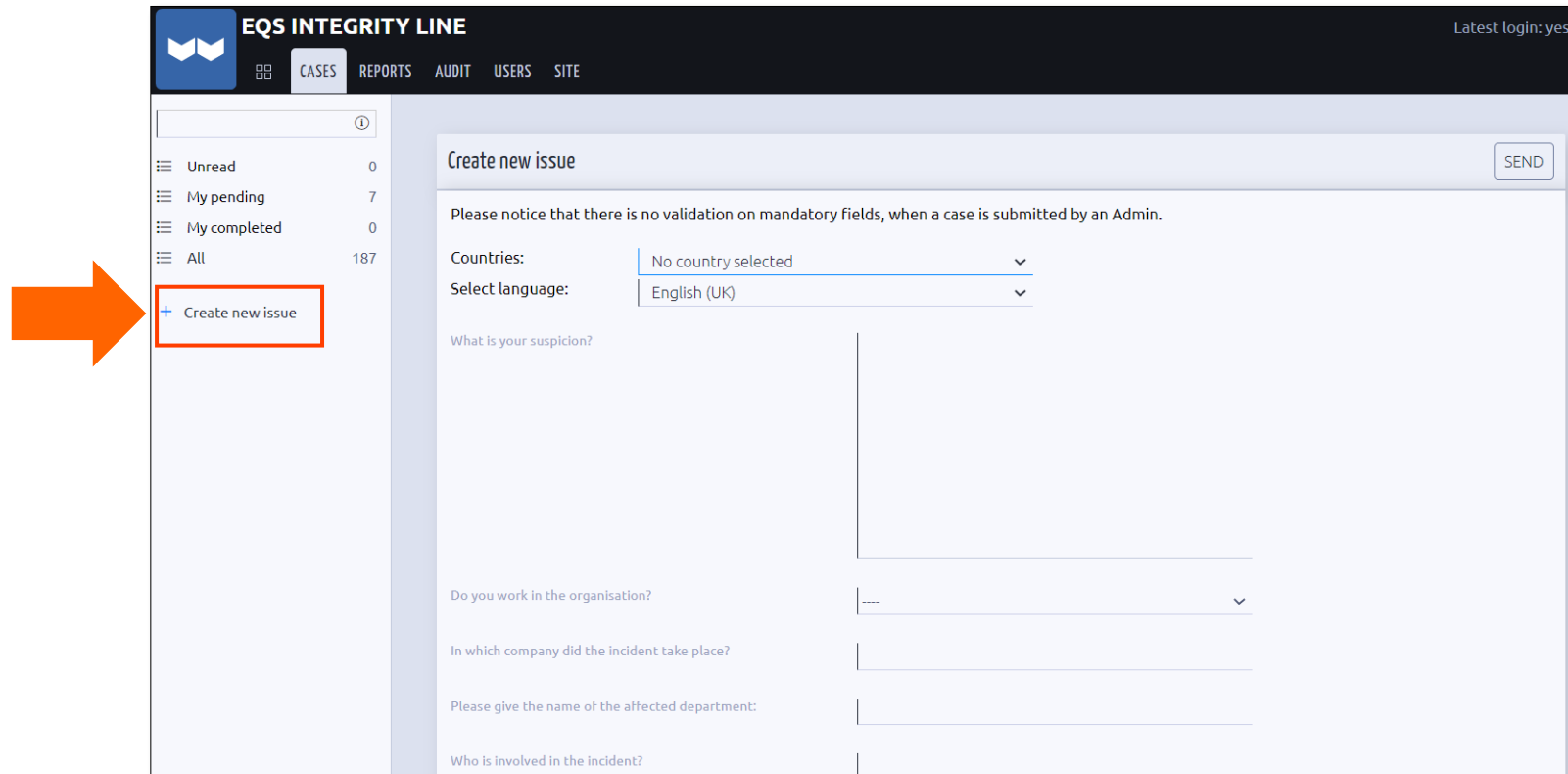
Basic data

Choose all

- Issue Id
- Publish date
- Completed date
- Retention date
- Country
- Source
- Case
- Users with access to case (list)
- Conclusion
- Interlinked with cases
- Language
- Secure postbox available
- Reporting type
- Responsible User
- Short description
- Classification

Additional Case Intake - Create New Issue

The Case Manager can create a new issue from their end as well. This occurs during the situations where the information from the reporter has been passed on directly to the Case Manager without the reporter entering the details in the Reporting Page (e.g., ombudsman, physical letter)



