NAVEX GLOBAL™

The Ethics and Compliance Experts

INTEGRILINK CASE MANAGEMENT

Investigator Guide

NAVEX GLOBAL™
The Ethics and Compliance Experts

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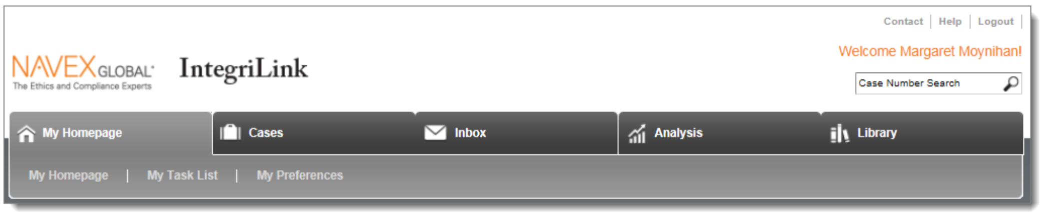
Contents

1 Welcome

Welcome to NAVEX Global's IntegriLink – an enterprise portal for managing your ethics and compliance program.



- **My Homepage** – your starting point for action items, recent activity, and program metrics
- **Cases** – case lists and search tools for managing cases
- **Inbox** – alerts and notices about program activity
- **Analysis** – real-time summary reports and monthly management reports
- **Library** – resources provided by your organization
- **My Profile** – your contact and password information
- **Contact** – NAVEX Global contact information
- **Help** – new release and quick reference materials, user guides

1.1 ABOUT THIS USER GUIDE

This user guide is intended for AlertLine® Case Management Investigators–Level 4 users. This user guide provides complete instructions for:

- Navigating IntegriLink
- Managing Your Profile
- Managing Cases

Feature availability is dependent on login rights and setup and is specific to your organization.

- Features associated with optional add-in modules are identified.

1.2 INTRODUCTION TO CASE MANAGEMENT

NAVEX Global's AlertLine® solution integrates hotline service with reporter follow-up, case management, and self-service reporting and analytics for timely and effective program management.

1.2.1 CASE WORKFLOW

- **Initiating a case** – when an employee ("reporter") reports a concern through the web- or phone-based hotline service, a Workplace Alert Report (WPA Initial Report) is generated. The reporter is given a case number and a PIN, which the reporter can use to follow up on the case.
- The WPA Initial Report is **automatically delivered** to the designated contacts at your organization via email and/or through IntegriLink.
- Contacts who have IntegriLink access can **log on to IntegriLink** to review the case detail, enter notes, and make assignments. The "Unassigned Cases" list is a convenient starting point for managing new cases.
- **Assigning a case** – when assignments are made, the "assignees" are notified by email. The assignees can then view and work with the case online—they can reply to the reporter, enter investigation notes and resolution details, and attach files.
- **Communicating with the reporter** – case managers and investigators can communicate with the reporter through the hotline via the case management service. Replies entered through the case management service are provided to the reporter when the reporter follows up through the web- or phone-based hotline service. The reporter's follow-up contact with the hotline generates a follow-up report, and the follow-up activity is logged in the case.
- **Case status** can be used to track case progress from initiation, through investigation to resolution. Fields are available for indicating the action taken in response to the case, and the final disposition of the case. A timeline of case updates is tracked in the case history.
- Throughout the investigation, the assigner and assignees are **notified of case activity** through the IntegriLink Inbox and through email. Alerts of priority A allegations, receipt of new information from a reporter, and receipt of translated case information are displayed on the homepage.

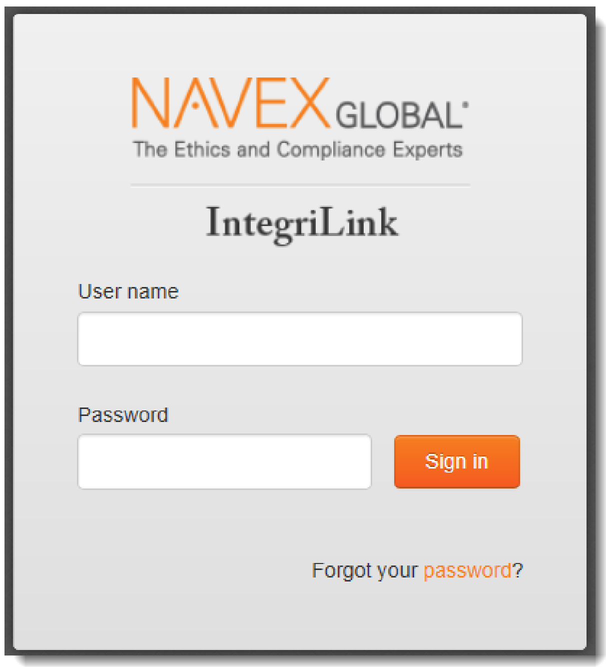
2 Getting Started

New users receive an email with a username, a temporary password, and instructions for logging on.

2.1.1 LOGGING ON

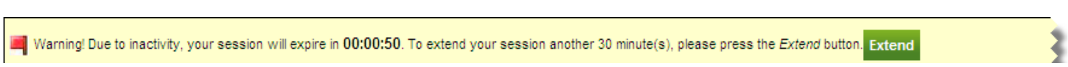
To log on to IntegriLink:

1. Go to www.myintegrilink.com.
2. Enter your username (your email address) and password.
3. New users are prompted to create a new password and set a security question the first time they log on.



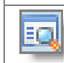
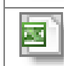
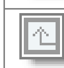
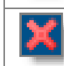
2.1.2 TIMEOUT PERIOD

For security purposes, IntegriLink sessions time out after 30 minutes of no activity. A warning prompt appears five minutes prior to the timeout. You are required to log on again after a timeout.



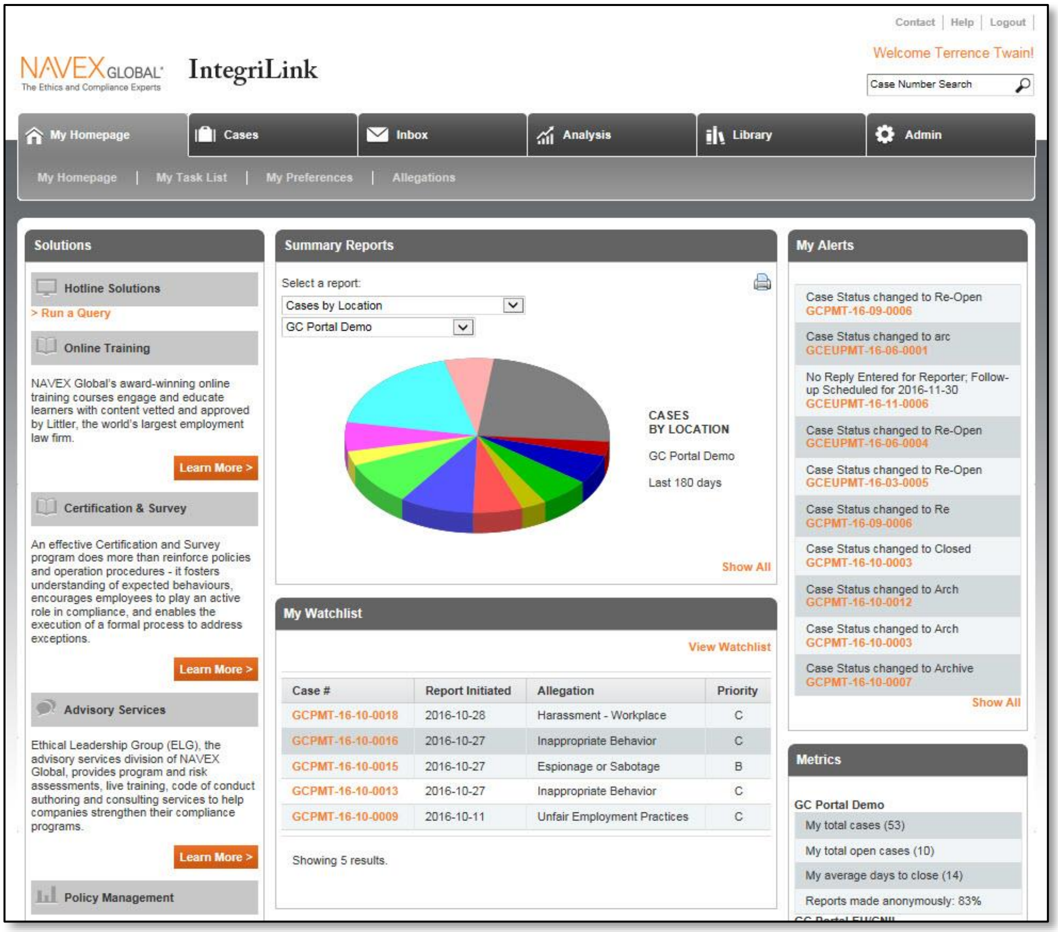
Tip. To protect the privacy of your information, completely close the browser after logging off.

2.1.3 ICONS USED IN INTEGRILINK

Icon	Function or Description
	Add
	Delete
	Edit
	Show Details
	Read More
	Print
	Download to Excel
	Attachment Available
	Follow-up Available
	Active or Complete
	Close Window
	Field Help
	Add case to watchlist

3 My Homepage

The homepage is your starting point for integrated insight into program activity and action items.



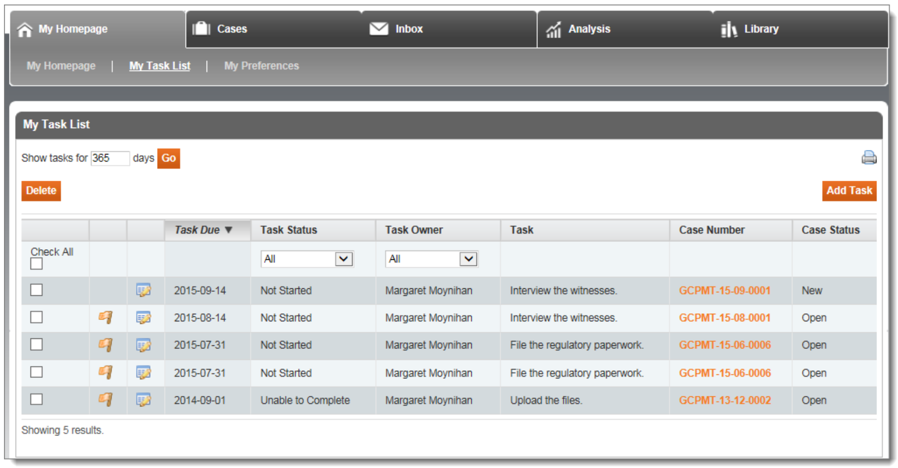
About the Homepage…

- **Solutions** – quick links to frequently used tasks and lists for each solution that your organization has subscribed to, and information about solutions that could enhance your ethics and compliance program
- **My Alerts** – prominent notification of actionable items
- **My Cases** – newest cases
- **My Watchlist** – latest cases on your watchlist
- **Metrics** – automatically calculated program metrics
- **Message from NAVEX Global** – stay up to date on upcoming enhancements, tips for using IntegriLink, etc.

Tip. Set your homepage preferences in My Preferences.

4 My Task List*

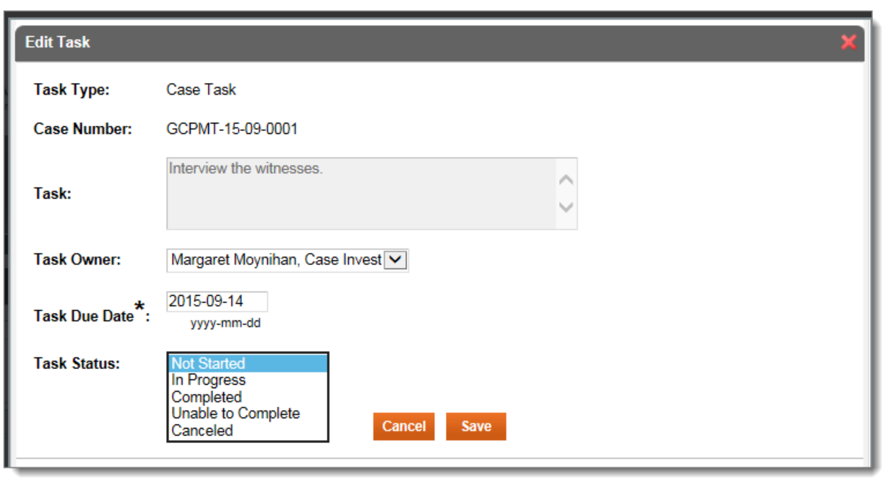
View, sort, and update the case tasks that you own, and those you have created for other users.



My Task List - available to users who have "Manage Case Tasks" permission

To update a task:

1. Click the edit icon  , or click the case number to go to the case.

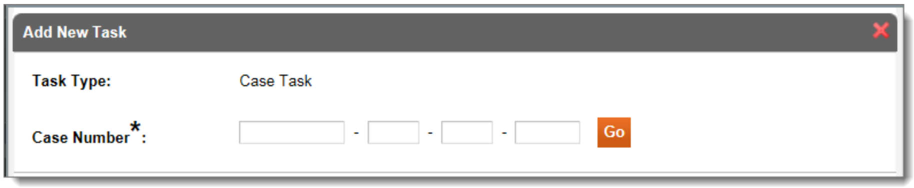


2. You can update the task owner, task due date, and task status.

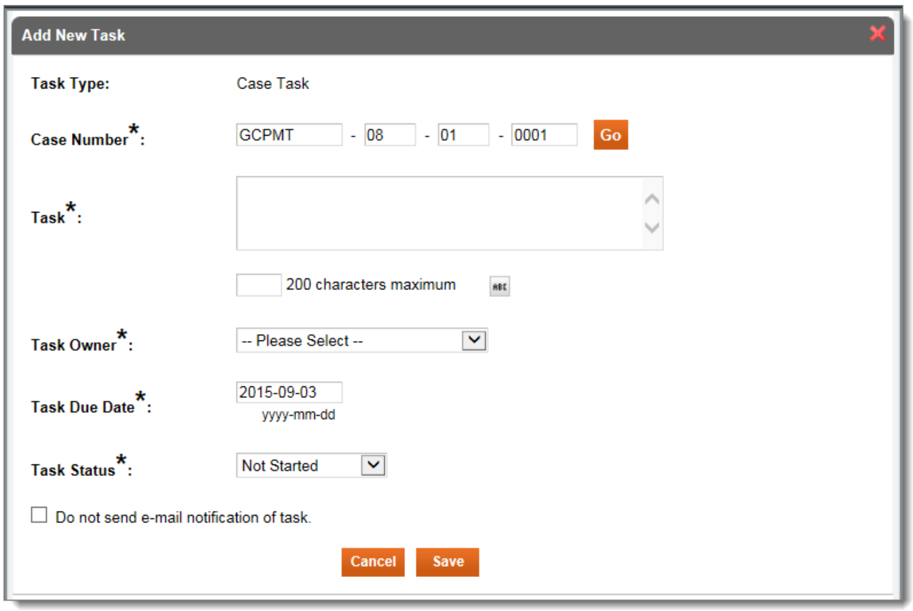
* Requires Task Management Add-in.

