



Admin User Manual

19 April 2022



AGENDA

Who is this manual for?

The Admin User Manual is for the Administrators in charge of user creation, form and site configuration, security and global settings, templates and document management.

What does the content include?

The document comprises of all the features and the steps associated with admin privileges and how to configure and customize the case management system.

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

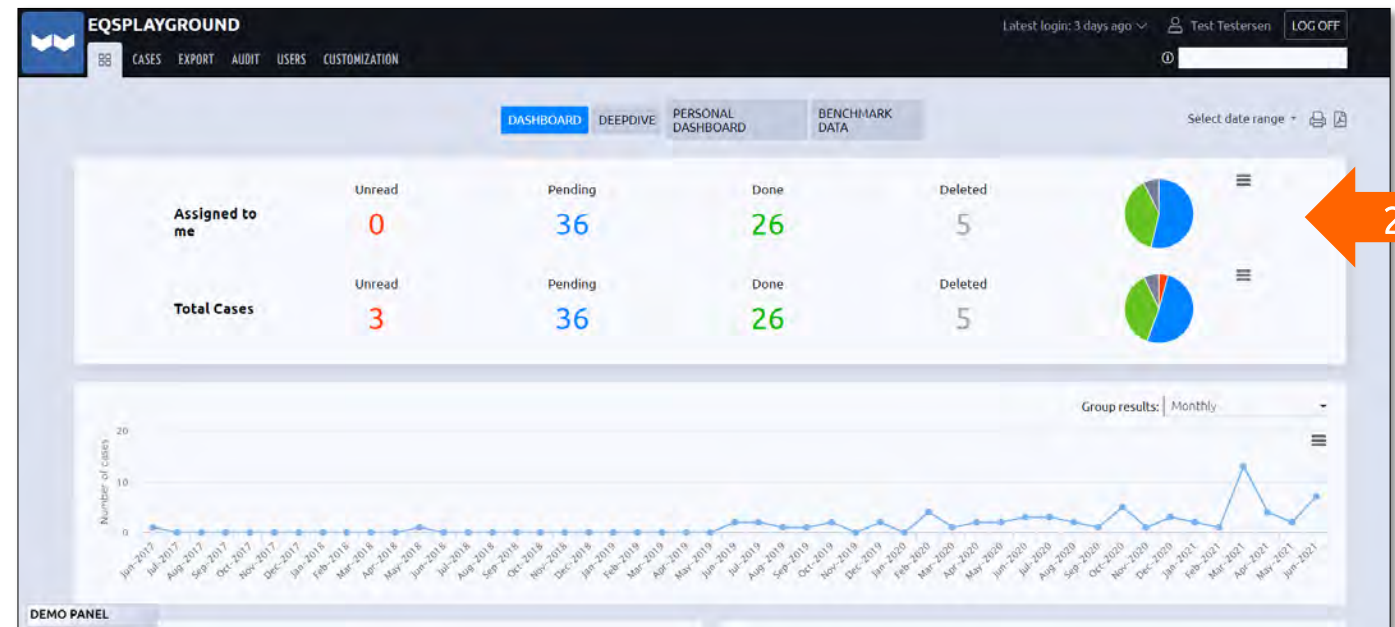
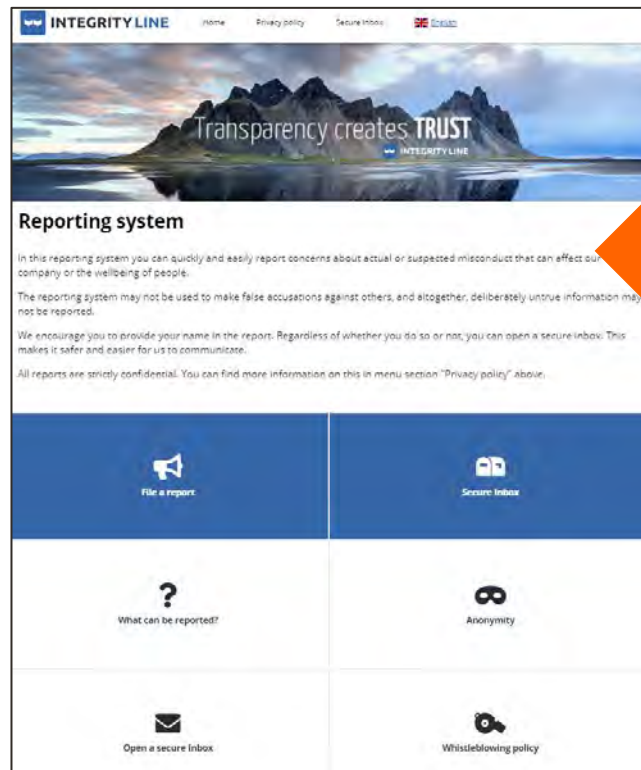


The system consists of two parts, a secure reporting channel for reporters and an integrated case management for case managers to receive and handle incoming cases. Secure connections on both ends enable anonymous communication between the parties.

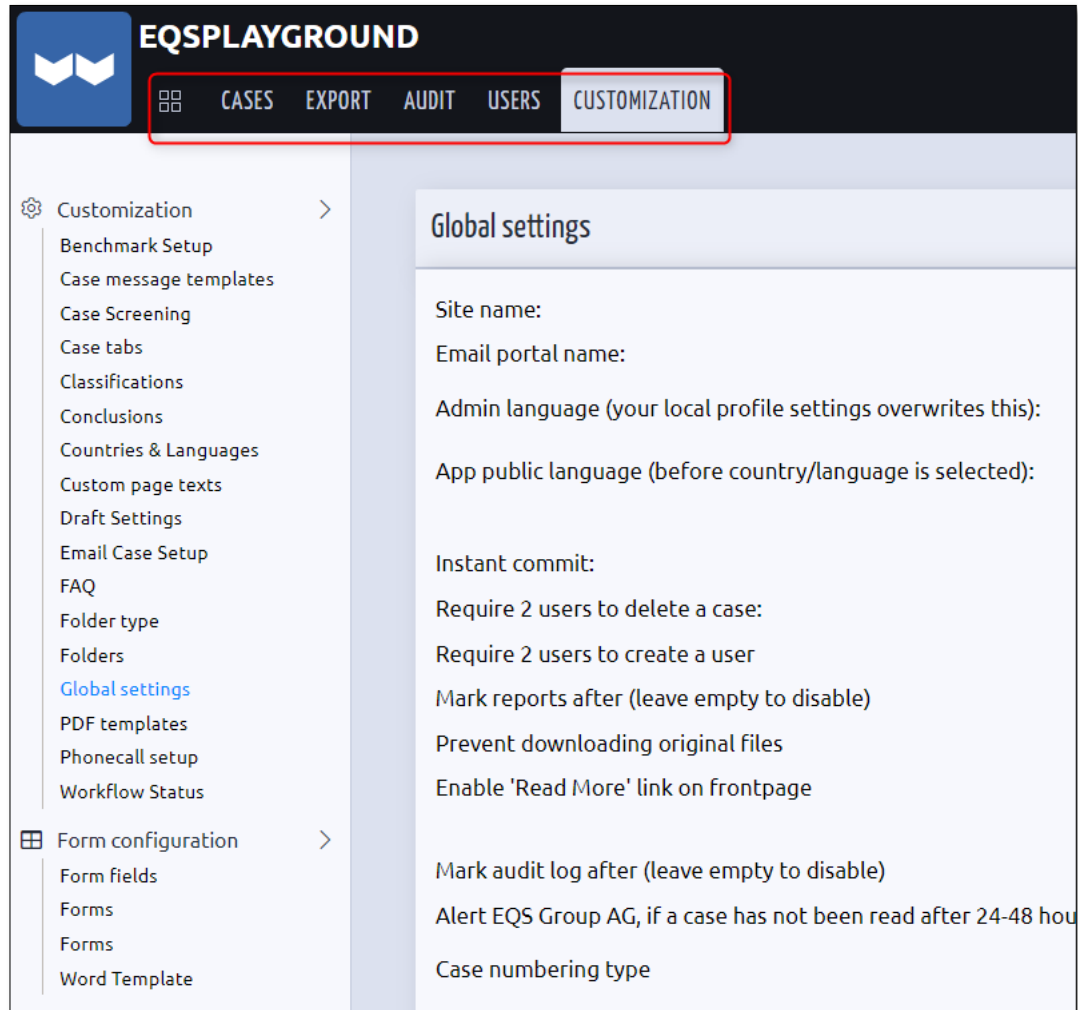
Key Components

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.