The screenshot shows the EQS Integrity Line web application interface. The top navigation bar includes the EQS logo, the text 'EQS INTEGRITY LINE', and a user profile icon with the text 'Latest login: yesterday'. Below the navigation bar are tabs for 'CASES', 'REPORTS', 'AUDIT', 'USERS', and 'SITE'. The left sidebar contains a list of filters: 'Unread' (0), 'My pending' (7), 'My completed' (0), and 'All' (187). A red box highlights the '+ Create new issue' button, with an orange arrow pointing to it from the left. The main content area is titled 'Create new issue' and contains a 'SEND' button. Below the title is a warning message: 'Please notice that there is no validation on mandatory fields, when a case is submitted by an Admin.' The form includes several fields: 'Countries:' (dropdown menu showing 'No country selected'), 'Select language:' (dropdown menu showing 'English (UK)'), 'What is your suspicion?' (text area), 'Do you work in the organisation?' (dropdown menu), 'In which company did the incident take place?' (text field), 'Please give the name of the affected department:' (text field), and 'Who is involved in the incident?' (text field).

Additional Case Intake - Email Cases

ENTERPRISEDEMO

CASES REPORTS AUDIT USERS SITE

Draft 2
Unread 1
My pending 0
My completed 0
All 110
Email Cases 0
+ Create new issue

Email issues

This is a list of the emails that have been sent to the email addresses defined in the email issue setup menu point.

Email: test142@test.whistlebloweremail.com
Country: Danmark
Form: Email form
Subject: asdasda
20-08-2019 07:00:00

Gbaertiko3 Jgbhp1534lough109857gy2 0p987109847ghy0214867 hgy1+p9865

—
Kind regards / Med venlig hilsen / Mit Freundlichen Grüßen
Anders Søndergaard
Software developer, Got Ethics A/S
P: +45 60 12 40 77 | E-Mail: as@gotethics.com / Skype: ethante

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CONFIRM ISSUE REMOVE

Emne asdasda

Besked Gbaertiko3 Jgbhp1534lough109857gy2 0p987109847ghy0214867 hgy1+p9865

—
Kind regards / Med venlig hilsen / Mit Freundlichen Grüßen
Anders Søndergaard
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P: +45 71 77 77 00 | E-Mail: info@gotethics.com<mailto:info@gotethics.com> | W: www.gotethics.com

Short description

Country Danmark

Author The report has been reported through an email

WB Caseld

First read date 13/04/2021 11:03:14

Published date 13/04/2021 11:02:58

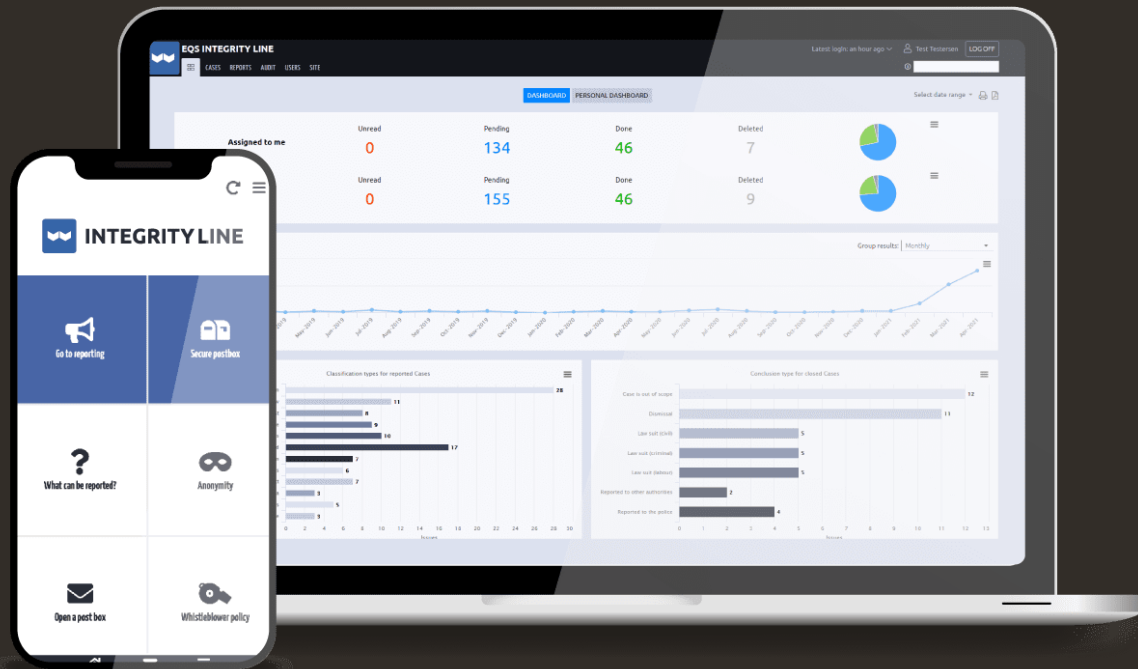
Responsible Normal User

Classification

Workflow Status

1. The emails that were sent directly to the system's email address are displayed here.
2. The Case Manager can click on "confirm issue" to create a new case out of the email.

Thank You



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