To add a task:

1. Click **Add Task**.



2. Enter the case number that the task applies to and click **Go**.

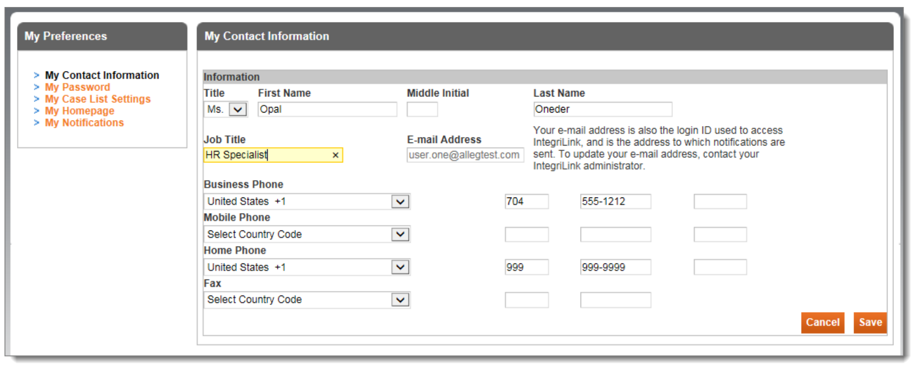


3. Enter the task, assign a task owner, and set the task due date and the current task status.
    - If you do not want an email to be sent to the task owner, select "Do not send email notification of this task."
4. Click **Save**.

5 My Preferences

5.1 MY CONTACT INFORMATION

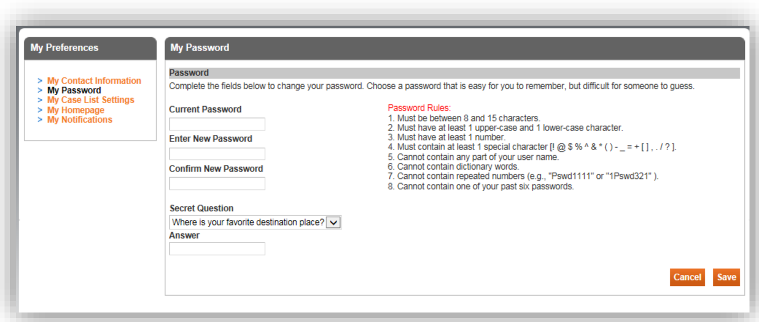
1. Select **My Preferences** on the **My Homepage** tab.
2. Click the **My Contact Information** link in the left menu.



3. Update your information, then click **Save**.

5.2 MY PASSWORD

1. Select **My Preferences** on the **My Homepage** tab.
2. Click the **My Password** link in the left menu.



3. Enter your current password, enter your new password, confirm (retype) your new password, confirm your security question, then click **Save**.

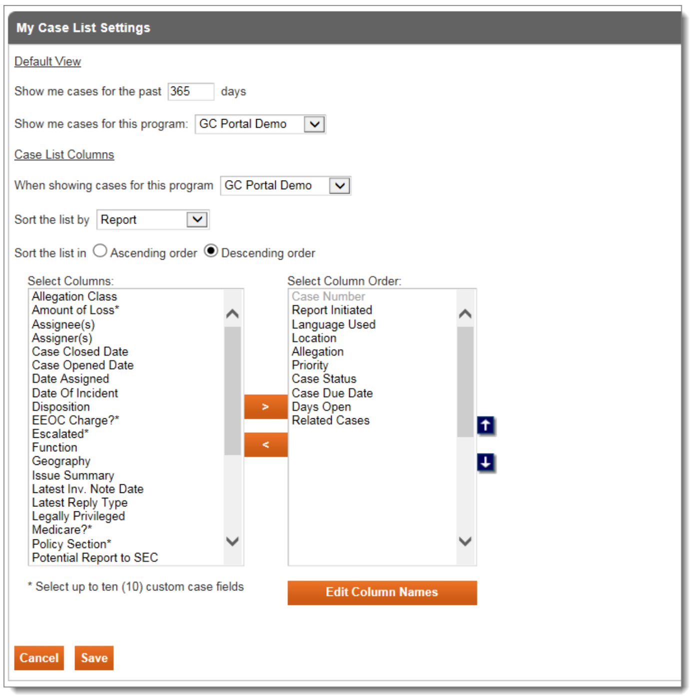
Exception to Password Changes Using My Password Page
If your organization is using the **Gateway**, passwords are managed through it, and you will not be able to change your password using the method above.

5.3 MY CASE LIST SETTINGS

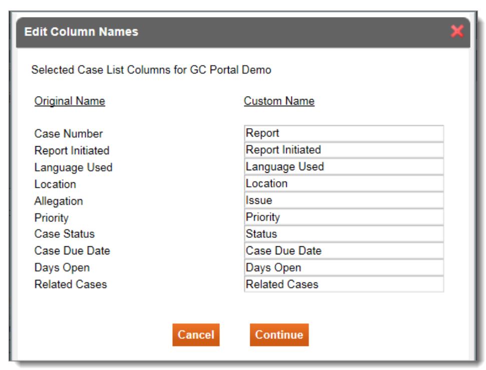
Settings are applied to the Case List, Unassigned Cases, and Archived Cases lists available on the Cases tab.

To change your case list settings:

1. Select **My Preferences** on the **My Homepage** tab.
2. Click the **My Case List Settings** link in the left menu.
3. **Default View** – indicate how many days' worth of reports to display, and choose a default program, if you have access to multiple programs.

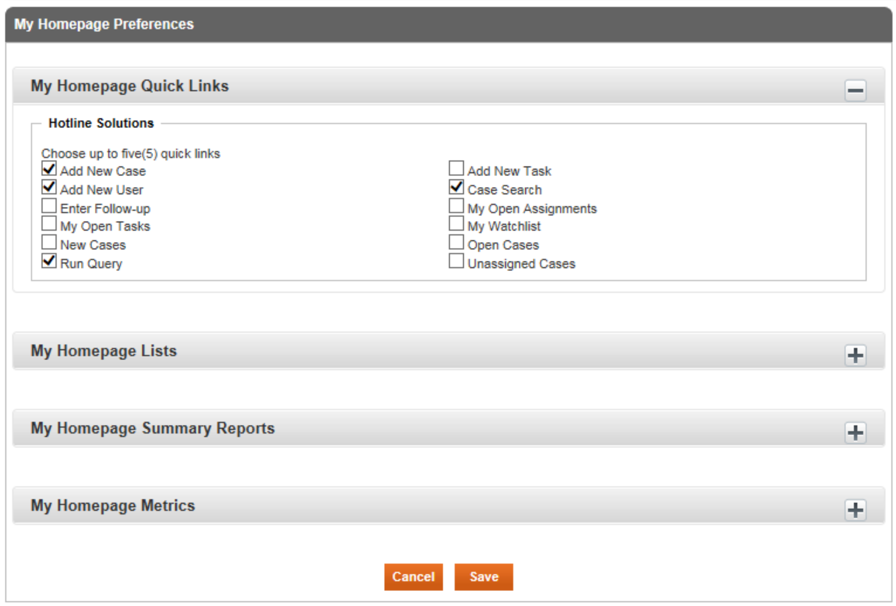


4. **Case List Columns** – choose sorting preferences, columns, column order, and column names. You can set different preferences for each program that you have access to. (Field availability dependent on your program setup.)
5. To rename columns, click the **Edit Column Names** button, make your changes, then click **Save**.
6. To apply your preferences to the Case List, click the **Save** button at the bottom of the settings page.



5.4 MY HOMEPAGE

1. Select **My Preferences** on the **My Homepage** tab.
2. Click the **My Homepage** link in the left menu.



3. You can choose which quick links appear on the homepage, the number of records to display in homepage lists, and choose which metrics display on the homepage.

5.5 MY NOTIFICATIONS*

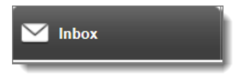
Based on settings selected by your IntegriLink administrator, you may have the ability to set your own notification preferences.

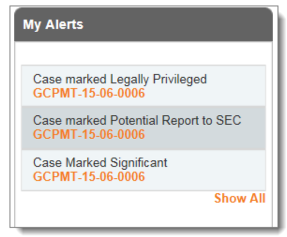
5.5.1 ABOUT NOTICES, ALERTS AND EMAIL

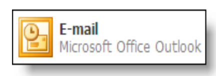
- Case activity notices and alerts are delivered to the IntegriLink Inbox

  Notices are delivered just to the people who are assigned to a case, and to the person who assigned them

  Alerts are delivered to all users who have access to a case
- Alerts are notices displayed on the IntegriLink homepage
- Notices and alerts can also be delivered by email
- Case assignments and task assignments are delivered by email







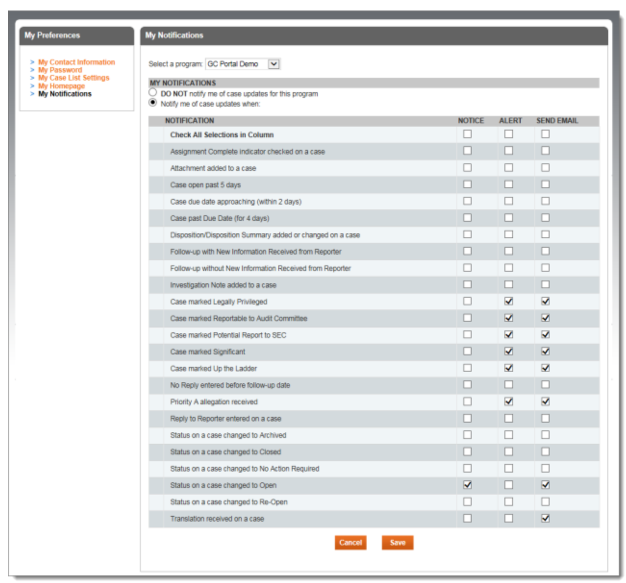
To set your notification preferences:

1. Select **My Preferences** on the **My Homepage** tab.
2. Click the **My Notifications** link in the left menu.
3. Select a program. The settings selected by your IntegriLink administrator are displayed.
4. Select the activities that you want to be notified of, and indicate how you want to be notified:

   Notice – select "Notice" to have the notice displayed in the IntegriLink Inbox.

   Alert – select "Alert" to have the alert displayed on the IntegriLink homepage as well as in the IntegriLink Inbox.

   Email – select "Also Send Email" to have the notice sent via email as well as to the IntegriLink Inbox.
5. Click **Save**.

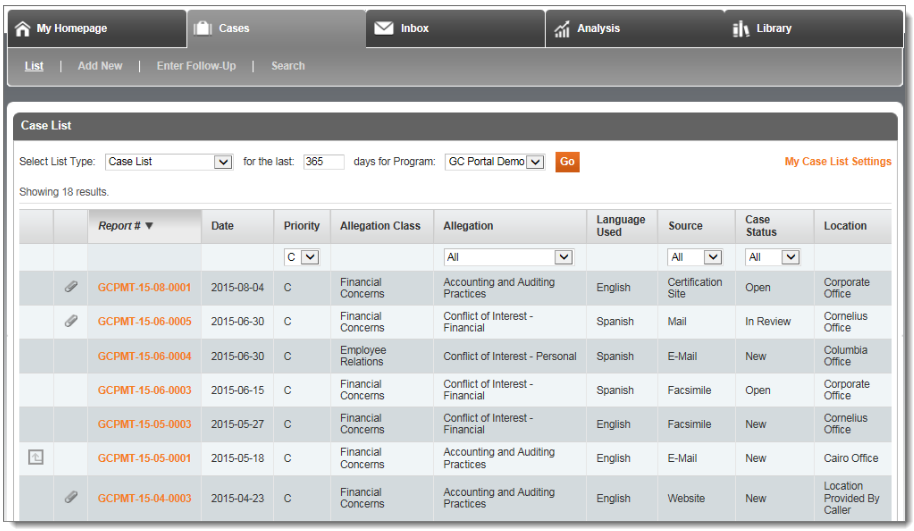


* Requires the Configure Notifications Add-in.

6 Case Lists and Case Search

6.1 CASE LISTS

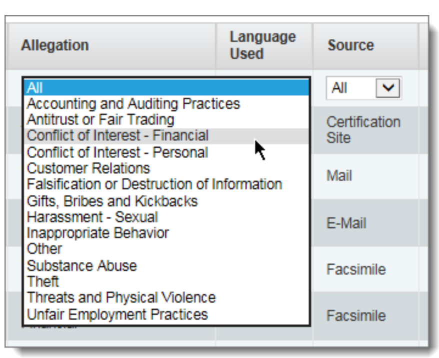
The IntegriLink case list displays up to 365 days of cases received through all sources—your phone- and web-based hotlines—and those entered directly through the case management service.



Case list icons: paperclip = attachment; up arrow = follow-up

Available lists include:

- **Case List** – active cases (cases that are in any case status other than Archived)
- **My Open Assignments** – your incomplete assignments
- **My Saved Drafts** – drafts that you have created in the case management system
- **My Submitted Cases** – cases that you have submitted through the case management service
- My Watchlist – cases you have added to your watchlist



Filter and sort case list columns

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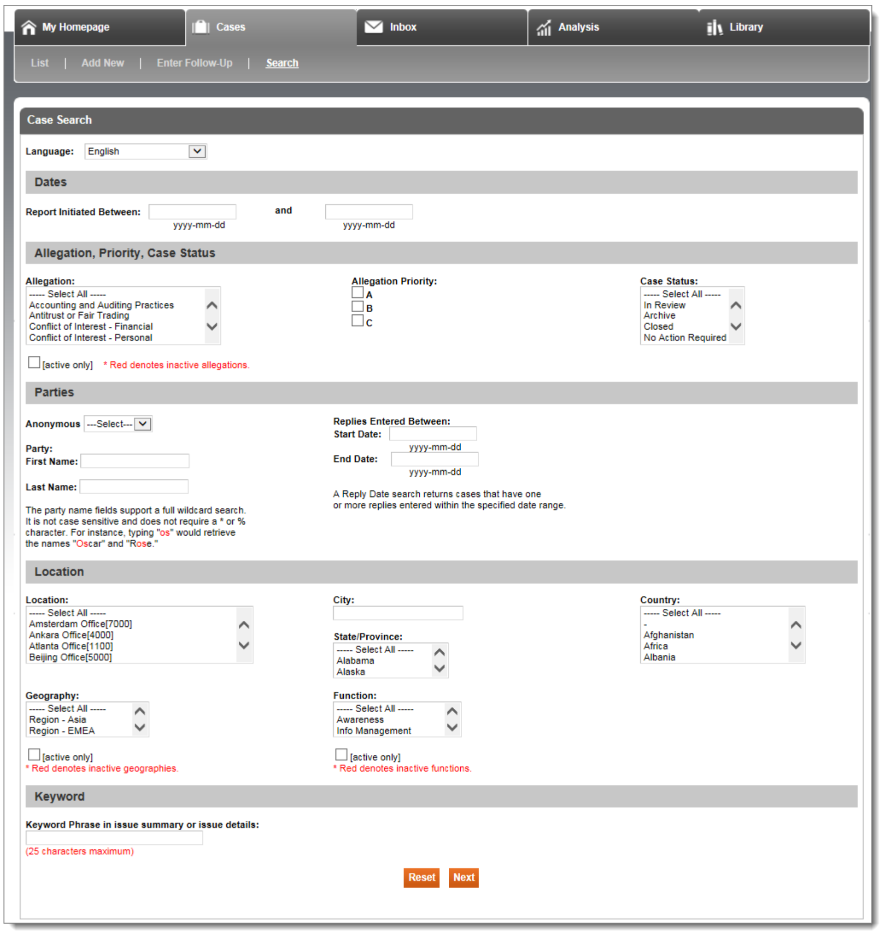
6.2 CASE SEARCH

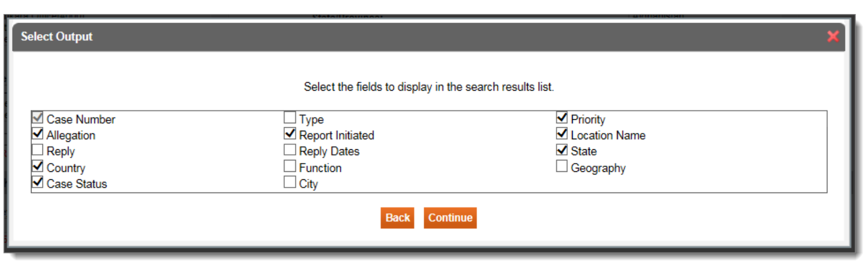
Use the case search to look up multiple cases. You can specify multiple criteria, choose output fields, and download the results to a spreadsheet. You can also go to any case record by clicking the case number.