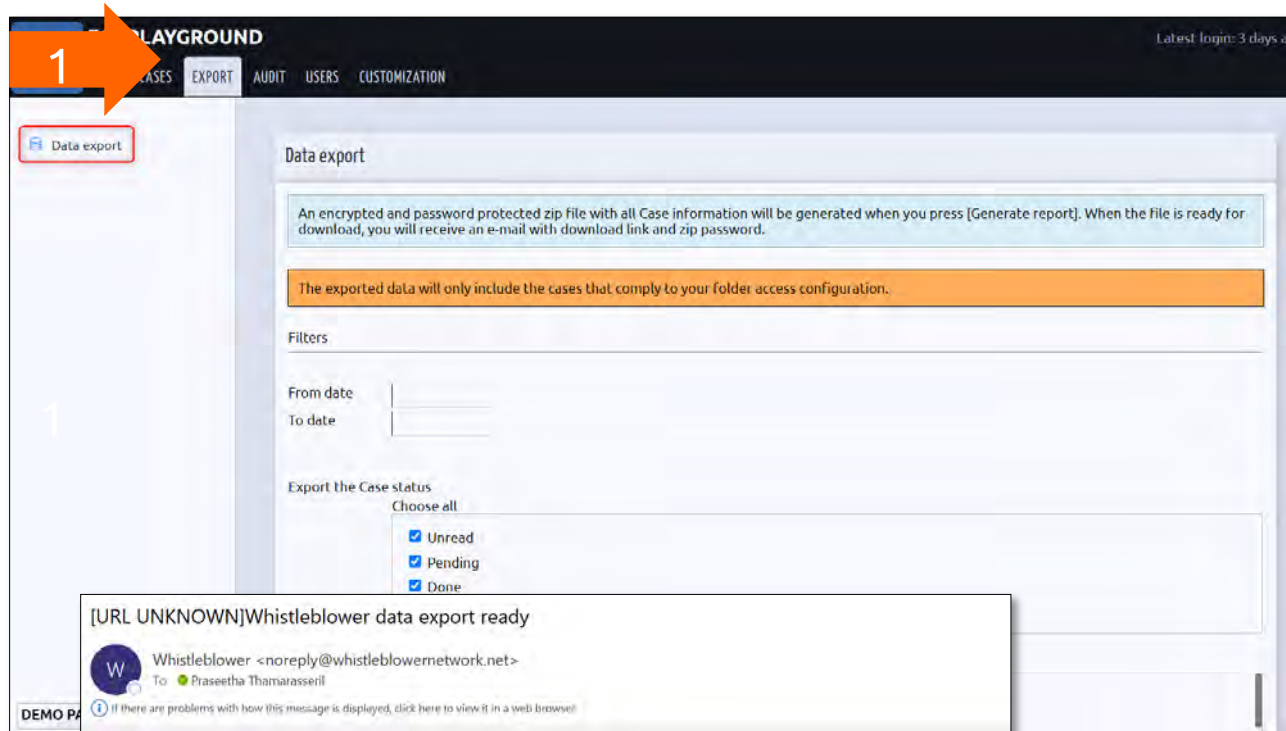
Admin Menu



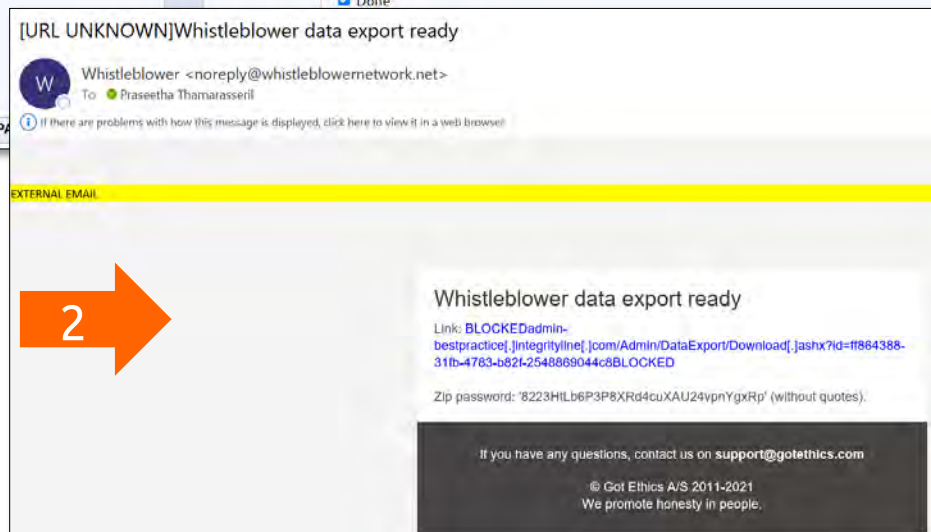
The system administration can be accessed through the top navigation bar.

- Reports
 - Data Export
- Audit
 - Audit Log
 - Downtime Configuration
- Users
 - Change Password queue
 - Folder Access Overview
 - Login Recovery
 - Users
- Site
 - Site Configuration
 - Form Configuration
 - Security Settings
 - Document Library

Reports: Data Export



1. The Admin user can choose which cases the report should contain based on date range, status, country, tabs.
2. An encrypted and password protected zip file with all issue information is generated when the Admin user clicks on 'Generate report'. When the file is ready for download, they will receive an e-mail with download link and zip password. An unzip program must be installed in order to decompress the zipped file
3. Sample report



	A	B	C	D	E	F	G	H	I	J	K
	Case Id	Report date	Completed date	Deleted date	Country	Language	Reporting type	Transferred date	SecurePostbox available	Responsible	Classification
1	2021-21	3/2/2021			UK	English (UK)	Mobile		Yes	Test Testersen	
2	2021-22	3/4/2021	3/4/2021		México	Spanish (MX)	Mobile		Yes	Test Testersen	Other breaches of the code o
3	2021-23	3/5/2021			Deutschland	German	Mobile		Yes	Test Testersen	
4	2021-24	3/5/2021			UK	English (UK)	Mobile		No	Test Testersen	
5	2021-25	3/5/2021			UK	English (UK)	Mobile		Yes	Test Testersen	
6	2021-26	3/5/2021			Italia	English (UK)	Mobile		Yes	Test Testersen	
7	2021-27	3/5/2021			UK	English (UK)	Mobile		Yes	Gerald Chifamba	Bribery and corruption
8	2021-28	3/5/2021	3/5/2021		México	Spanish (MX)	Mobile		Yes	Test Testersen	Fraud
9	2021-29	3/9/2021			Deutschland	German	Mobile		Yes	Test Testersen	
10	2021-30	3/10/2021			Schweiz	German (CH)	Mobile		Yes	Test Testersen	
11	2021-31	3/11/2021			UK	English (UK)	Mobile		Yes	Test Testersen	

Audit: Audit Log

EQSPLAYGROUND

Latest login: 3 days ago Test Testersen LOG OFF

CASES EXPORT AUDIT USERS CUSTOMIZATION

Audit log

IssueId: []

Logged in: All [v]

Affected user: All [v]

Audit type: All [v]

RESET SEARCH

DOWNLOAD AUDITLOG

CREATED DATE	CASE	LOGGED IN	AFFECTED USER	AUDIT TYPE	ACTION STRING
28/06/2021 11:12:25		Test Testersen		Login	Login success
28/06/2021 11:12:25		Test Testersen	Test Testersen	LoginUserLog...	
25/06/2021 10:26:53		Test Testersen		Login	Login success
25/06/2021 10:26:52		Test Testersen	Test Testersen	LoginUserLog...	