To perform a case search:

1. Select **Search** on the **Cases** tab.

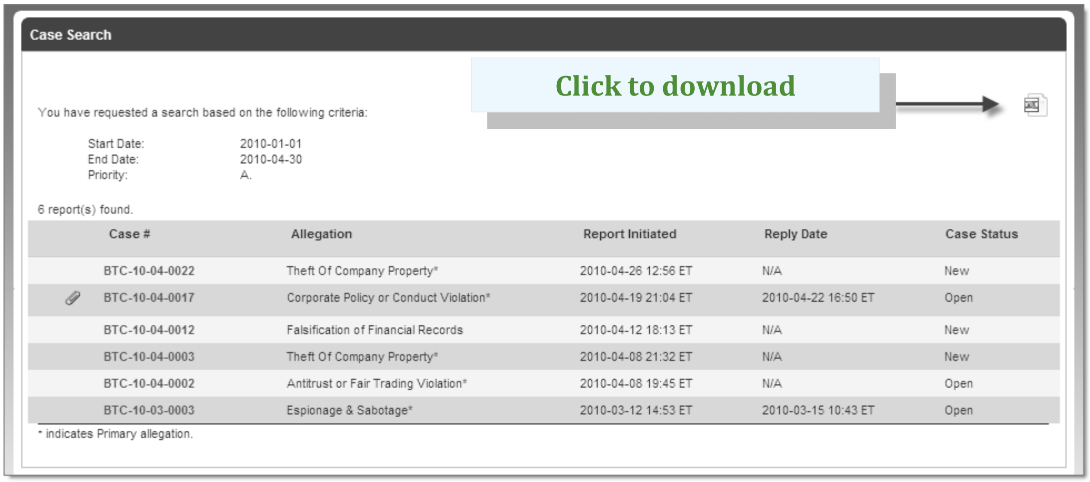


2. Specify your search criteria, then click **Next**.



3. Choose the fields to include in the search results, then click **Continue**.

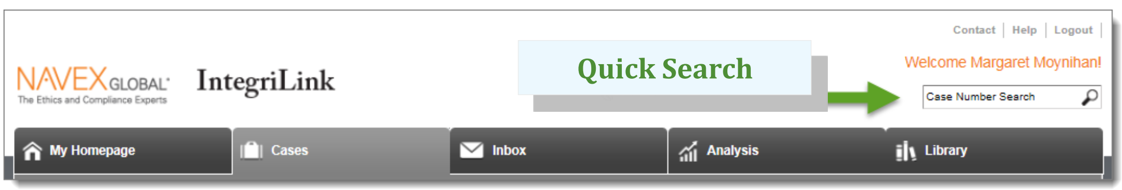
4. The search criteria and results are displayed.



Search results

6.3 CASE NUMBER SEARCH

To search for a single case by case number: Enter the case number, including the dashes (example: CASE-00-00-0000), and press **Enter**.



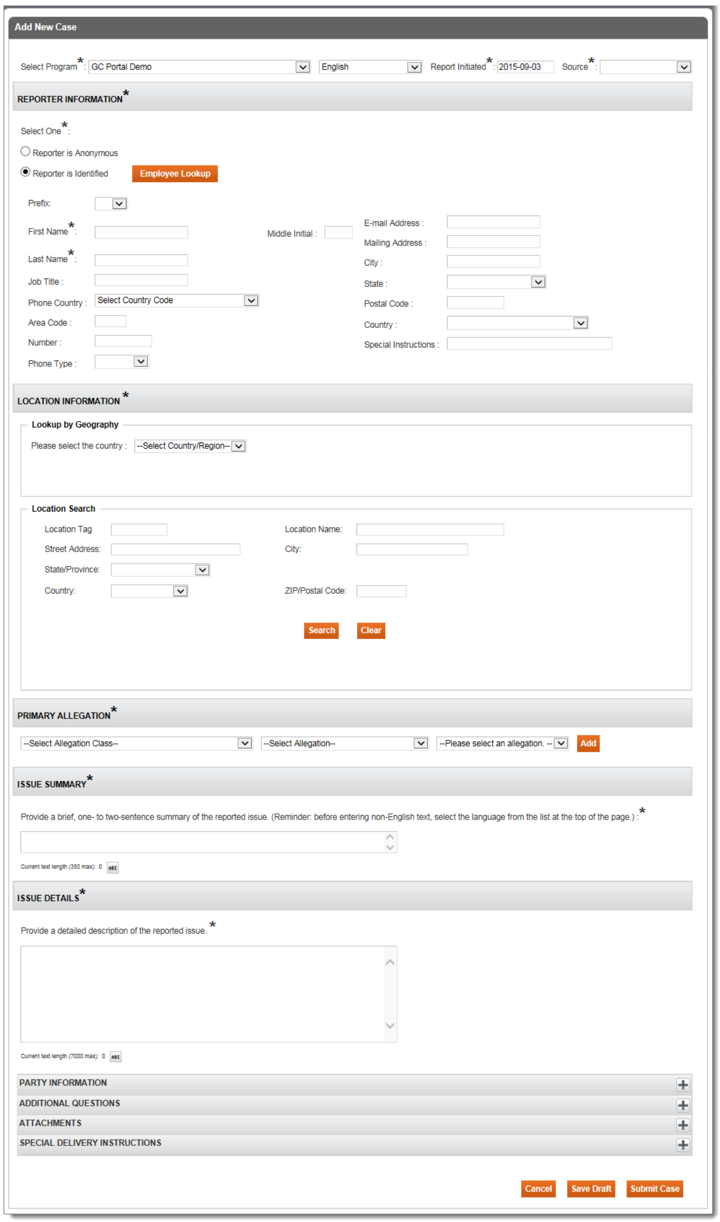
Case number search

7 Add New Case

Authorized users can enter cases directly through the case management service.

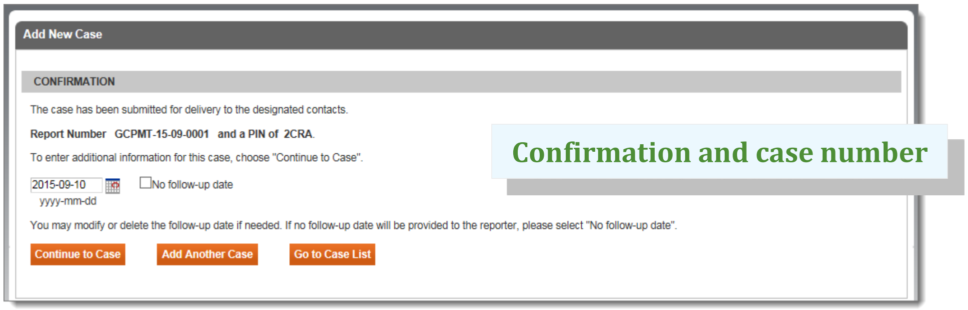
To add a new case:

1. From the **Cases** tab, click **Add New**.
2. Enter the case information. Required fields are identified with an asterisk (*).



3. Click **Submit Case** to submit the case for automatic delivery to the designated contacts.

Add New Case continued…



- If you are set up to be assigned automatically to the cases that you submit, a message will indicate that you have been assigned to the case.
- A follow-up date may be scheduled, based on your program guidelines. Typically, follow-up dates are generated for anonymous reporters.

4. To begin entering investigation details or to assign the case, click **Continue to Case**.

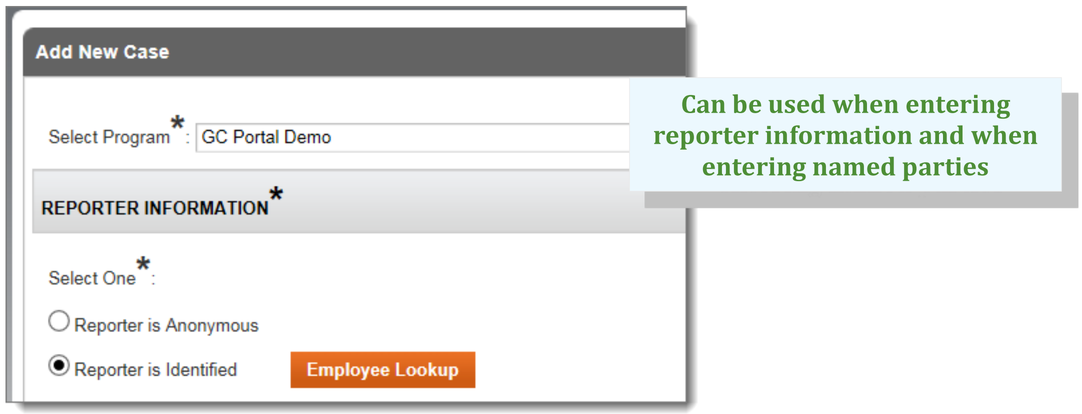
   This feature allows you to work with the case immediately rather than waiting for the case to be delivered to your case list. Once you leave the case, you cannot return to the case unless and until it is delivered to your case list.

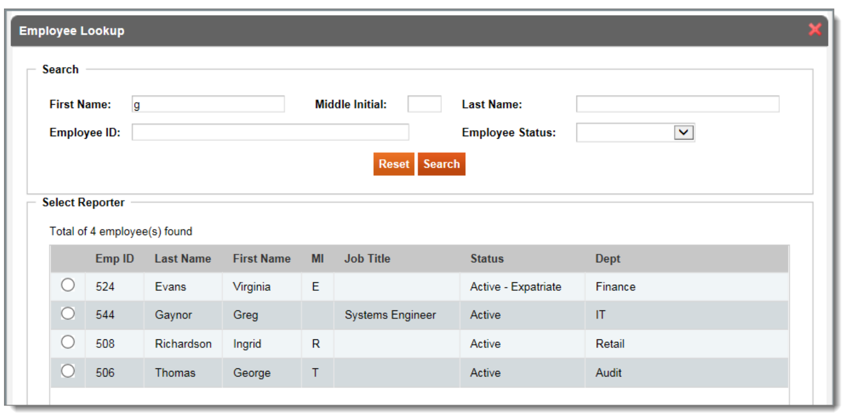
7.1 ADD NEW CASE – FIELDS EXPLAINED

Field (* required fields)	Description
*Program	Lists your ethics and compliance program(s).
*Language	Indicate the language in which you are entering the case information. (Do not select the reporter's language unless you are entering the case information in that language.)
*Report Initiated	The Report Initiated date defaults to today's date. Users with "Change Initiated Date" permission can enter a different date. Note that the Report Initiated date cannot be changed after the report has been submitted (or saved as a draft).
*Source	Indicate the method by which the case information was received (e.g., email, office visit).
*Reporter Information	Choose "Reporter is anonymous" or "Reporter is identified." If the reporter is identified, name and contact information fields are displayed, and the reporter's first and last name are required.
*Location Information	Select the location where the issue occurred, or select the reporter's location. If the location is not listed, select the "Location not listed" checkbox and type in the location information.
*Primary Allegation	Select the allegation that best describes the primary issue. Adjust the allegation priority if needed.
*Issue Summary	Provide a brief, one- to two-sentence summary of the reported issue (up to 350 characters).
*Issue Details	Provide a detailed description of the reported issue (up to 7000 characters). Note that the Issues Details narrative is displayed to the reporter on your web-based hotline site if the reporter follows up online.
Party Information	If information about involved parties is available, indicate the party type (e.g., Subject, Witness, Other Involved Party), and the party's name and contact information. If you choose to enter party information, the party type and party first and last name are required.
Additional Questions	If additional interview questions have been set up for your program, they will be displayed here. Note that allegation-based questions set up for your web-based hotline are not displayed here.
Attachments	Authorized users may attach files to the case. Attachments are visible to all case management users who have access to the case. However, attachments are not emailed with the WPA Initial Report.
Special Delivery Instructions	Authorized users may select a special delivery option: **Deliver Online Only.** Do not send an email copy. **Reserve for "Special Handling."** The NAVEX Global Client Care Team will deliver the case according to your program's special handling instructions.
Follow-up Information	A follow-up date may be generated based on your program's follow-up guidelines. If a follow-up date is scheduled, it is displayed on the confirmation page.

7.2 EMPLOYEE LOOKUP IN ADD NEW CASE

Using the Employee Lookup** when entering new cases is a convenient way to enter party information and to link to additional details that can be helpful when conducting an investigation.





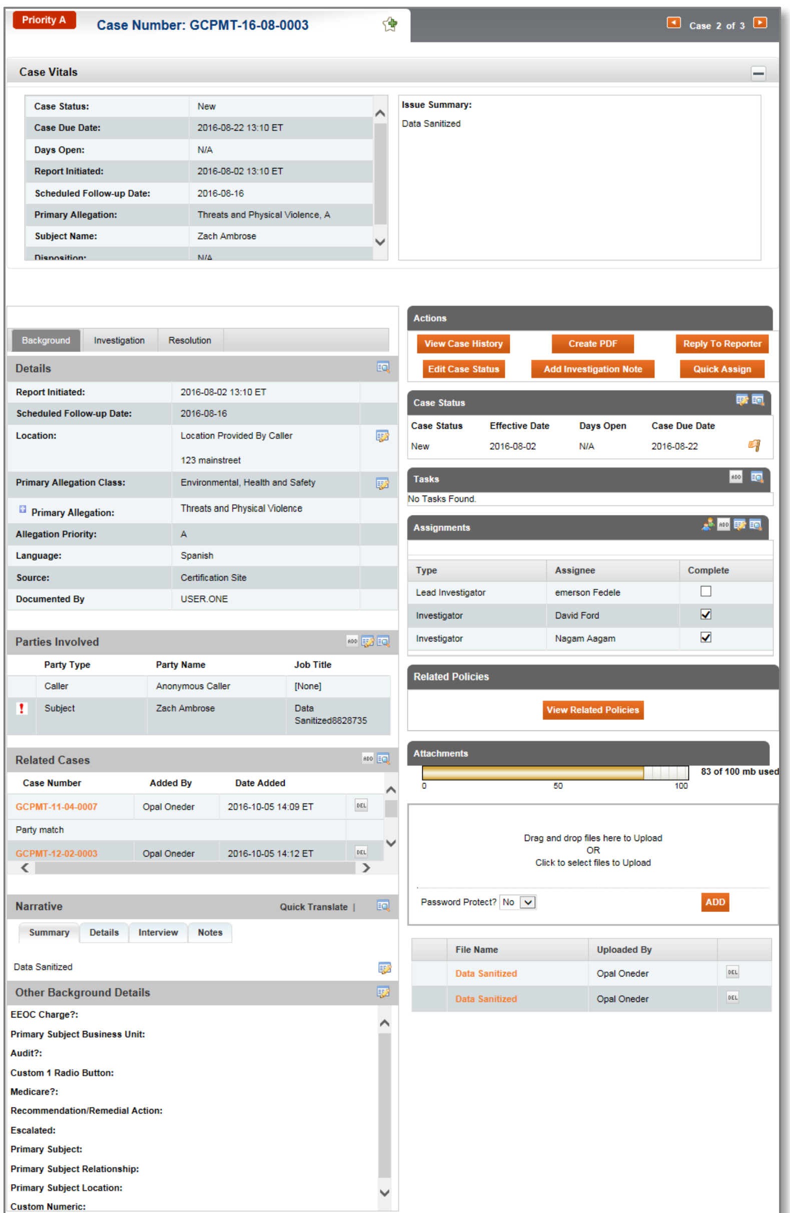
** Available to authorized users who have "Perform Employee Lookup" permission.