Audit log details

Date:	09/04/2021 09:55:52
IssueId:	10152
Logged in:	Test Testersen
Affected user:	
Audit type:	IssueWhistleblowerDialogueTabViewed
Action string:	Issue Whistleblower dialogue tab viewed
Extra info:	
Extra info diff:	

BACK

	A	B	C	D	E	F
	AuditLog Id	Created date	Audit type	Loginuser	Affected loginuser	Issue
1	1	2/3/2021 4:09:43 PM	LoginUserLoggedIn	Test Testersen (test@test.dk)	Test Testersen (test@test.dk)	
2	2	2/3/2021 4:09:43 PM	Login	Test Testersen (test@test.dk)		
3	3	2/3/2021 4:28:24 PM	DraftSettingsChanged	Test Testersen (test@test.dk)		
4	4	2/10/2021 7:52:45 AM	LoginUserLoggedIn	Test Testersen (test@test.dk)	Test Testersen (test@test.dk)	
5	5	2/10/2021 7:52:46 AM	Login	Test Testersen (test@test.dk)		
6	6	2/10/2021 7:54:50 AM	DataPrivacyPolicyAccepted			2021-1
7	7	2/10/2021 7:55:14 AM	ViewIssue	Test Testersen (test@test.dk)		2021-1
8	8	2/10/2021 7:55:15 AM	SetResponsibleToIssue	Test Testersen (test@test.dk)		2021-1
9	9	2/10/2021 7:55:21 AM	IssueCaseWorkTabViewed	Test Testersen (test@test.dk)		2021-1
10	10	2/10/2021 7:57:57 AM	ViewIssue	Test Testersen (test@test.dk)		2021-1
11	11	2/10/2021 7:58:29 AM	ShortDescriptionChanged	Test Testersen (test@test.dk)		2021-1
12	12	2/10/2021 7:58:30 AM	ViewIssue	Test Testersen (test@test.dk)		2021-1
13	13	2/10/2021 7:59:26 AM	IssueClassificationChanged	Test Testersen (test@test.dk)		2021-1
14	14	2/10/2021 7:59:26 AM	ViewIssue	Test Testersen (test@test.dk)		2021-1
15	10004	2/11/2021 4:40:38 PM	DataPrivacyPolicyAccepted			2021-2

- The Audit Log displays all the case activities that have been performed on the cases in the Case Management
 - A particular case can be filtered out if required
- Clicking on a case displays the 'Audit Log Details' for the specific case
- The case manager can also download the audit log in an excel format

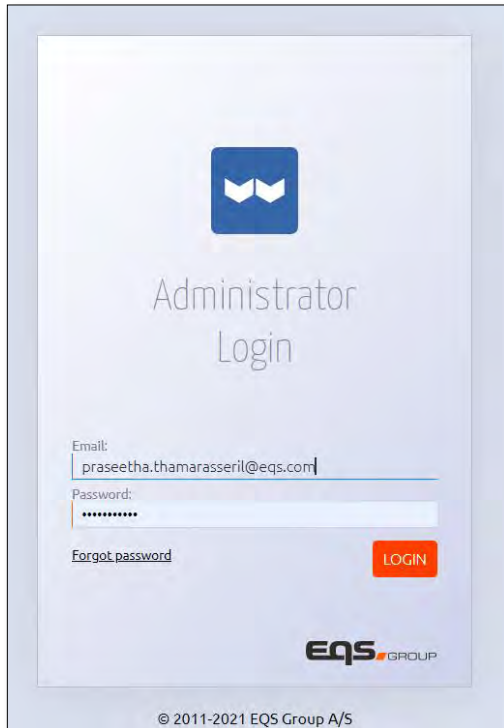
Audit : Downtime Notifications

The screenshot shows the EQSPAYGROUND application interface. The top navigation bar includes 'CASES', 'EXPORT', 'AUDIT', 'USERS', and 'CUSTOMIZATION'. The left sidebar has a tree view with 'Audit' selected, containing 'Audit log', 'Downtime notifications' (highlighted with a red box), and 'Merged cases'. The main content area is titled 'Downtime' and displays a table of downtime events.

FROM	TO	DESCRIPTION	
10/12/2020 20:02:27	10/12/2020 20:24:27	Downtime update. Due to maintenance, customers may have experienced downtime in the indicated period (CET). ----- Original notice: We are performing system maintenance on Thursday 10 December starting at 6.00 PM CET. We expect the maintenance will take approximately 3 hours. Downtime may occur during the maintenance.	Show
04/11/2020 09:22:27	04/11/2020 09:28:27	Maintenance (CET).	Show
08/10/2020 08:03:27	08/10/2020 08:12:27	Maintenance (CEST).	Show
26/06/2020 22:57:53	26/06/2020 23:43:40	Downtime update. Due to maintenance, customers may have experienced downtime in the indicated period (CEST). ----- Original notice: We are performing system maintenance on Friday 26 June starting at 6.00 PM CEST. We expect the maintenance will take approximately 3 hours. Downtime may occur during the maintenance.	Show
24/06/2020 10:12:27	24/06/2020 10:19:27	Maintenance (CEST).	Show

- If there are any system downtime or other downtime notifications, those will be displayed here
- Downtimes will automatically be broadcast to you by EQS

Users : Change Password Queue



Administrator Login

Email:

Password:

[Forgot password](#)

EQS GROUP

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EQSPLAYGROUND

Latest login: 3 days ago Test Testersen

CASES EXPORT AUDIT **USERS** CUSTOMIZATION

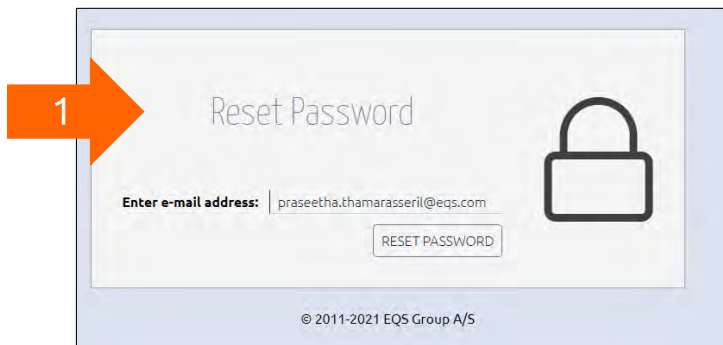
User administration

- Change password queue
- Folder access overview
- Login recovery
- Users

Change password queue

NAME	EMAIL	PASSWORD REQUESTED	PASSWORD SENT	REQUEST CANCELLED
Praseetha	praseetha.thamarasseril@e...	09/04/2021 09:48:24		04/05/2021 05:16:35
Gerald Chifamba	gerald.chifamba@eqs.com	31/03/2021 11:30:08		

Number of results: 2



Reset Password

Enter e-mail address:

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1. If a User should forget the password to the System, he/she can request a new temporary password on the login screen by entering the e-mail address. Now, notifications will be sent to other Admin Users, and the request will appear under "Change password queue" in the Menu. The new temporary password will only be sent to the Case Manager, when the Admin User approves the request under "Change password queue".
2. Previous password reset requests are shown under "Change password queue", allowing Users to see when a request has been handled. Unhandled requests will not have a "Password sent" date.
3. If a User has requested a new password but has been able to log in before the password request has been handled by other Users, a request cancellation date will be shown.

Users : Folder Access Overview

EQSPLAYGROUND Latest login: 3 days ago Test Testersen LOG OFF

CASES EXPORT AUDIT **USERS** CUSTOMIZATION

User administration >
Change password queue
Folder access overview
Login recovery
Users

Folder access overview

This grid shows the relations between users and folders. You cannot edit it from here, it is only meant to be used as a reference.

USERS	CHAIRMAN OF THE BOARD	ETHICSLINE	EXTERNAL LAWYER	GROUP ETHICS COMMITTEE	REGIONAL EC - AME	REGIONAL EC - CHI	REGIONAL EC - MED	REGIONAL
Manuel Sahli								
Philipp								
Test Testersen								

Number of results: 3

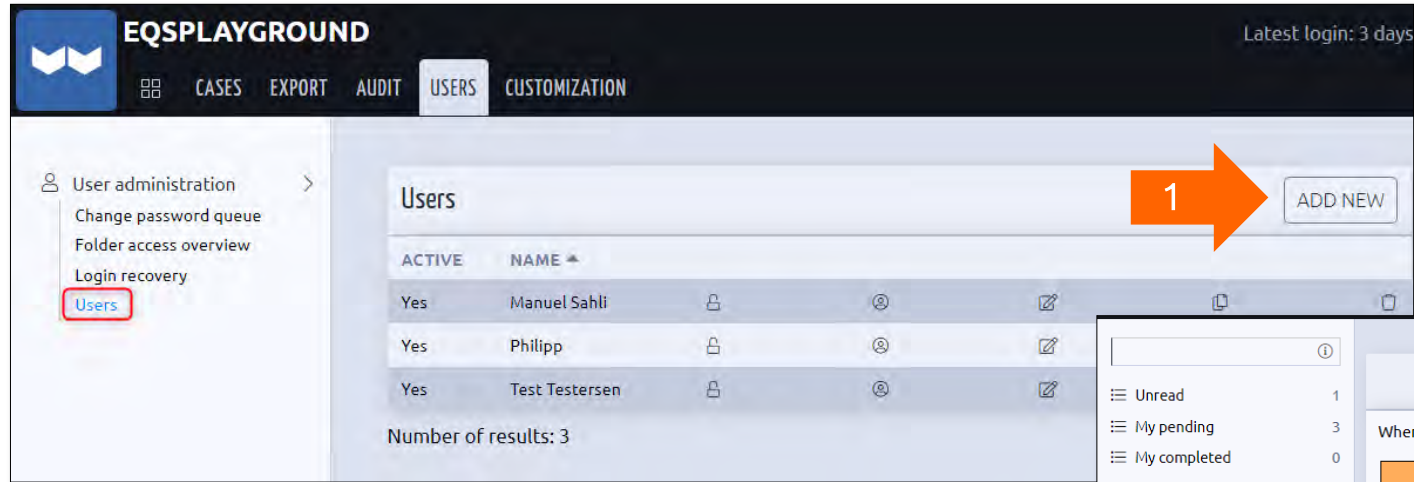
- This matrix is non editable and provides an overview of all the folder access privileges of all users present in the system