8 Working a Case

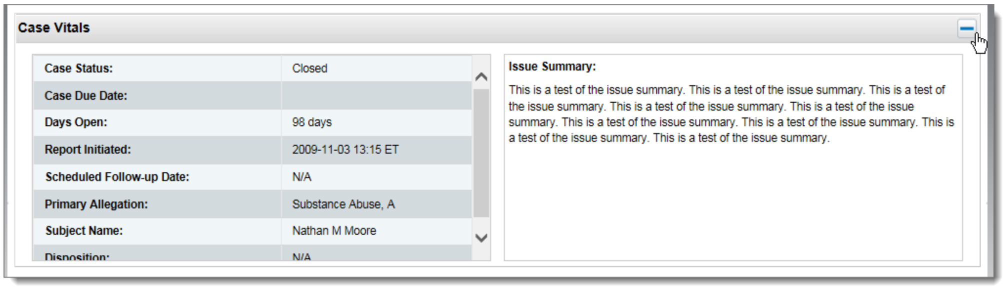
This chapter will cover these aspects of working a case: reviewing the case background, setting the case status, communicating with the reporter, attaching files, documenting investigation and resolution details, creating case PDFs, viewing the case history, and translating case information.

The top of the case view displays the case vitals. The left side contains the investigation information; monitor case progress on the right.

NOTE: To add a case to your watchlist, click the star icon with the plus sign. Watchlist cases are listed on your homepage.



8.1 CASE VITALS



Collapsible Case Vitals section

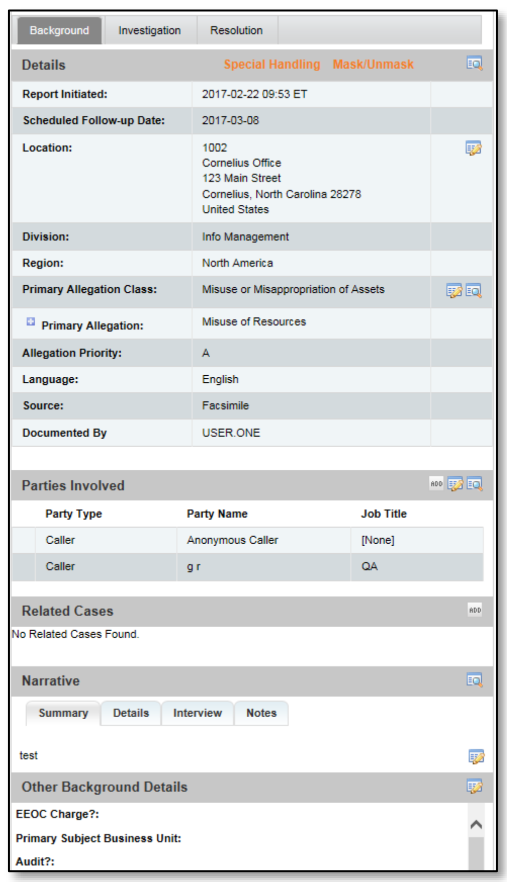
8.2 BACKGROUND

The Background section includes the information provided by the reporter in the WPA Initial Report.

8.2.1 BACKGROUND DETAILS

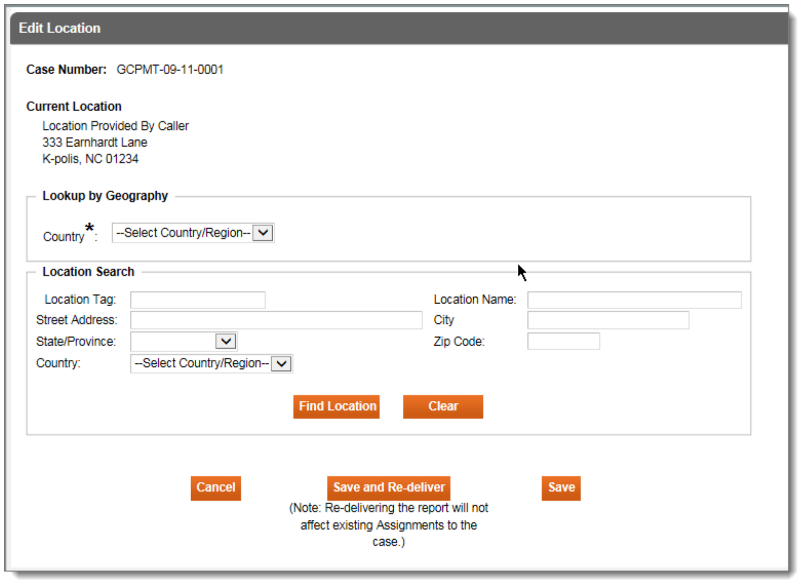
 **Show Details** – includes details displayed on the case view, plus secondary allegations

 **Edit** – available to authorized users



Edit Location – To change the location:

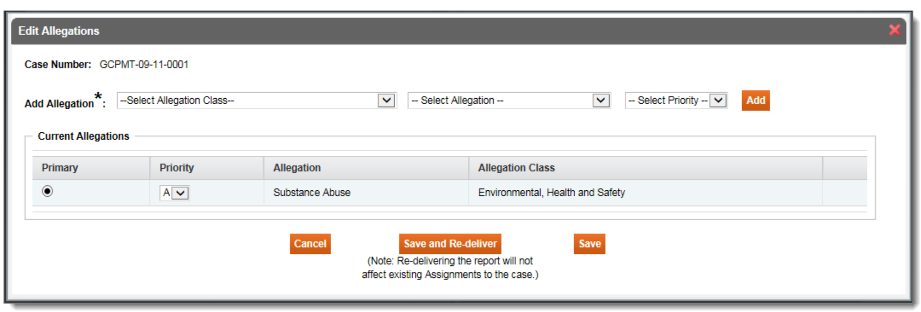
1. Click the **Edit** button in the location section.



2. Select a different location and click **Save**.

Edit Allegations – To change or add an allegation or the allegation priority:

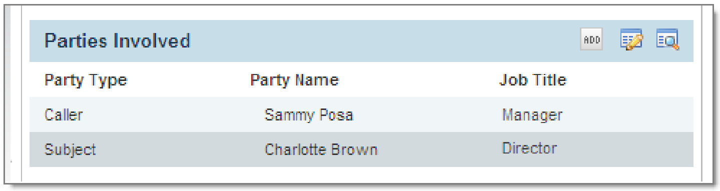
1. Click the **Edit** button in the allegation section.



2. Make the needed changes, then click **Save**.

NOTE: To view the **Allegation History**, click the **View Details** button next to the Edit button.

8.2.2 PARTIES INVOLVED



Add Party – available to authorized users

Edit Parties – available to authorized users, and includes ability to change an Anonymous party to an identified party

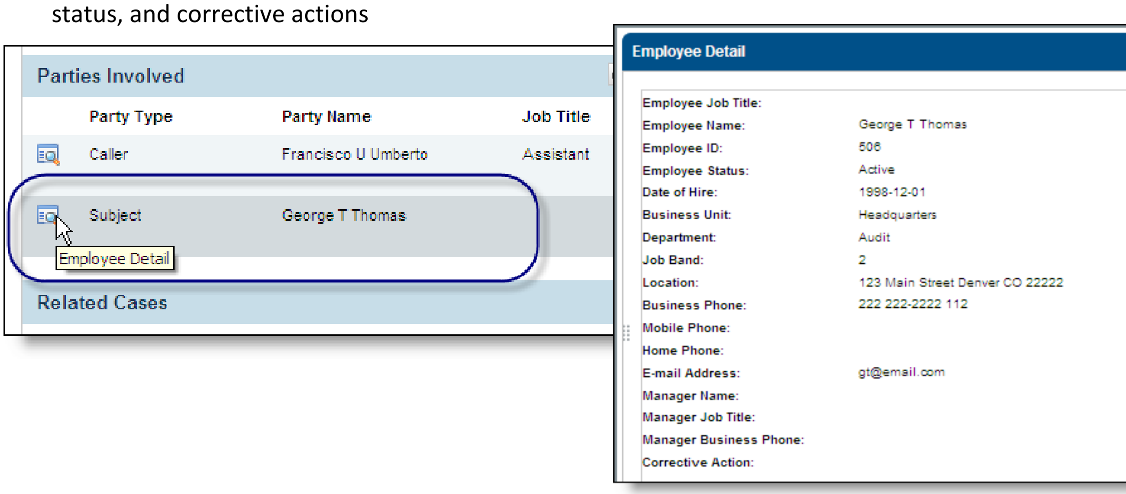
Show Details – includes details displayed on the case view, plus: any phone numbers or email address provided

Party's Other Cases – displays a list of cases in which the party has been named (includes cases in which the party was named as the reporter); only displays cases to which the logged in user has access

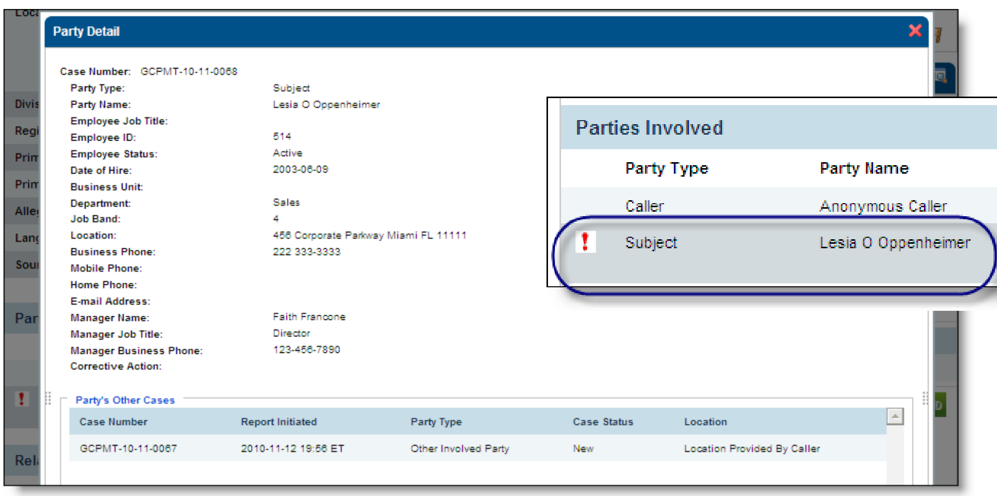
If individuals identified are not actually the same person, select Party Unmatched to indicate that. The match remains visible, but is flagged as unmatched.

Parties Involved cont'd…

Employee Detail* – when shown next to a party name in the Parties Involved section – displays additional employee data imported from your HR system such as employee ID, job status, and corrective actions



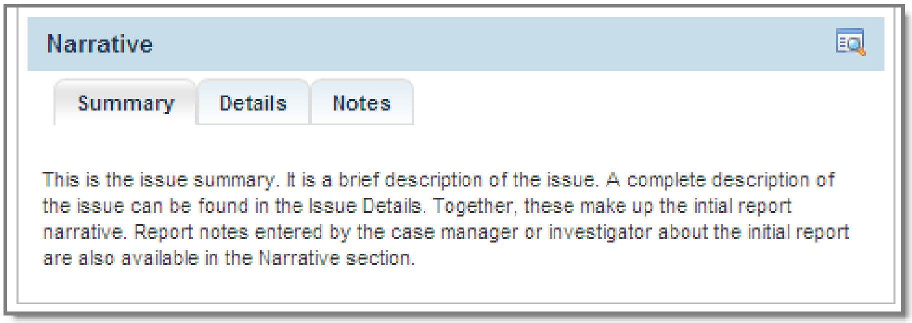
! – indicates that a party named in another case has HR employee data associated with it. Click the icon to view the employee's HR data and other cases



Named Party's Other Cases and Employee Data

* Requires HR Integration/Employee Lookup. Available to authorized users who have "View Employee Detail" permission.

8.2.3 NARRATIVE



Show Details – shows the complete narrative, including the issue summary, issue details, and responses to any additional interview questions set up for your program

- Summary – displays the issue summary
- Details – displays the issue details
- Additional Questions (not shown) – available if additional interview questions are set up for your program

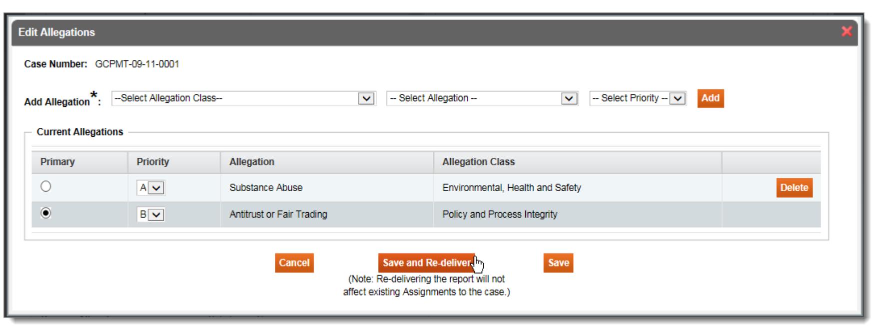
  Edit Questions – available to authorized users if additional interview questions are set up for your program
- Notes – displays case notes entered by the case manager or investigator

  Add Note – available to authorized users; delete available to authorized users

8.2.4 UPDATING AND REDELIVERING A CASE

When you make changes to <u>locations</u>, <u>allegations</u>, or <u>additional questions</u>, you can choose to re-deliver the case if the changes will result in a different set of reviewers being responsible for the case.

- Case assignees retain access to the case.
- The case is not available during delivery.



8.2.5 TRANSLATING THE INITIAL REPORT

Authorized users can submit text for translation by a third-party translation provider. When the translation becomes available in IntegriLink, an automatic email notification is sent to the user who requested the translation, and an alert is displayed on the homepage. All users with access to the case can then toggle between the original text and the translated text.

Cost of translation is based on word count and vendor pricing and may vary. **The calculated cost is automatically billed to the associated program.** There is a minimum translation fee for each translation.

Authorized users can submit non-English reports for translation into English. **To request a translation:**

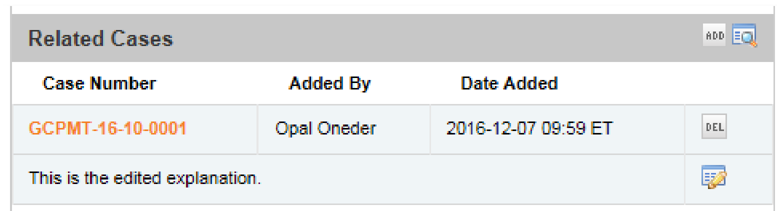
1. In the Narrative section, click **Translate**. A confirmation prompt is displayed.

***Example only – actual translation costs vary**

2. Click **Request Translation** to submit the translation order.
3. When the translation is received, users can toggle between the original text and the translated text.

8.2.6 RELATED CASES*

Authorized users can document relationships between cases. This information may be useful in investigating the current case and in identifying recurring issues. The Related Cases feature also makes navigation between related cases easier.



NOTE: To edit the Explanation, click the edit icon in the Related Cases explanation part of the screen (above) to open the Edit Explanation screen.

Permission to add and to view relationship information depends on access to <u>both</u> cases.

To indicate a relationship between two cases:

1. In the Related Cases section, click **Add**.

Related Cases

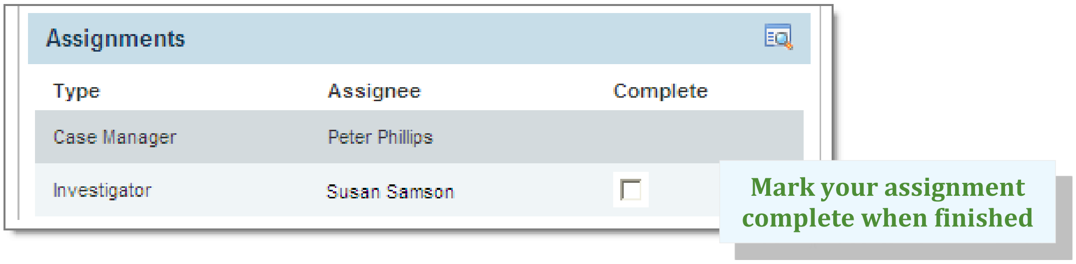
2. In the **Related Case** field, type the report number of the related case.
3. In the **Explanation** field, briefly explain the relationship between the cases. The explanation will be visible to anyone who has access to both cases. This field is required.
4. If the two cases are about the same event, select **Same Event**.
5. Click **Save Relationship**. The saved relationship is documented in both cases.
6. To navigate to the related case, click the case number. The Report Details page of the related case is displayed.

To display related cases on the Case List, go to My Homepage > My Preferences > My Case List Settings.

* Requires Related Cases Add-in

8.3 ASSIGNMENTS

An assignment gives you access to the case and indicates your role in the case. Assignees are automatically kept informed of case updates with automatic notifications.



8.3.1 ASSIGNMENT TYPES

- Case Manager – Typically has overall responsibility for a case.
- Investigator – Typically responsible for gathering information and completing action items.
- View Only – The View Only assignment type allows the individual to view the case, but does not allow the individual to add or edit case information.

To view assignment notes: In the Assignments section, click the **Show Details** button.

To mark your assignment complete: Select the checkbox next to your name. The assigner and other assignees are notified by email that you have completed your assignment.

8.4 COMMUNICATING WITH THE REPORTER

NAVEX Global facilitates confidential communication with reporters and tracks the communication timeline and details in the case. Communication with a reporter through the hotline consists of two communication types:

- **Reply to Reporter** – your organization's response(s) to the reporter. These can be submitted through the case management service, and are provided to the reporter through the web- or phone-based hotline when the reporter follows up.

Tip: A prompt initial response promotes confidence in the process. Check the **Scheduled Follow-up Date** in the case background.

- **Reporter Follow-up** – the reporter's contact with the web- or phone-based hotline to follow up on a reported concern generates a WPA Follow-up Report.
    - The reporter is required to provide the original case number and PIN when following up.
    - Some reporters may have been given a scheduled follow-up date when first reporting a concern, depending on your program setup. Follow-up dates are most commonly scheduled for anonymous reporters.
    - When the reporter follows up online, the reporter can view the date of the initial report, and the Issue Details (the narrative description of the concern). The reporter can view replies from your organization, and also any information the reporter provided during previous follow-ups. The reporter cannot view the Issue Summary, allegation, case status, assignees, actions taken, or any other case information.
    - When the reporter follows up by phone, the reporter is provided any new replies from your organization and can provide additional information.

Reply to Reporter

ADD **Add Reply** – available to authorized users

Edit Reply – available to authorized users

Show Details – shows communication details, including the date and time of each communication

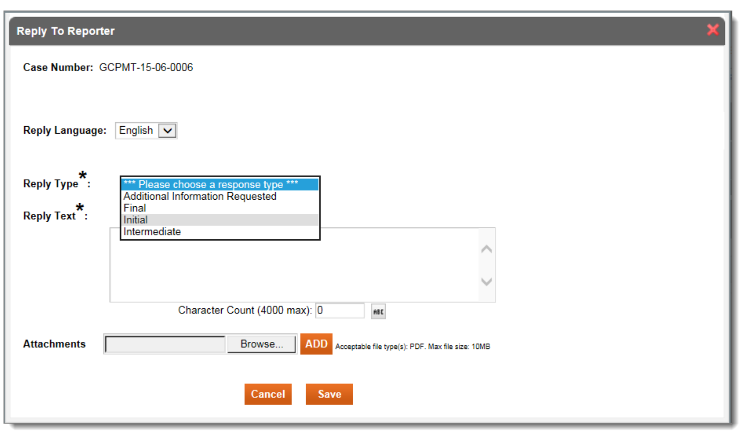
8.4.2 REPLY TO REPORTER – ADD A REPLY

Authorized users can add replies.

To add a reply:

1. Click the **Reply to Reporter** action button.
2. Select a **Reply Type** to indicate the stage of communication with the reporter (e.g., "Initial" "Intermediate," "Final," or "Additional Information Requested").
3. **Type the reply exactly as it should be presented to the reporter.**

   If standard response text* has been set up for your program, it will be displayed.

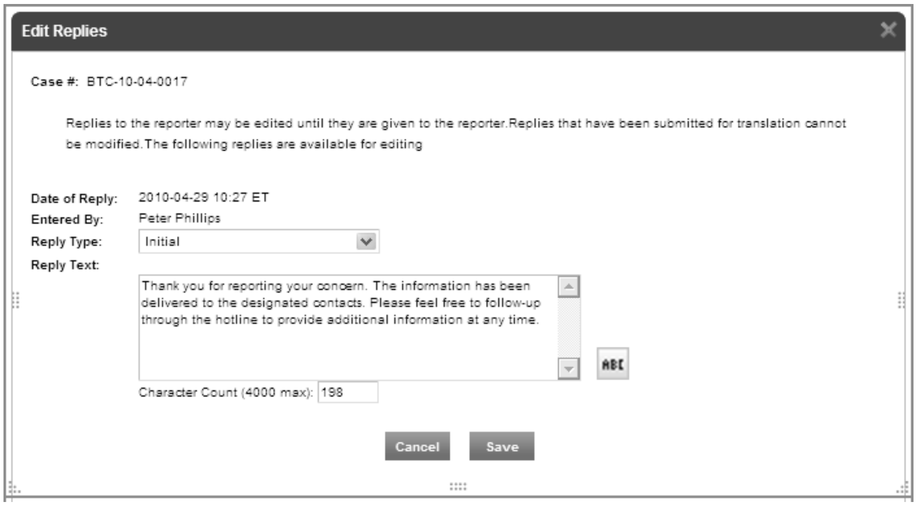


4. Click **Save**. The response is immediately available for the reporter to retrieve from the web- or phone-based hotline.

* Requires Case Settings add-in.

To edit an unread reply:

1. Click the **Edit** button.



2. Make the needed changes then click **Save**.

Replying in a language other than English

If the reporter provided information in a language other than English, you can:

- Enter a reply in the reporter's language
- Enter a reply in English and have it translated into the reporter's language (requires "Translate Replies to Reporter" permission)

Email Notification to Reporter[*]

Based on your program setup, the reporter may be notified by email when a reply is available for them. The email notification indicates the case number (but not the PIN) and explains how to follow up.

Attaching a File for the Reporter

Based on your program setup, users who have both the "Add Replies to Reporter" and "Attach Files" permissions will be able to attach PDF files (up to 10MB per file) to replies to reporter. The attached file will be available in the Attachments section of the case and will be available to the reporter on the web intake site.

If the reporter follows up by phone, the Communication Specialist will read the following statement to the caller, along with any response made available: "A file has been made available. Please follow up on www.alertline.com with your report number and PIN in order to retrieve the file."

[*] Optional functionality enabled upon request.

8.4.3 VIEW REPORTER FOLLOW-UP

Follow-up information is displayed in the Communication with Reporter section.

Translating a follow-up report

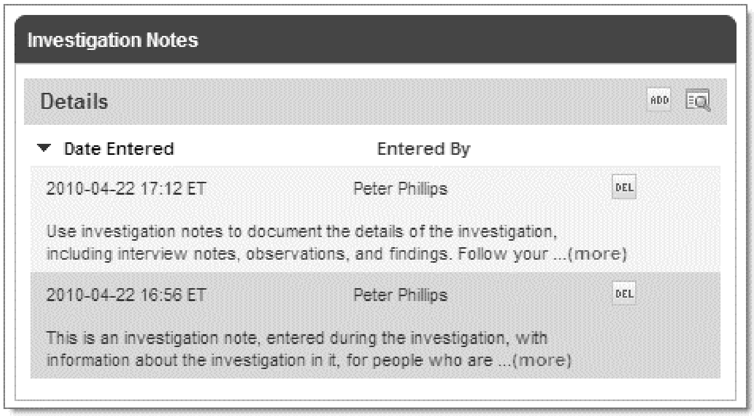
Authorized users can submit non-English reports for translation into English. The Translate function is available for non-English follow-up reports submitted via web intake site, even if the original report was submitted by phone. **To request a translation:**

1. In the Communication with Reporter section, click **Translate**. A confirmation prompt is displayed.

***Example only – actual translation costs vary**

2. Click **Request Translation** to submit the translation order.
3. When the translation is received, users can toggle between the original text and the translated text.

8.5 INVESTIGATION NOTES



Add Investigation Note – available to authorized users

Delete Investigation Note – available to authorized users

Edit Investigation Note – available to users with "Modify Investigation Notes" permission

Show Details – shows all investigation notes, the date they were entered, and who entered them

To add an investigation note:

1. In the Investigation Notes section, click **Add**.

2. Enter the investigation note (up to 8000 characters), then click **Save**.

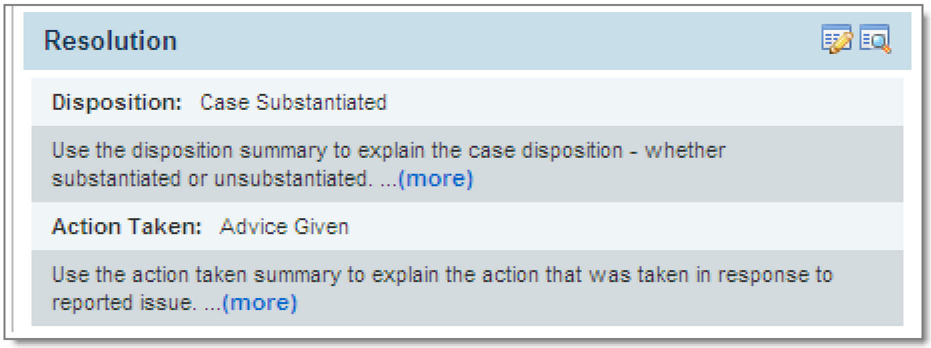
Other Investigation Details*

If custom investigation fields have been created for your program, the "Other Investigation Details" section is displayed.

* Requires Custom Case Fields add-in.

8.6 RESOLUTION DETAILS

Authorized users can view and edit case resolution information, including action taken and case disposition.



Add/Edit Action Taken and Action Taken Summary – available to authorized users

Add/Edit Case Disposition and Disposition Summary – available to authorized users

Show Details – shows full resolution details, including date entered, and who entered them

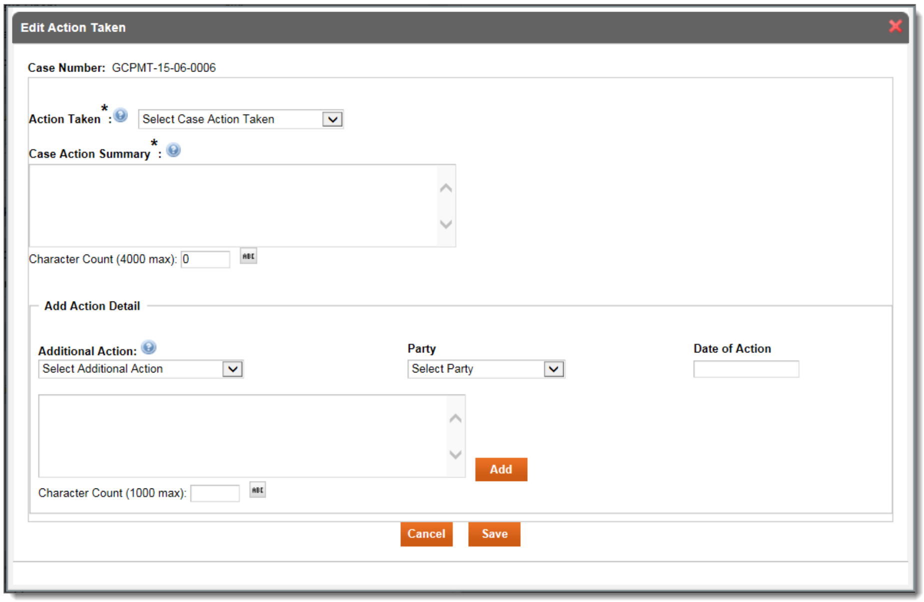
8.6.1 ADDITIONAL ACTION DETAIL*

For detail-level tracking of actions taken in response to a case, associate individual actions with a party and/or a date. Users with "View Resolution Details" permission can delete action detail records. Users with "Delete Additional Action" permission can delete action detail records.

* Additional Action Detail and Additional Disposition Detail require the Case Settings add-in.

To add action details:

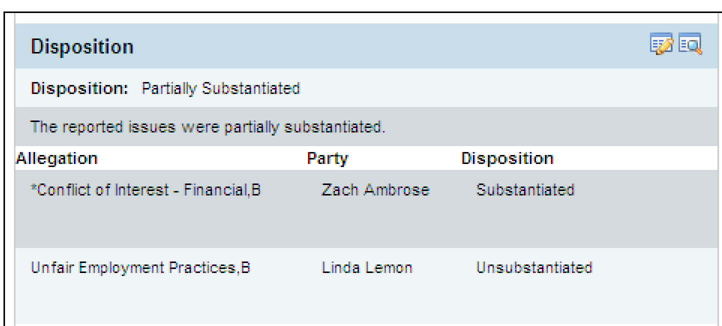
1. In the Action Taken section, click the **Edit** button.



2. Select the action taken, select a party (optional), select a date (optional), and enter a note (optional).
3. Click **Add**.
4. Click **Save**.

8.6.2 ADDITIONAL DISPOSITION DETAIL*

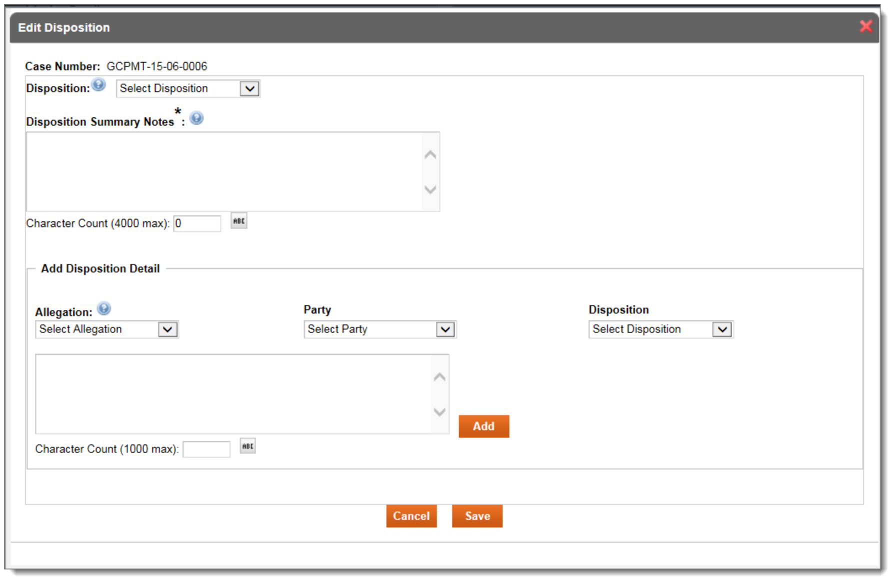
For detail-level tracking of issue disposition, associate a disposition with each allegation and party in a case. Users with "View Resolution Details" permission can delete disposition detail records. Users with "Delete Additional Disposition" permission can delete action disposition records.



* Additional Action Detail and Additional Disposition Detail require the Case Settings add-in.