Users : Login Recovery

The screenshot shows the EQSPLAYGROUND interface. The top navigation bar includes 'CASES', 'EXPORT', 'AUDIT', 'USERS', and 'CUSTOMIZATION'. The left sidebar shows 'User administration' with sub-items 'Change password queue', 'Folder access overview', 'Login recovery' (highlighted with a red box), and 'Users'. The main content area is titled 'Login recovery' and contains the text: 'Please download and store the pdf in a secure location, either within a physical safe or on a secure digital location. In case you loose the system certificate, email or cellnumber, please contact us to review your options.' Below this text is a button labeled 'DOWNLOAD SYSTEM CERTIFICATE' (also highlighted with a red box). An orange arrow points from this button to a sample PDF document titled 'System Certificate'. The PDF contains the following information: a QR code in the top right corner, 'SITE URL: ADMIN-BESTPRACTICE.INTEGRITYLINE.COM', 'SITEID: 251736', 'ADMINISTRATOR EMAIL: [REDACTED]', and 'PASSCODE: [REDACTED]'.

- Under Login Recovery, the case manager can download the system certificate in PDF format
- This certificate acts as a backdoor to the system in case all users should have forgotten their login credentials
- In this case the certificate can be utilized (one time use only) to gain access and reset a user password. Afterwards the certificate expires.

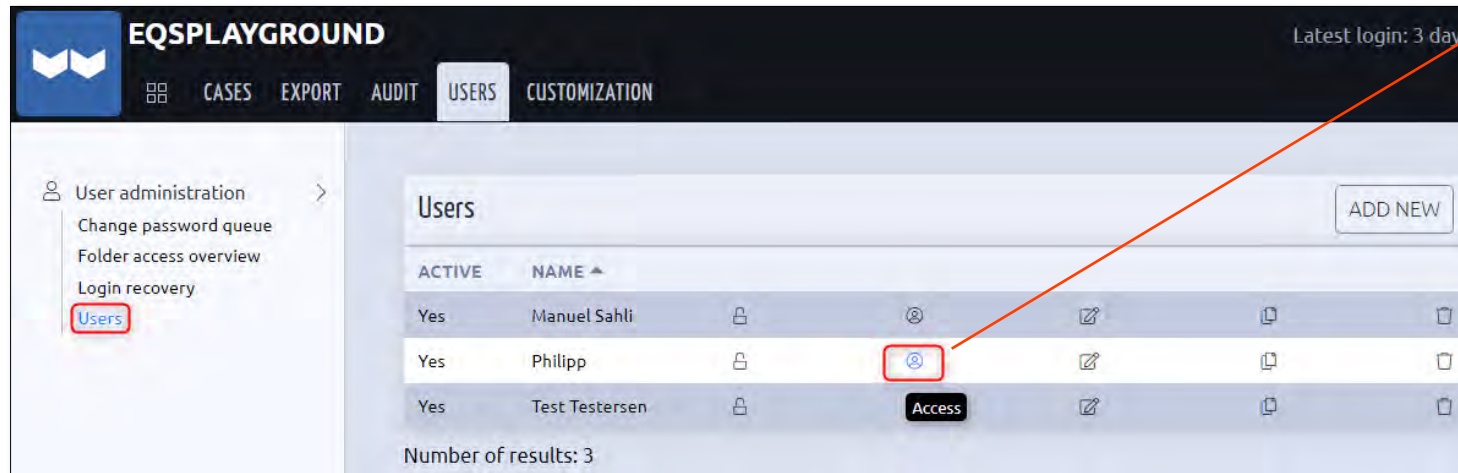
User Administration : Users



1. Under 'Users', we can create new users, edit user access and delete users
2. While creating a new user, always remember to select the type of access that they require

3. On the top of the screen there is a checkbox "Active" in orange. The User is only able to log in on the administrator portal, when he/she has been activated.
 - Please note that the User will not receive an e-mail with a temporary password until he/she has been activated.

User Administration: Page Access



Page access for Philipp Dess

Page name	No access	Read+write access
	Choose all	Choose all
Audit log (Audit)	<input type="radio"/>	<input checked="" type="radio"/>
Change password queue (User administration)	<input type="radio"/>	<input checked="" type="radio"/>
Classifications (Site configuration)	<input type="radio"/>	<input checked="" type="radio"/>
Conclusions (Site configuration)	<input type="radio"/>	<input checked="" type="radio"/>
Countries & Languages (Site configuration)	<input type="radio"/>	<input checked="" type="radio"/>
Create new issue	<input type="radio"/>	<input checked="" type="radio"/>
Custom page texts (Site configuration)	<input type="radio"/>	<input checked="" type="radio"/>
Data export	<input type="radio"/>	<input checked="" type="radio"/>
Data retention (Security settings)	<input type="radio"/>	<input checked="" type="radio"/>
Document manager (Document library)	<input type="radio"/>	<input checked="" type="radio"/>
Documents (Document library)	<input type="radio"/>	<input checked="" type="radio"/>
Downtime notifications (Audit)	<input type="radio"/>	<input checked="" type="radio"/>
Folder access overview (User administration)	<input type="radio"/>	<input checked="" type="radio"/>
Folders (Site configuration)	<input type="radio"/>	<input checked="" type="radio"/>
Global settings (Site configuration)	<input type="radio"/>	<input checked="" type="radio"/>
Issues	<input type="radio"/>	<input checked="" type="radio"/>
Login recovery (User administration)	<input type="radio"/>	<input checked="" type="radio"/>
Mobile forms (Form configuration)	<input type="radio"/>	<input checked="" type="radio"/>
Page access	<input type="radio"/>	<input checked="" type="radio"/>
Password settings (Security settings)	<input type="radio"/>	<input checked="" type="radio"/>
Public access (Security settings)	<input type="radio"/>	<input checked="" type="radio"/>
Users (User administration)	<input type="radio"/>	<input checked="" type="radio"/>

< BACK SAVE

- By defining the page access for a user, they can be classified as a Case Manager or an Admin user (e.g., Access to security settings is only granted to Admin users)
- Page access for case managers can also be customized under 'Users → Access under Specific Case Managers name'
- The case managers are either provided with "No Access" or "Read + Write" access

User Administration: Permission «

Folder access

Allow access to all reports from the following folders. Moderators always have access to reports that they are responsible to.

☒ Choose all

Compliance Case

- ☒ Chairman of the Board +
- ☒ EthicsLine +
- ☒ External Lawyer +
- ☒ Group Ethics Committee +
- ☒ Regional EC - AME +
- ☒ Regional EC - CHI +
- ☒ Regional EC - MED +
- ☒ Regional EC - NCE +

Anonymization settings

☐ View only anonymized issues

☒ Can anonymize issues

< BACK SAVE

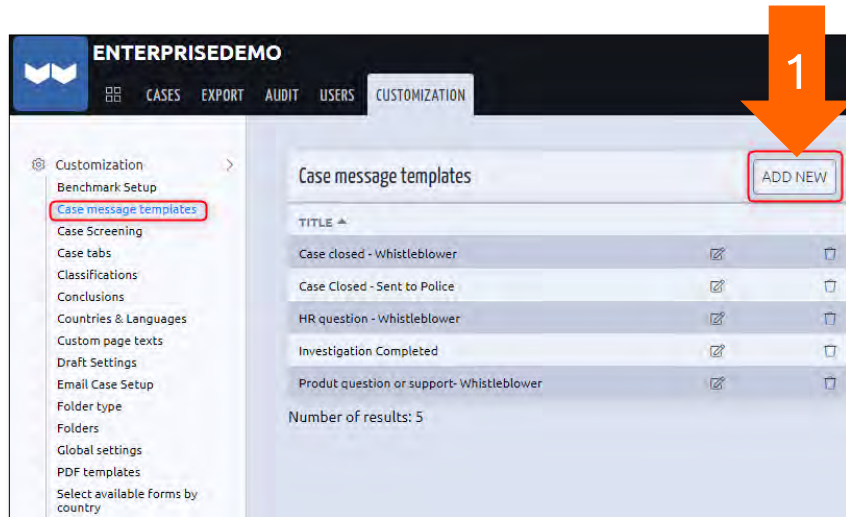
1. Each case manager can be provided access to a particular folder. Anonymization privileges can also be set for the case managers

2. In a similar way, permissions can be set for Case Managers. This involves changing case status, comments, changing a responsible case manager, deleting cases etc.