To add disposition details:

1. In the Disposition section, click the **Edit** button.



2. Select an allegation, select a party, select a disposition, and enter a note (optional).
3. Click **Add**.
4. Click **Save**.

Other Resolution Details**

If custom investigation fields have been created for your program, the "Other Investigation Details" section is displayed.

** Requires Custom Case Fields add-in.

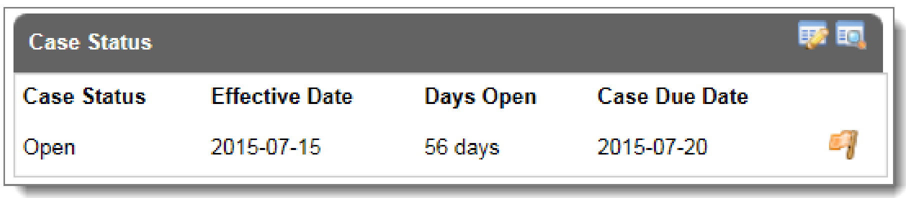
8.7 CASE STATUS

Use the case status to track case progress. Authorized users can set the case status.

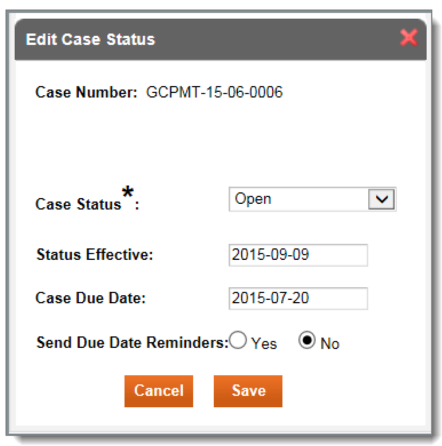
- **New** – the default status for new cases
- **Open** – indicates that the case is in progress
- **Closed** – indicates that no new information is expected; closed cases are not editable
- **Re-open** – enables updates to a previously closed case
- **No Action Required** – indicates that no action is needed in response to the report
- **Archive** – moves the case from the active Case List to the Archived Case List, which is available to authorized users only

To edit the case status:

1. In the Status section, click the **Edit** button.



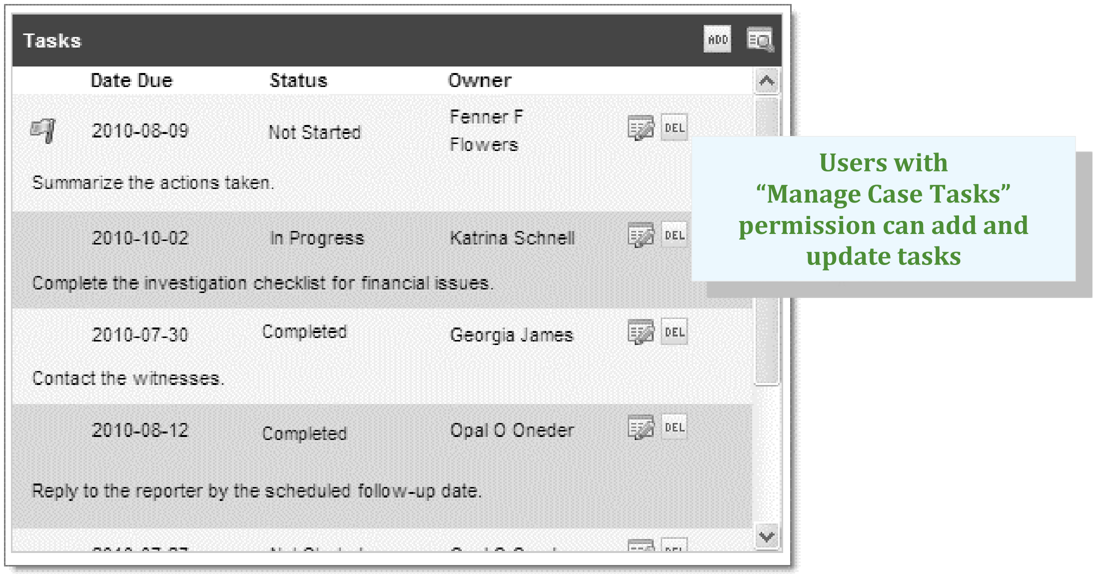
2. Select a case status, then click **Save**.



3. A notice is emailed to each person assigned to the case, and is delivered to each assignee's Inbox.

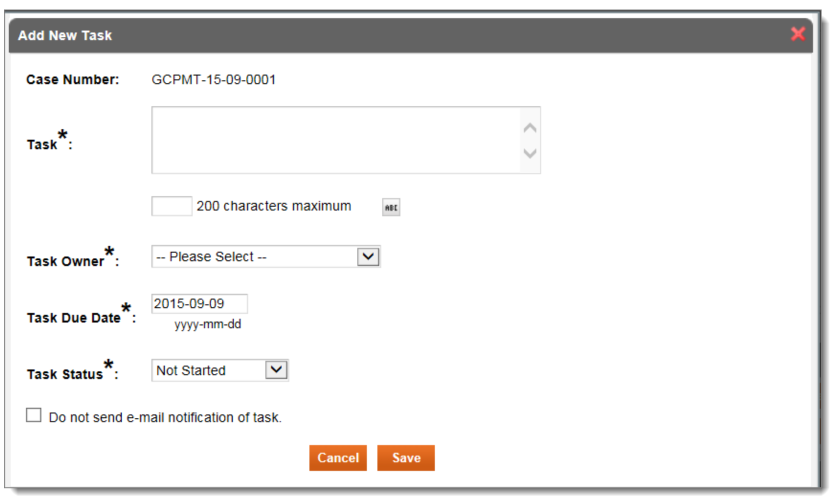
8.8 TASKS*

Use tasks to keep up with action items for a case. Each task has an owner, a due date, and a status. Email notifications alert the task owner of new tasks, and alert the task creator of completed tasks.



To create a task:

1. In the Tasks section, click the **Add** button.



2. Enter the task information.
3. Select a task owner (from list of individuals who received the initial report or who are assigned to the case).
4. Select a task due date.
5. Set the task status: Not Started, In Progress, Completed, Unable to Complete, or Canceled.

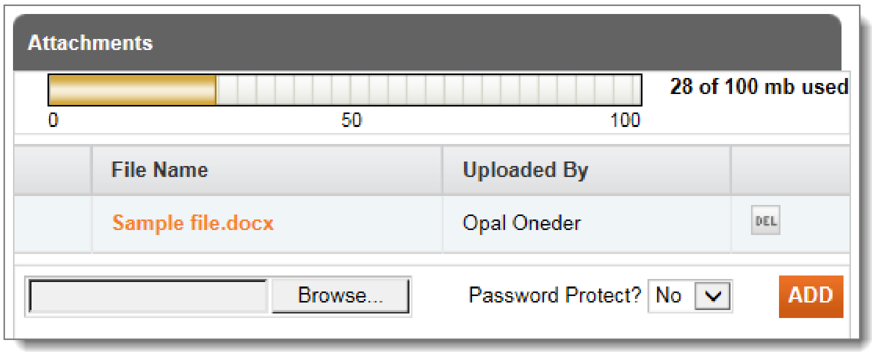
* Requires Task Management Add-in

8.9 ATTACHMENTS

The Attachments section lists any files attached by the reporter via web-based hotline and any files attached during the investigation. Authorized users can upload files associated with a case.

Tip. Attachments can be viewed by all users who have access to the case. A padlock indicates a password-protected file.

Max file size per attachment: there is no per file size limit on files attached through the Attachments section.



To attach a file to the case:

1. In the Attachments section, click **Browse**.
2. Select the file and click **Open** to confirm the selection. (To select multiple files, hold the **Shift** key down and click on each file to be uploaded, then click **Open**.)
3. Click **Add** to upload the file.

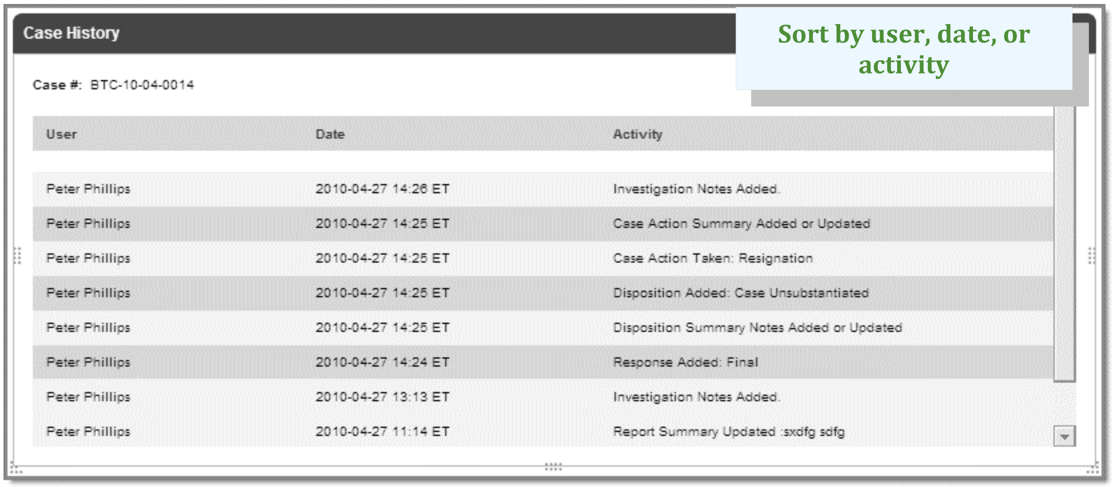
Deleting attachments:

Authorized users can delete their attachments.

8.10 CASE HISTORY

Case updates are tracked in the case history, which shows what change was made, when it was made, and who made it.

To view the case history, click the **View Case History** action button.



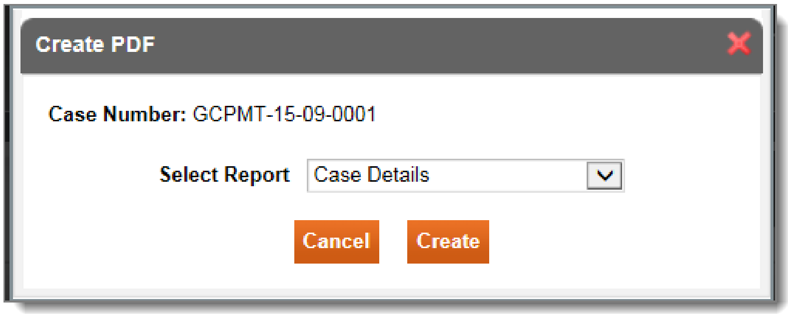
Case History

8.11 CASE PDFS

Authorized users can create case detail reports in PDF format. You can print or save the PDF file, or email it. The report information is current as of the time the PDF is generated.

To create a PDF:

1. Click the **Create PDF** action button.



2. Select a report:
   - Case Detail and Replies to Reporter
   - Case History
   - Case History plus Initial and Follow-up Details
   - Initial Report
3. Click **Create**.

9 Entering Follow-up Reports

9.1 ABOUT ENTERING FOLLOW-UP REPORTS

This capability allows you to track reporter communication that comes in through methods other than the phone-based or web-based hotline, and to have it reflected in follow-up report counts.

- Users with Add New Case permission will be able to enter follow-up reports.
- Report PIN is not required when entering follow-up reports through IntegriLink.
- Follow-up reports entered through IntegriLink generate WPA Follow-up Reports per existing phone- and web- intake rules.
- Follow-up reports are delivered per your organization's follow-up report delivery rules.
- Entry is in English only.

To enter a follow-up report:

1. From the **Cases** tab, click **Enter Follow-up**.
2. When prompted, enter the case number.
3. Any replies that have been entered for the reporter are displayed, including new and previous replies.

   If a new reply is available, the following question is displayed: "Has this reply been provided to the reporter?"

   - If you click **Yes**, the reply is marked as read.
   - If you click **No**, the new response will remain available for the reporter and will not be marked as "read".

   If the scheduled follow-up date is in the future, no new reply is available, and the reporter is not providing additional information, you will not be able to enter a follow-up.
4. Click **Continue**.
5. Enter the follow-up information. Required fields are identified with an asterisk (*).
6. Click **Submit Follow-up** to submit the case for automatic delivery to the designated contacts. (Or click **Save as Draft**. The report will be available on the My Saved Drafts list.)

   The confirmation page displays case number, PIN and scheduled follow-up date (or "N/A" if none scheduled).

   - **Continue to Case** – displays only if the user entering the follow-up has access to the case
   - **Enter Another Follow-up** – to go to the Enter Follow-up page where you will be prompted to enter a case number
   - **Go to Case List** – to go to the Case List

9.2 ENTER FOLLOW-UP – FIELDS EXPLAINED

Follow-up Report Details section

Additional Information from Reporter: enter additional information or indicate no additional information was provided.

Follow-up type: Select a follow-up type.

Report source: Indicate the method by which the case information was received (e.g., email, office visit).

Additional follow-up date: Indicate whether an additional follow-up should be scheduled. If yes, the follow-up will be scheduled according to the scheduling guidelines for your program.

- Tip: If the reporter has provided an email address, the reporter will be notified automatically when a reply to the reporter is available (for more information, see the Email Notification to Reporter section). Schedule an additional follow-up only if your organization will provide a reply to the reporter by that date, and the reporter has not provided an email address in order to be notified of new responses.
- Note: Additional follow-up dates can only be scheduled through this process in IntegriLink. NAVEX Global does not schedule additional follow-up reports through the phone-based or web-based hotline.

Allegation Information section

The Allegation Information section shows the initial report allegations.

Parties Involved section

The Parties Involved section shows all parties associated with the case.

- To add additional parties, click **Add Party**. (If using the Employee Lookup module, the lookup will be available. For more information, see the Employee Lookup section.)
- Tip: If an anonymous reporter chooses to provide identifying information during the follow-up, add a new party with party type Caller (as in the Contact Center).

Location Information section

The Location Information section shows the initial report location.

Initial Report Details section

The Initial Report Details section shows the Issue Summary (latest saved version) and the Issue Details. If the initial report text was not entered in English, each field displays “This report was taken in <language>.”

Communication History section

The Communication History section shows replies entered for the reporter.

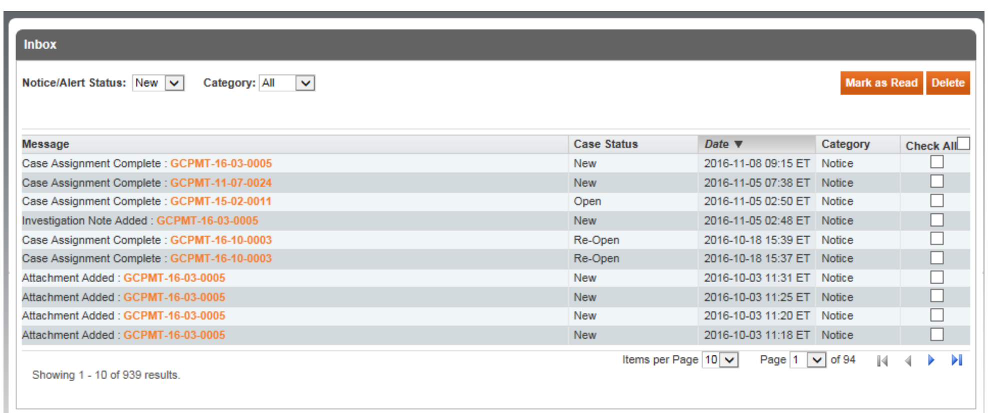
If the reply has not been provided to the reporter, the “Date Provided” field and the “Provided By” field will be blank.

NAVEX GLOBAL™
The Ethics and Compliance Experts

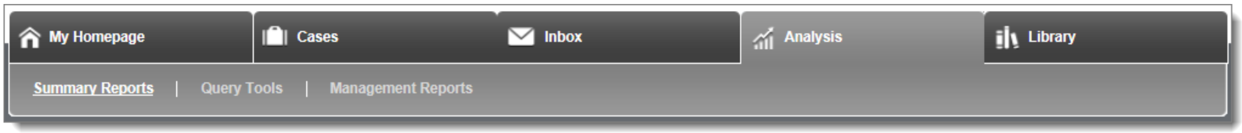
10 Inbox

Alerts and notices of program activity are conveniently delivered to your IntegriLink Inbox.

- **Alerts** – high priority or time-sensitive activity and action items (alerts are also displayed on the homepage). Standard alerts include:
    - Receipt of priority A allegation
    - Receipt of translation (initial report, follow-up report, response)
    - Notice of scheduled follow-up date with no response entered (displayed one day before scheduled follow-up date)
    - Receipt of new information from Reporter (new follow-up in which Reporter has provided additional information)
- **Notices** – case activity notifications. Standard notices include:
    - Assignment Complete indicator is checked
    - Attachment is added to a case
    - Disposition/Disposition Summary is added or changed on a case
    - Follow-up is added to a report
    - Investigation Note is added to a case
    - Reply to the Reporter is added to a report
    - Status is changed on a report

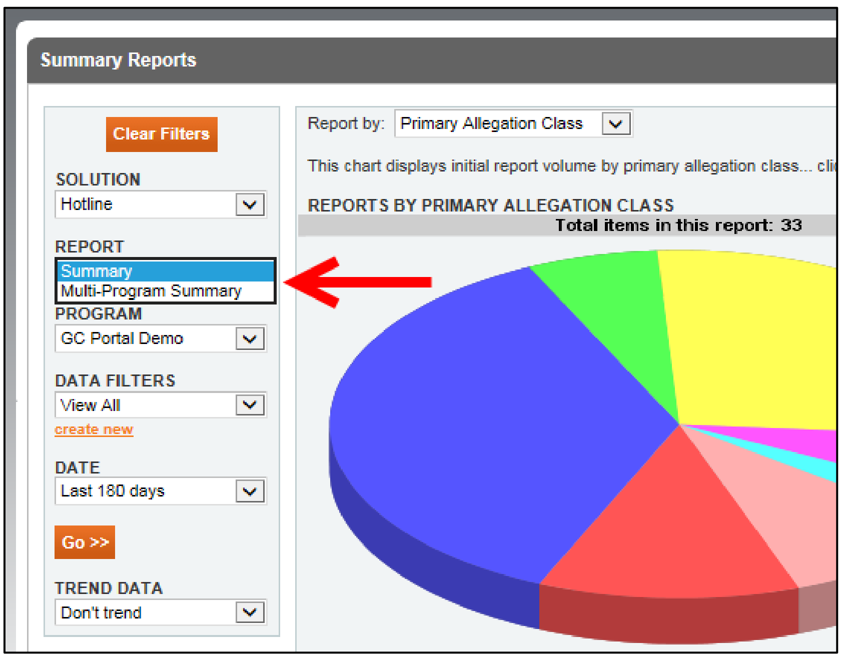


11 Analysis



11.1 SUMMARY REPORTS

Presentation-ready charts and graphs provide real-time insight into allegation report volume and issue types, either in a summary report or a multi-program summary report. Set filters, click through to detail, print, or download to spreadsheet. Trend data over three, six, or twelve months. For a list of available summary reports, see the Appendix.



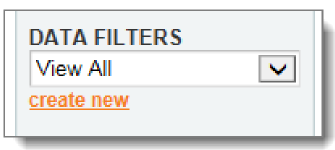
Click through to detail…

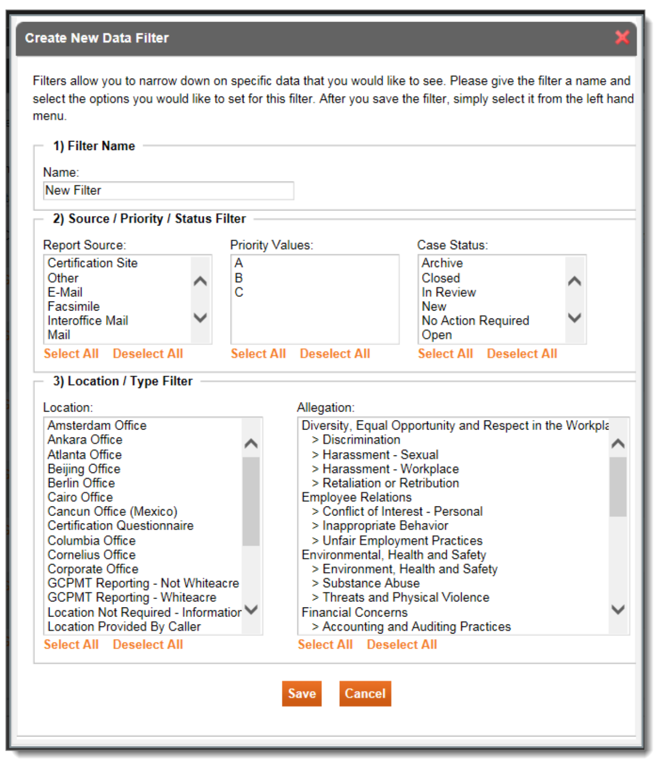
Case #	Report Initiated	Location	Source	Case Status	Allegation	Priority	Days Open	Exclude from Print (Check All) (Clear All)
GCPMT-15-03-0010	2015-03-27 15:02 ET	New Orleans Office	E-Mail	New	Conflict of Interest - Financial	C	N/A	☐
GCPMT-15-04-0003	2015-04-23 02:47 ET	Location Provided By Caller	Website	New	Accounting and Auditing Practices	C	N/A	☐
GCPMT-15-05-0001	2015-05-18 15:42 ET	Cairo Office	E-Mail	New	Accounting and Auditing Practices	C	N/A	☐
GCPMT-15-05-0003	2015-05-27 16:52 ET	Cornelius Office	Facsimile	New	Conflict of Interest - Financial	C	N/A	☐
GCPMT-15-06-0003	2015-06-15 15:16 ET	Corporate Office	Facsimile	Open	Conflict of Interest - Financial	C	72	☐
GCPMT-15-06-0005	2015-06-30 16:06 ET	Cornelius Office	Mail	In Review	Conflict of Interest - Financial	C	1	☐
GCPMT-15-08-0001	2015-08-04 13:36 ET	Corporate Office	Certification Site	Open	Accounting and Auditing Practices	C	35	☐

11.1.1 CREATE NEW FILTER

To create and save a data filter for your summary reports:

1. Click the "**Create New**" link in the Data Filters section.



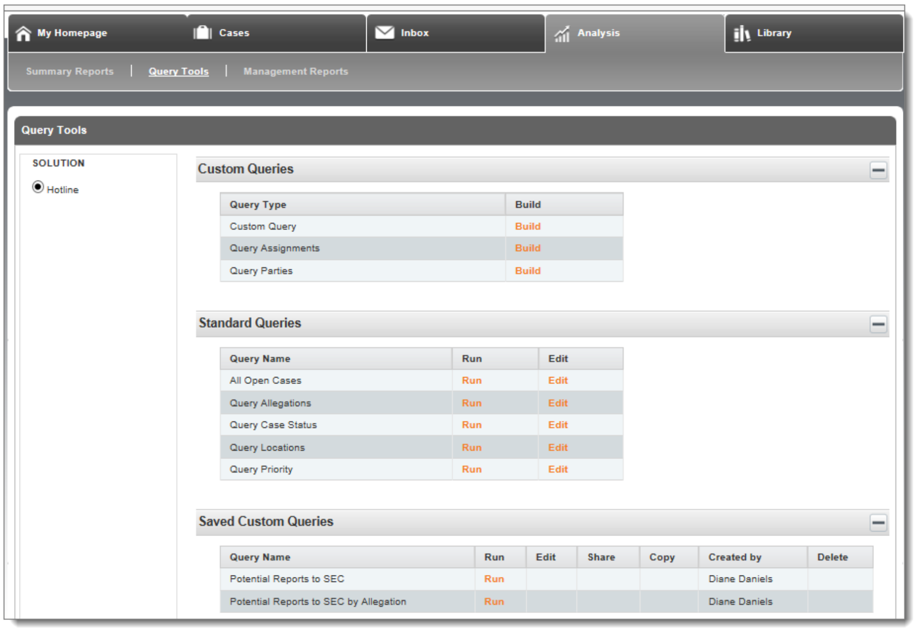


2. Name the filter, specify the filter criteria, then click **Save**.

11.2 QUERY TOOLS

Users who have “Use Query Tools” permission can query program data, click through to detail records, and export results to a spreadsheet for additional analysis (including the ability to output the Issue Details field in the original non-English language). Query Tools for Hotline Solutions includes standard, editable queries and the ability to build and share custom queries.

For a list of available queries, see the Appendix.



Analysis > Query Tools

11.2.1 QUERY ACTIONS

- **Run** – run a saved query. Search and output fields are already determined. You just specify search values such as date range.
- **Edit** – make changes to a saved query. Modify search fields, search values, and output. You can choose to save your changes to the existing query (custom queries only) or save your changes as a new query.
- **Build** – create a custom query. Two types of custom queries are available: a Custom Query outputs one row per case; Assignment and Party queries output results in a list format suited to viewing multiple assignments or parties per case.
- **Share** – allow other users to run your custom query against their data.
- **Copy** – give other users a copy of a custom query which they can then run, edit, share, copy or delete.
- **Delete** – delete custom queries.

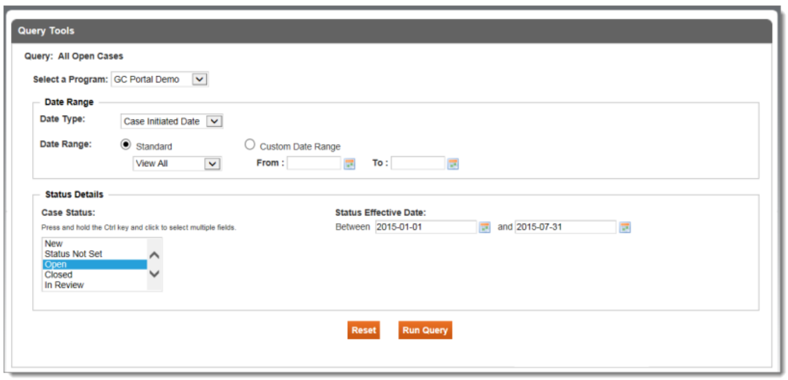
For more information, see the sections below.

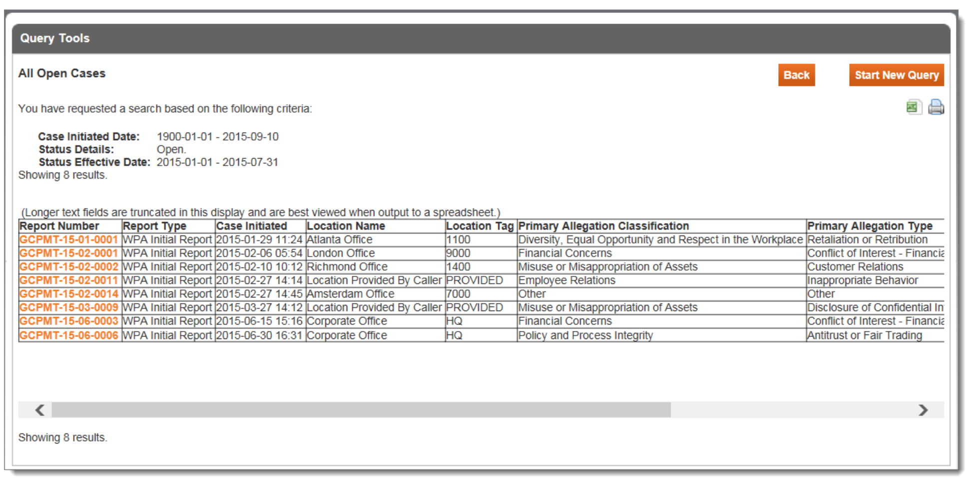
11.2.2 RUN A QUERY

Standard Queries

Query Name	Run	Edit
All Open Cases	Run	Edit
Query Allegations	Run	Edit
Query Case Status	Run	Edit
Query Locations	Run	Edit
Query Priority	Run	Edit

- **To run a query:** Click **Run**.
- Select search values, such as date range. Then click **Run Query**.





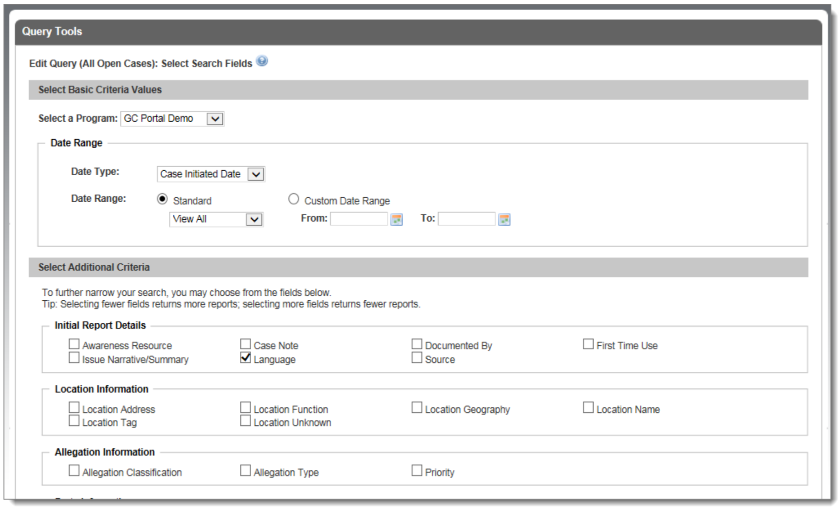
Report Number	Report Type	Case Initiated	Location Name	Location Tag	Primary Allegation Classification	Primary Allegation Type
GCPMT-15-01-0001	WPA Initial Report	2015-01-29 11:24	Atlanta Office	1100	Diversity, Equal Opportunity and Respect in the Workplace	Retaliation or Retribution
GCPMT-15-02-0001	WPA Initial Report	2015-02-06 05:54	London Office	9000	Financial Concerns	Conflict of Interest - Financia
GCPMT-15-02-0002	WPA Initial Report	2015-02-10 10:12	Richmond Office	1400	Misuse or Misappropriation of Assets	Customer Relations
GCPMT-15-02-0011	WPA Initial Report	2015-02-27 14:14	Location Provided By Caller	PROVIDED	Employee Relations	Inappropriate Behavior
GCPMT-15-02-0014	WPA Initial Report	2015-02-27 14:45	Amsterdam Office	7000	Other	Other
GCPMT-15-03-0009	WPA Initial Report	2015-03-27 14:12	Location Provided By Caller	PROVIDED	Misuse or Misappropriation of Assets	Disclosure of Confidential In
GCPMT-15-06-0003	WPA Initial Report	2015-06-15 15:16	Corporate Office	HQ	Financial Concerns	Conflict of Interest - Financia
GCPMT-15-06-0006	WPA Initial Report	2015-06-30 16:31	Corporate Office	HQ	Policy and Process Integrity	Antitrust or Fair Trading

- From the query results you can:
  - Click through to a case by clicking the case number
  - Export the results to a spreadsheet (.XLS or .CSV)*
  - Print the page

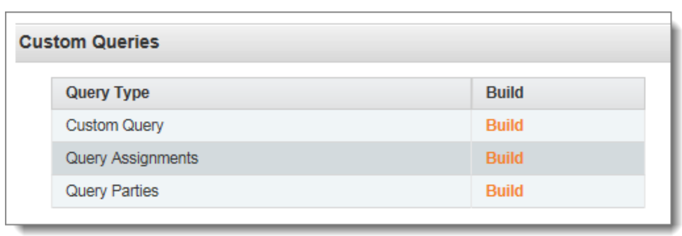
* Tip. When returning large data sets, allow a few seconds for the results to load before exporting to a spreadsheet. When exported before the results have loaded, column headings may be distorted.