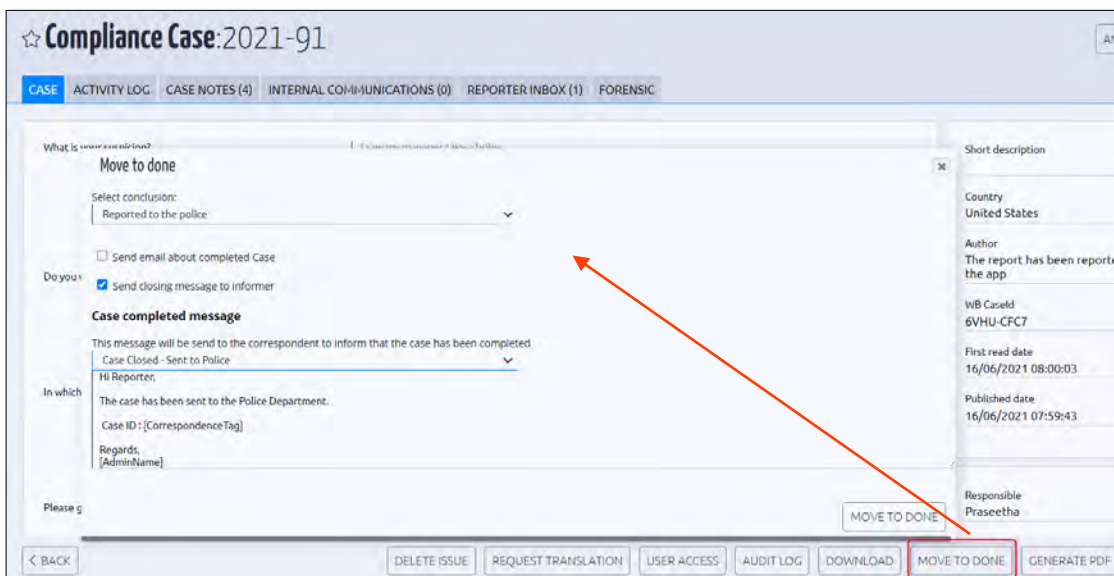
Permissions:

- ☒ Can send issues to done and change conclusion
- ☒ Can comment issues
- ☒ Can change responsible, folder access and classification
- ☒ Can delete issues
- ☐ Privileges locked (cannot change user settings and page access for yourself)
- ☒ Can set workflow status
- ☒ Override Folder access ⓘ
- ☒ Can export Issue as Excel

Customization: Case Message Templates(1) «

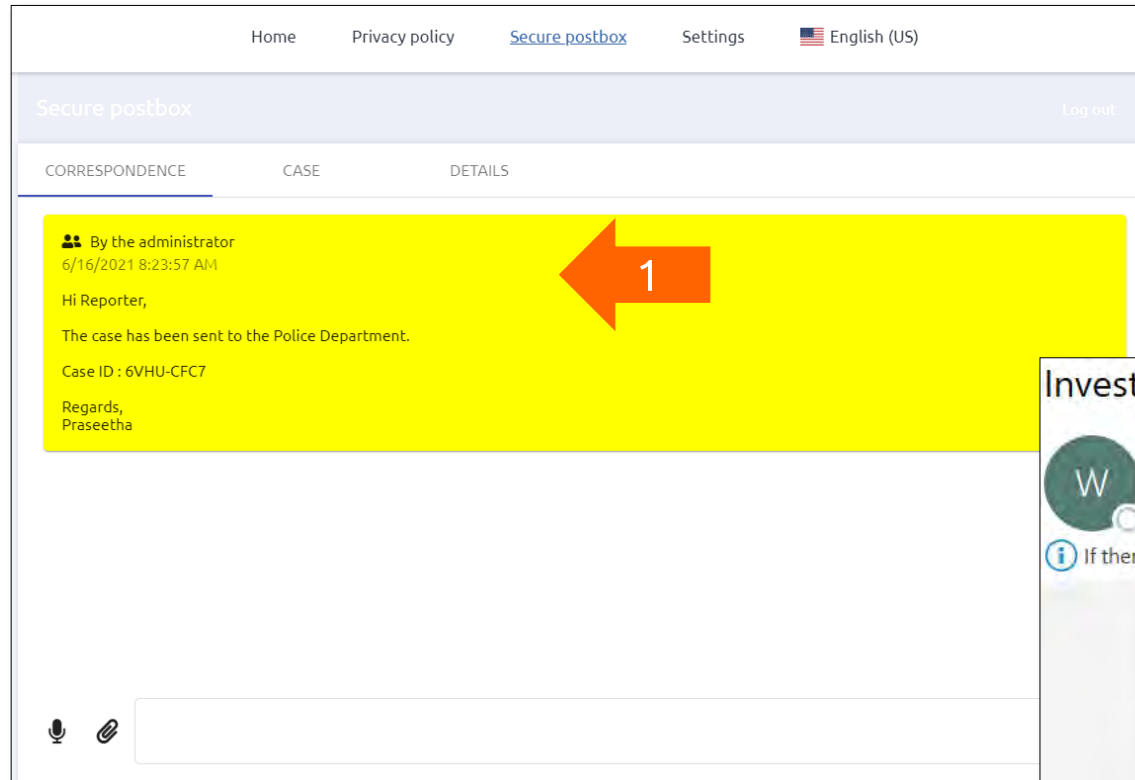


- The Admin user can create custom templates that can be used while concluding a case
- Click on 'Case Message Templates' and add a new custom template
 - There are 2 types of templates that can be set :
 - Message to reporter
 - Email to Admin



- After the required template has been added to the case message, the Case Manager can click on 'Move to Done' inside the Case
- The Case Manager can choose the necessary details and choose to send an email about the case to another Case Manager or even to the reporter

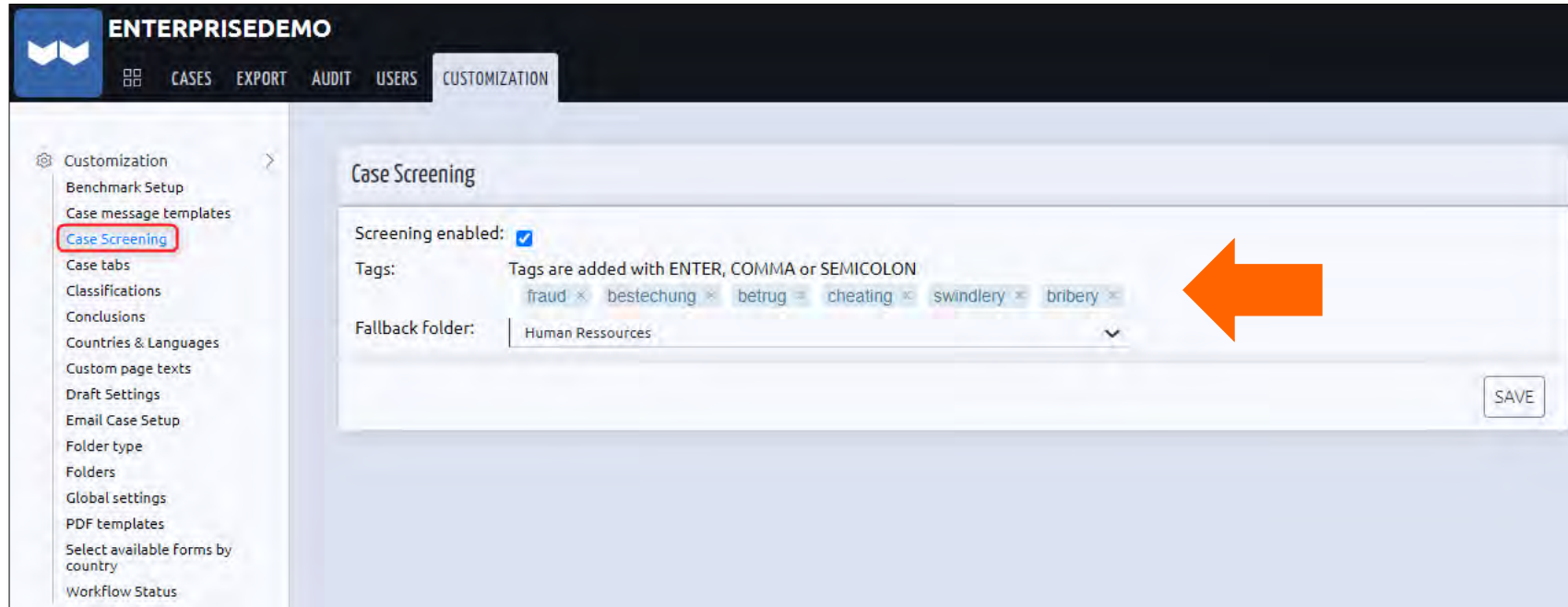
Customization: Case Message Templates (2)



1. The reporter can view the message sent by the case manager under 'Secure Inbox'.
2. The email sent by the Case manager to other case managers is shown below

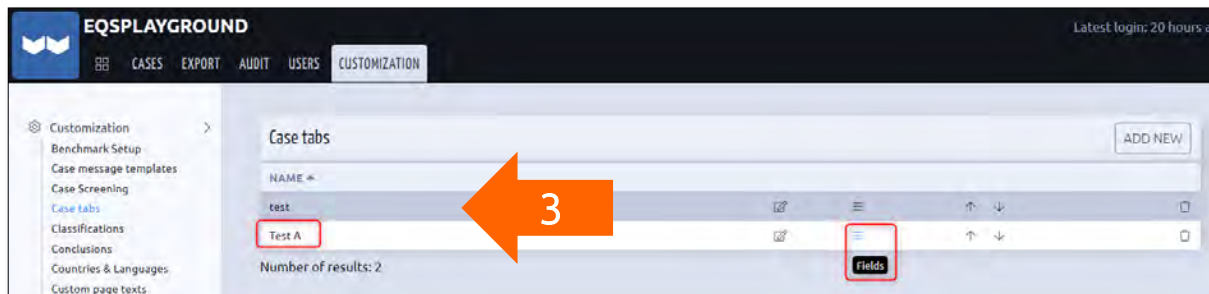
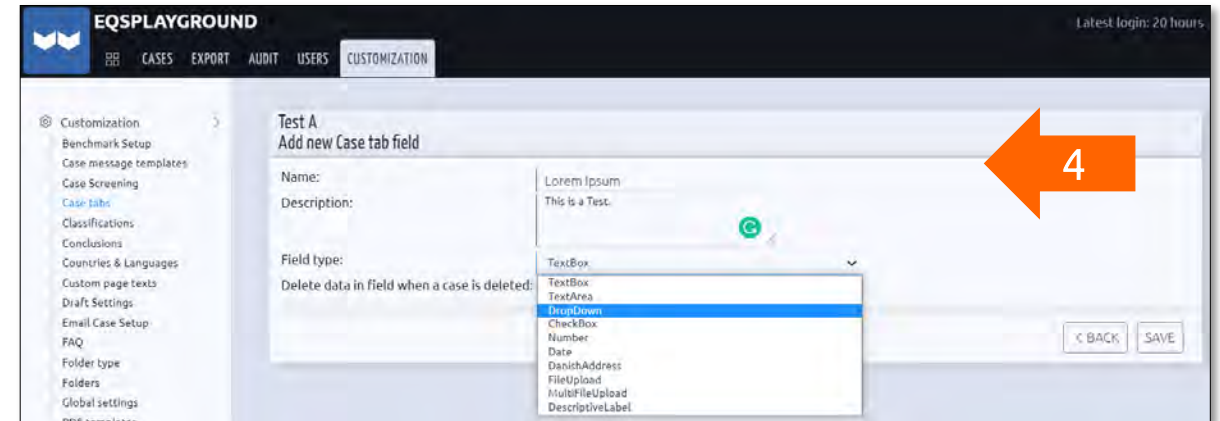


Customization: Case Screening



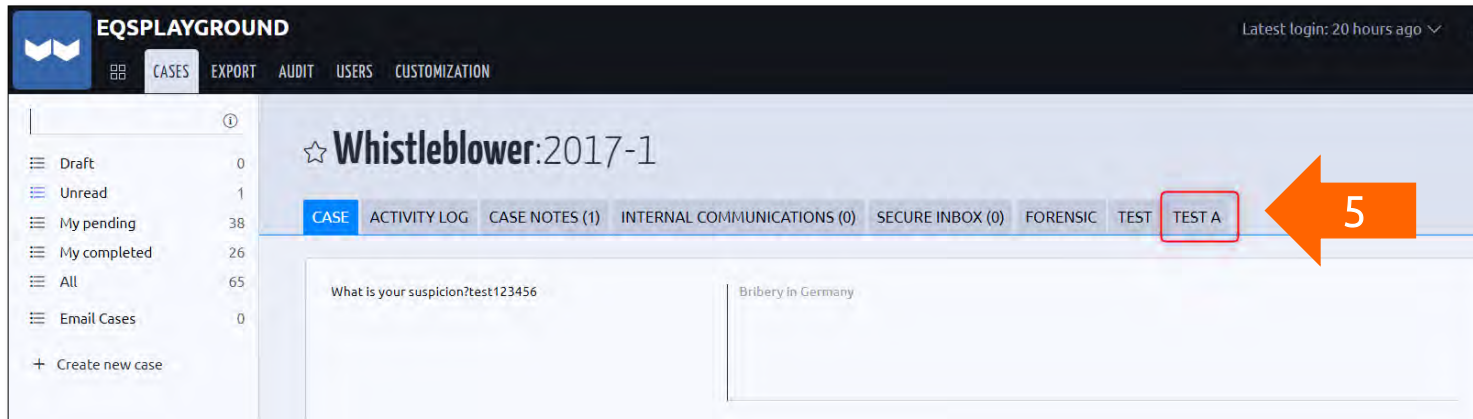
- All cases will be placed in the default folder. However, the system can be configured to scan Issues for certain keywords and place issues containing such keywords in an alternative fallback folder.
- Case screening can be enabled under 'Customization' where keywords and a fallback folder can be defined.

Customization: Case Tabs (1)



1. Issue Tabs help in setting up new tabs as per the requirement of the Admin User. Click on 'Add New' under Issue Tabs
2. Enter the name of the new tab
3. The new tab is displayed. This can be edited or deleted as per the need
4. Click on 'Fields' to add new types of fields to the Case Tabs