11.2.3 EDITING A QUERY

- **To edit a query:** Click **Edit**.
- You may select different search fields, search values, and output options. (For field definitions and options, see the Appendix.)



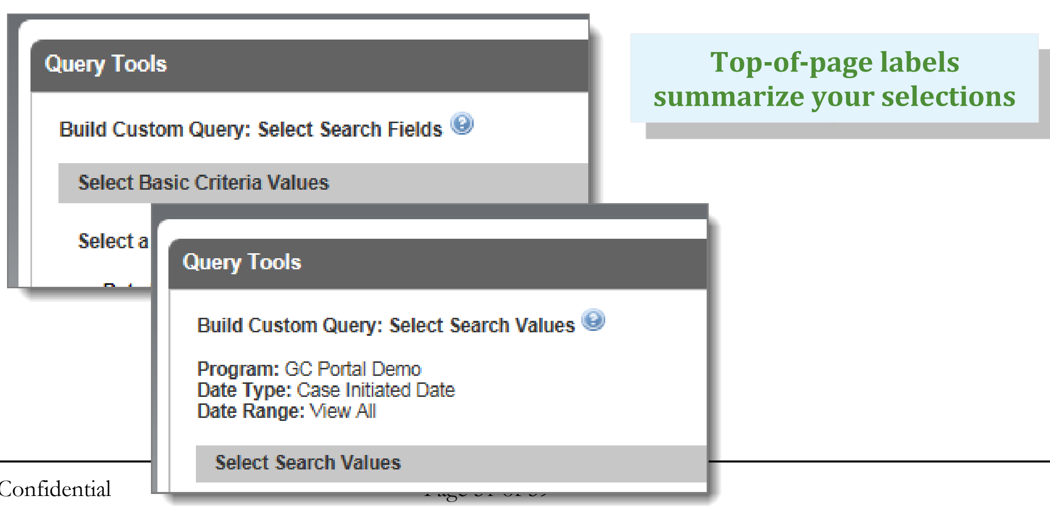
11.2.4 BUILDING A CUSTOM QUERY

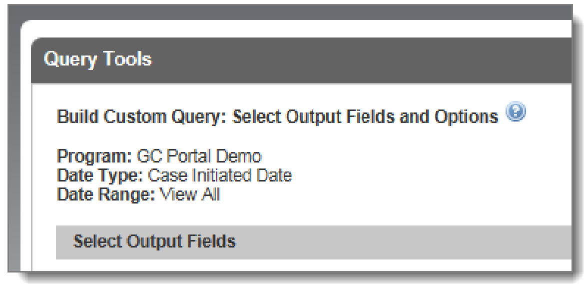


Custom Queries

Query Type	Build
Custom Query	Build
Query Assignments	Build
Query Parties	Build

Building a custom query is a 3-step process: Select Search Fields, Select Search Values, Select Output Fields.





To build a custom query: click **Build**.

Step 1: Select a program, a date type and date range, and select search fields.

Step 2: Refine the query criteria by specifying the values that you are looking for.

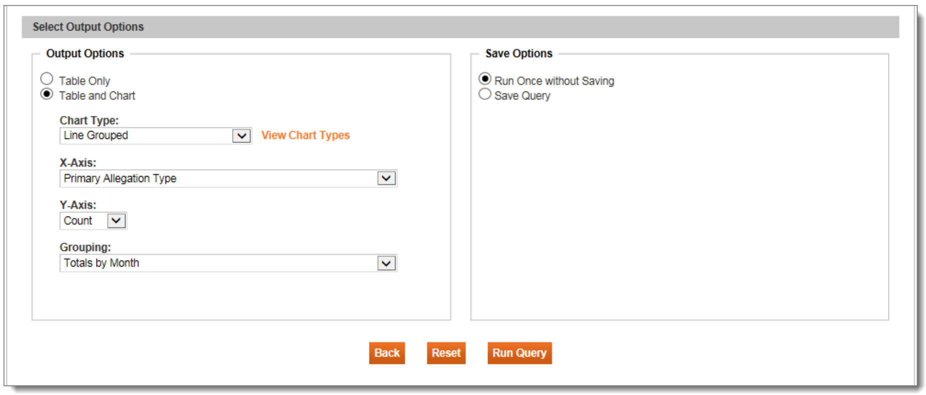
Step 3: Choose the output fields, chart options, and save option. Then click Run Query.

11.2.5 CHARTING QUERY OUTPUT

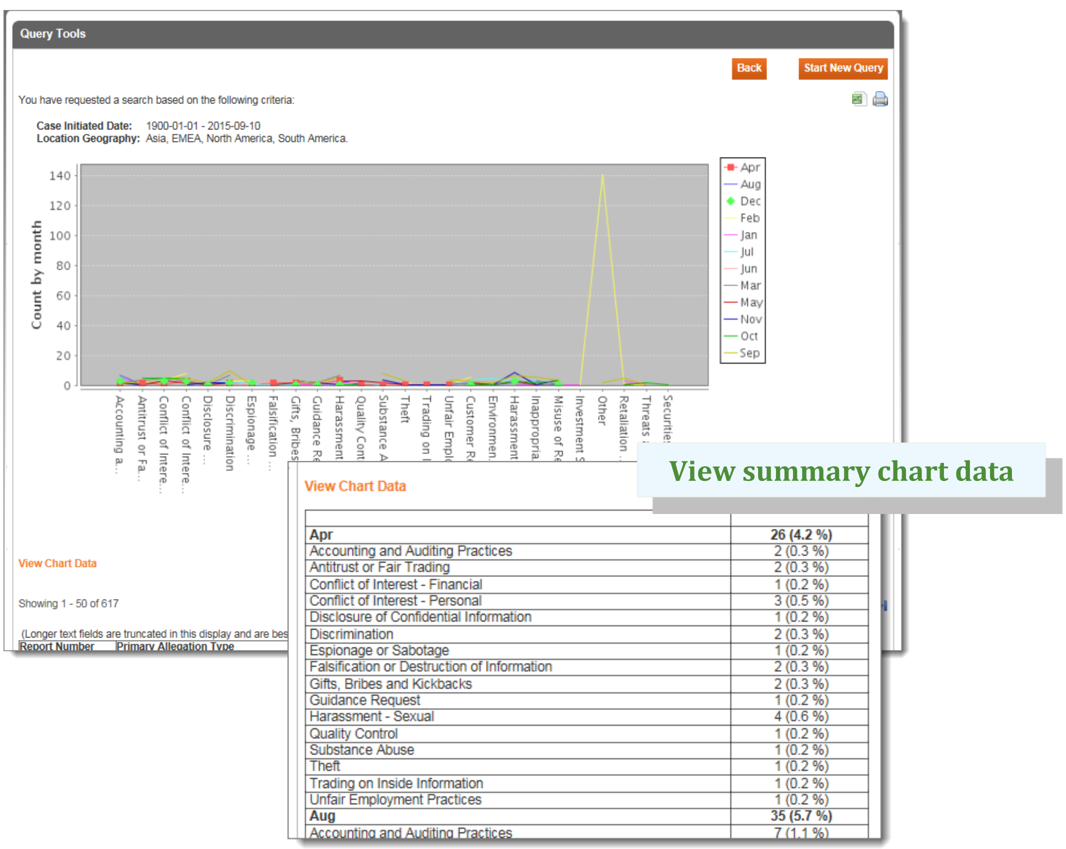
To chart query output:

- Select a chart type.
- Select chart fields.

Tip. To preview charted results, click Run Query to view results. Then click the Back button on the results page to return to the Select Output page.



Select Chart Options



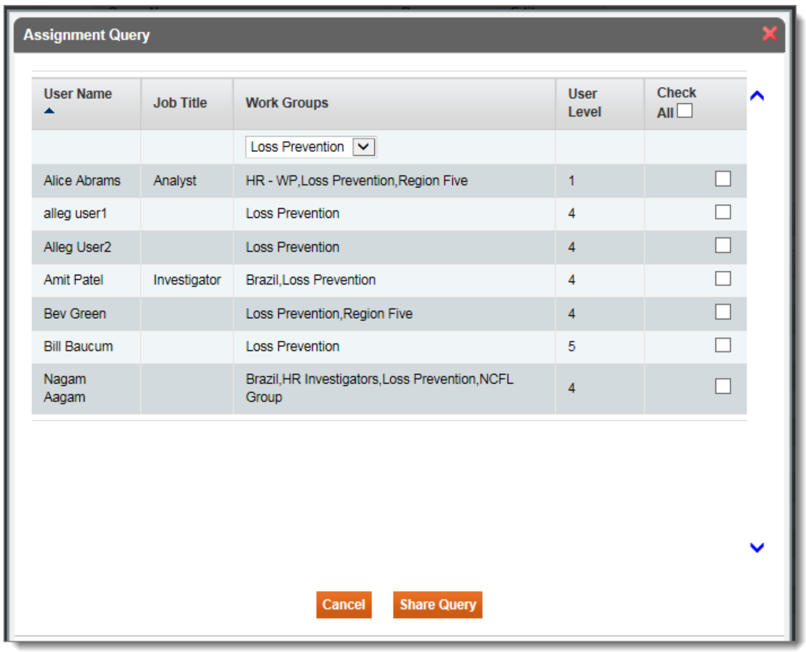
Apr	**26 (4.2 %)**
Accounting and Auditing Practices	2 (0.3 %)
Antitrust or Fair Trading	2 (0.3 %)
Conflict of Interest - Financial	1 (0.2 %)
Conflict of Interest - Personal	3 (0.5 %)
Disclosure of Confidential Information	1 (0.2 %)
Discrimination	2 (0.3 %)
Espionage or Sabotage	1 (0.2 %)
Falsification or Destruction of Information	2 (0.3 %)
Gifts, Bribes and Kickbacks	2 (0.3 %)
Guidance Request	1 (0.2 %)
Harassment - Sexual	4 (0.6 %)
Quality Control	1 (0.2 %)
Substance Abuse	1 (0.2 %)
Theft	1 (0.2 %)
Trading on Inside Information	1 (0.2 %)
Unfair Employment Practices	1 (0.2 %)
Aug	**35 (5.7 %)**
Accounting and Auditing Practices	7 (1.1 %)

11.2.6 SHARING QUERIES

You can share your custom queries with other users in your organization. Sharing a query allows other users to run the query against their own data while you maintain control over the query parameters. Changes that you make to the shared query are automatically available to the users who share it. Deleting a shared query removes it from your Saved Queries list and from the users you've shared it with.

To share a saved query:

1. Click the **Share** link next to the query name.



2. Select users to share the query with, then click **Share Query**. The query will be displayed in the user's list of existing queries. Users are notified of the shared query by email.

11.2.7 COPYING QUERIES

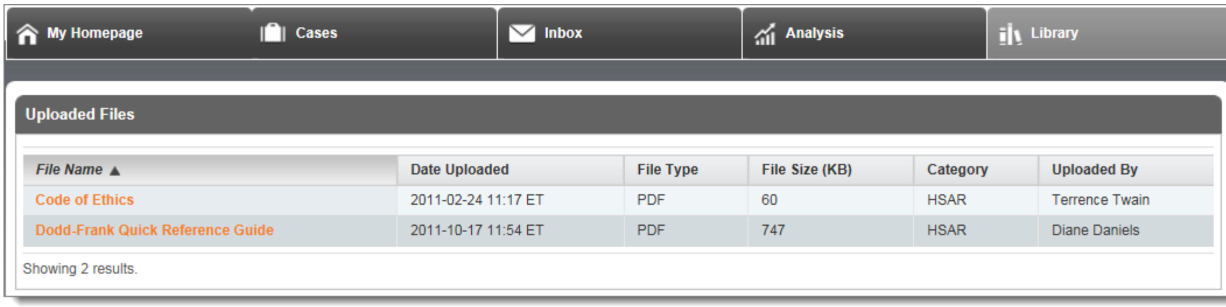
Copying a query to another user give the user their own copy of the query, to modify as needed. Your changes do not impact the other user's copy, and their changes to impact your query.

To copy a saved query:

1. Click the **Copy** link next to the query name.
2. Select users to copy the query to, then click **Copy Query**. The query will be displayed in the user's list of existing queries. Users are notified of the copied query by email.

12 Library

The Library may include resources provided by your organization.



File Name ▲	Date Uploaded	File Type	File Size (KB)	Category	Uploaded By
Code of Ethics	2011-02-24 11:17 ET	PDF	60	HSAR	Terrence Twain
Dodd-Frank Quick Reference Guide	2011-10-17 11:54 ET	PDF	747	HSAR	Diane Daniels

13 Appendix

13.1 SUMMARY REPORTS

Summary reports are available on the Summary Reports page of the Analysis tab.

Summary Report	Description
Allegation Class Report	Volume by primary allegation class.
Allegation Priority Report	Volume by primary allegation priority.
Allegation Report	Volume by primary allegation.
Anonymity Report	Percent anonymous.
Case Details Report	Detail report includes case number, initiated date, location, source, case status, allegation, allegation priority, and number of days open.
Case Overview Report	Detail report includes case number, report initiated, location, case status, days open, scheduled follow-up date, allegations, issue summary, disposition, and action taken.
Days Open Report	Open case aging by number of days open.
Disposition Report	Substantiation rates.
Disposition and Anonymity	Percent anonymous by disposition.
Follow-ups and Anonymity	follow-up rates among anonymous and identified reporters
Location Report	Volume by location.
Source Report	Volume by report source (i.e., hotline, web submission).

Glossary

Allegation	Categorization of a reported issue.
Allegation priority	Indicates the urgency of the reported issue.
Alert	Notification of high priority or time-sensitive activity and action items. Displayed on the homepage and in the IntegriLink Inbox.
Case number	Unique identifier generated for each WPA Initial Report. Includes the abbreviated program name (the "program tag"), the year and month that the report was taken, and the sequence number for that month.
WPA Follow-up Report	A report generated by a reporter's contact with the web- or phone-based hotline about a previously reported concern. Categorized by a follow-up type, which describes the information exchanged during the follow-up (e.g., "Additional Information Provided by Reporter," "Reply Provided to Reporter").
Hotline	Confidential issue reporting service. NAVEX Global offers web-based and phone-based hotline services.
Information referral	Documentation of a call to the phone-based hotline during which no actionable information was provided and which did not result in a WPA Initial Report or WPA Follow-up.
Metrics	Calculated statistics such as case volume.
Notice	Notification of case activity and updates. Delivered to the IntegriLink Inbox and by email.
Party	Person involved in a reported issue. Could be the reporter, subject(s), witness(es), or other involved individuals.
Priority A	Allegation priority. Reports that require immediate review and/or action due to an allegation of immediate threat to person, property or environment.
Priority B	Allegation priority. Reports of time-sensitive information that may require prompt review and/or action.
Priority C	Allegation priority. Reports that do not require immediate action.
Program	An organization's ethics and compliance program (e.g., "XYZ Corp Ethics Line") and the information and services associated with it.
Report contact	An individual who is set up to receive hotline reports (i.e., who is notified of reported issues).
Reporter	An individual who reports a concern.
Reply	An organization's response to a reporter regarding a reported concern.
WPA Initial Report	WPA (Workplace Alert) Initial Report. Generated by a reporter's initial contact with the hotline service to report a concern. Also known as an allegation report.

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