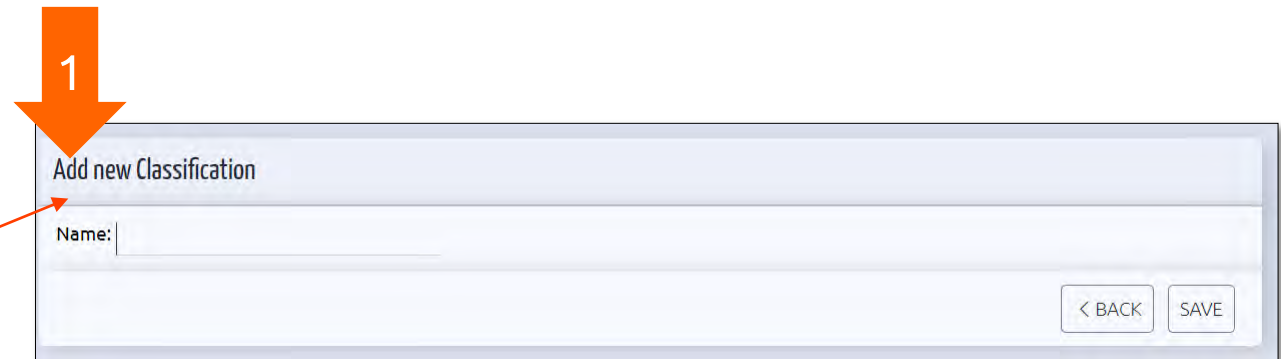
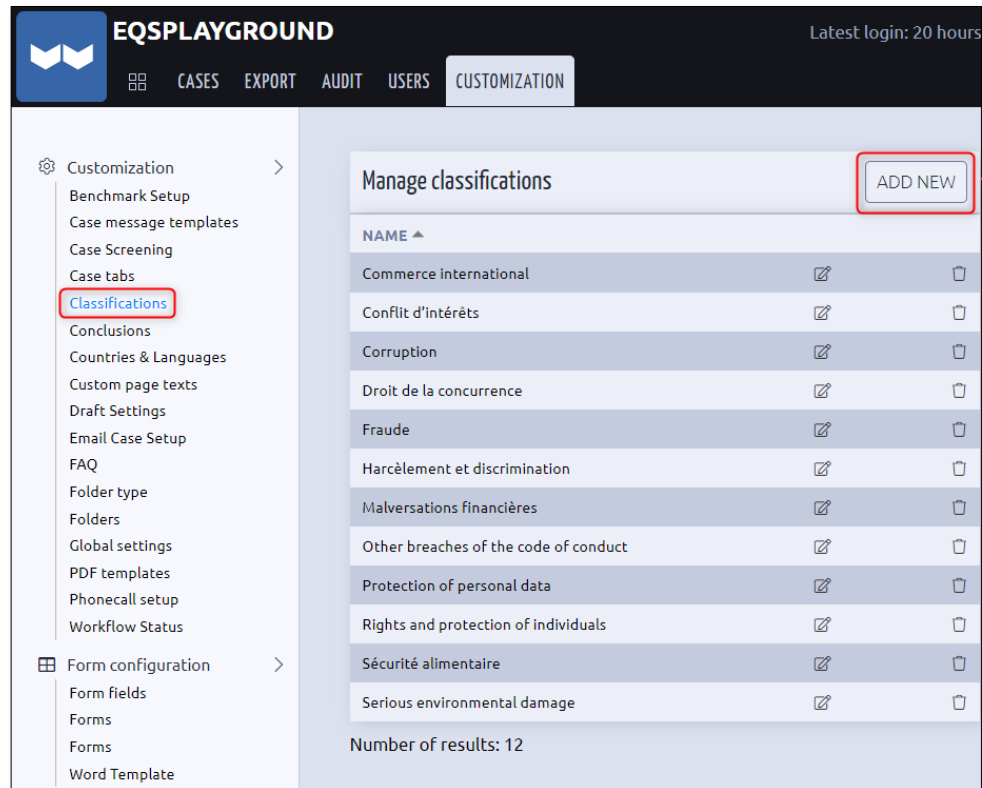
Customization: Case Tabs (2)



5. The newly created Case Tab is visible in Case Management
6. Click on 'Test A'. The selected Case Tab field is displayed

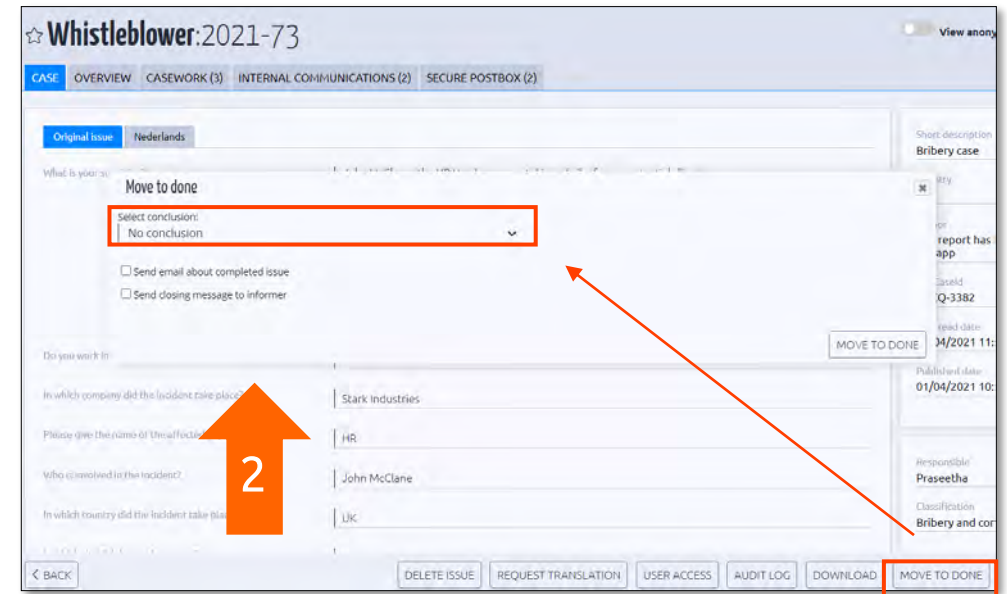
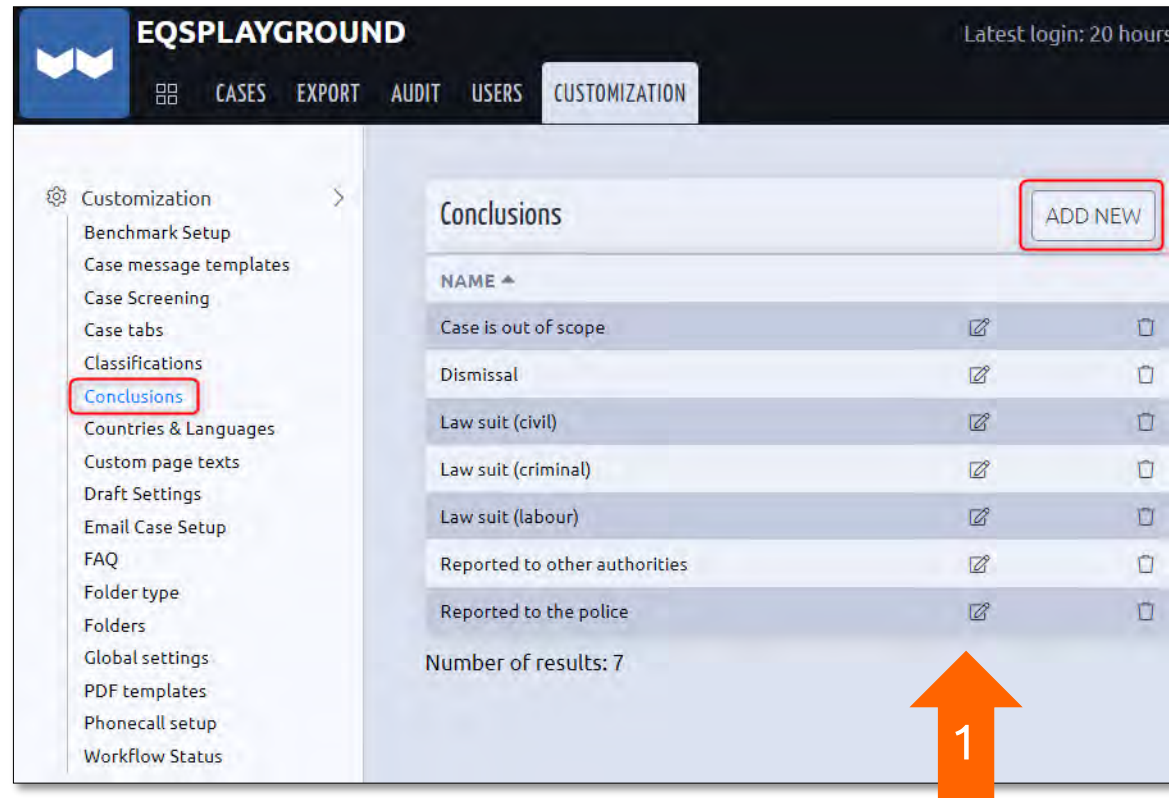


Customization: Classifications



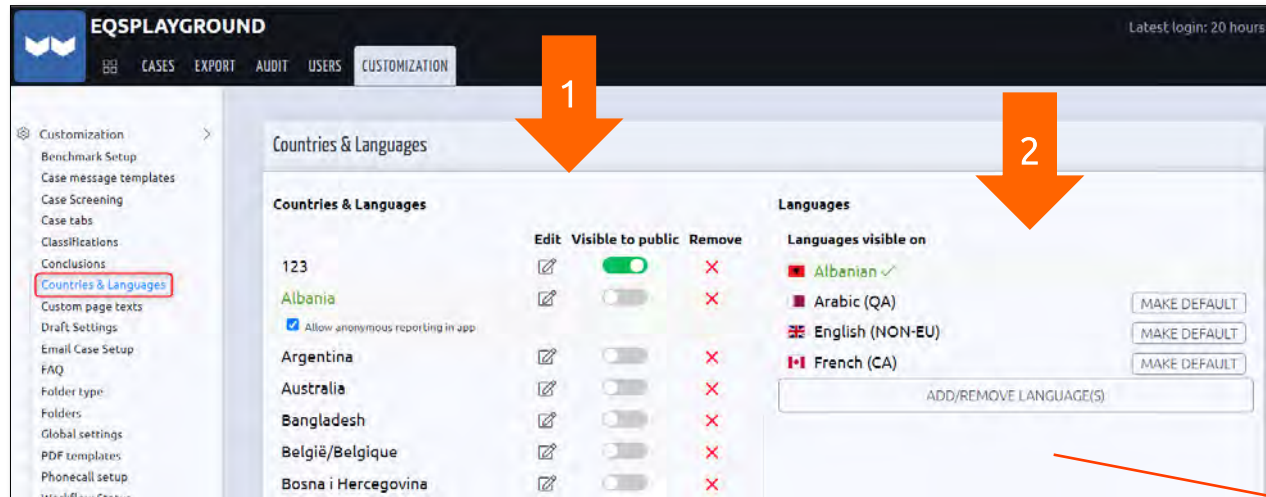
1. The Admin user can Add/Edit/Delete different classifications relating to the type of the reports
2. The classifications will then be available for the case managers to be used in the 'Classification' section in the side bar of a case

Customization: Conclusions



1. The Admin user can add/edit/delete the Conclusions that will then be available in the “Move To Done” segment on the Case Management System
2. “Conclusions” are used to organize information and refer to the result of the investigation process based on a standardized catalogue

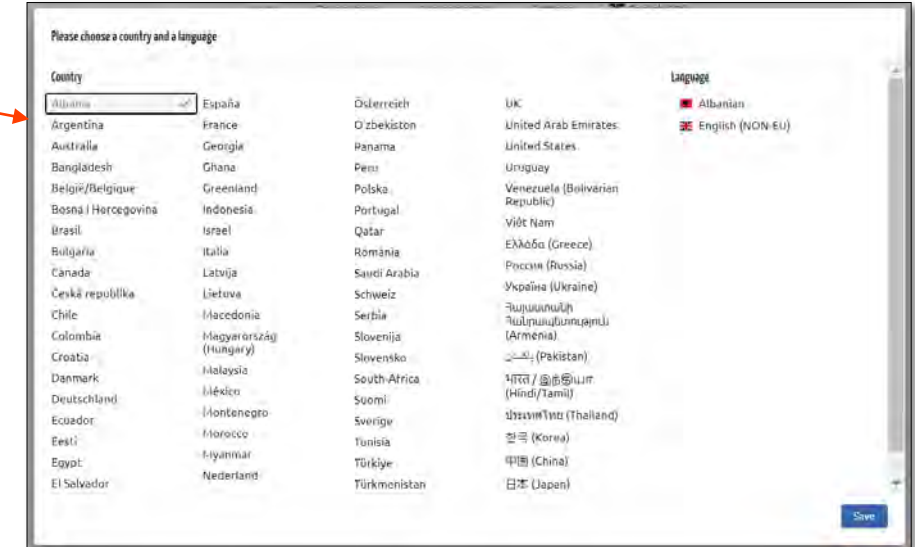
Customization: Countries & Languages



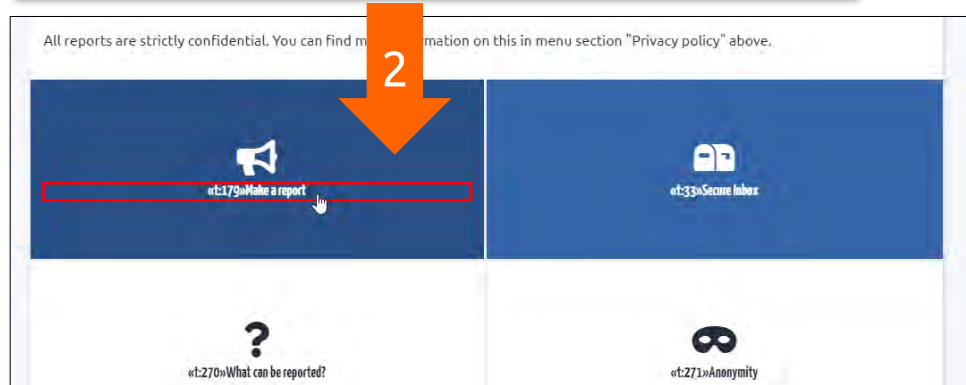
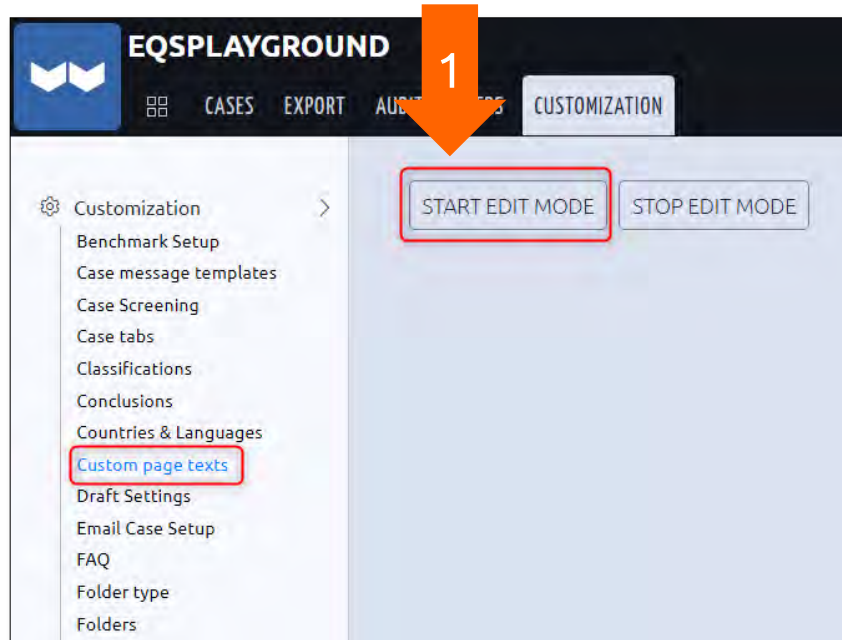
1. The page displays a list of already active countries and languages and whether they are visible to the reporter on the frontend
2. “Languages” lets you select what languages to make available to the reporter

The following actions are available:

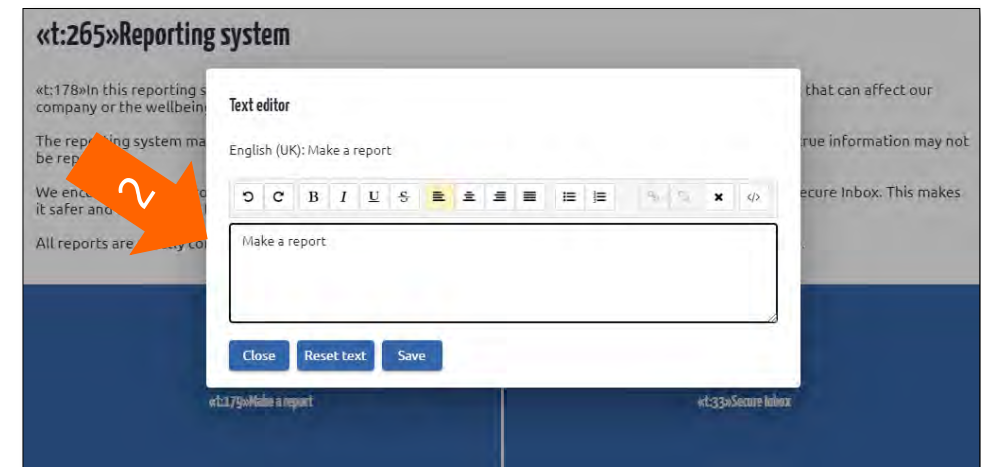
- “Edit” lets you edit the country name and pop-up texts
- “Visible to public” lets you decide whether the country will be visible to the reporter on the reporting portal
- Click “Remove” to delete a country
- Click “Add new country” below the country list to add a new country
- Click “Add/remove languages” to customize which languages will be available to the reporter for any country



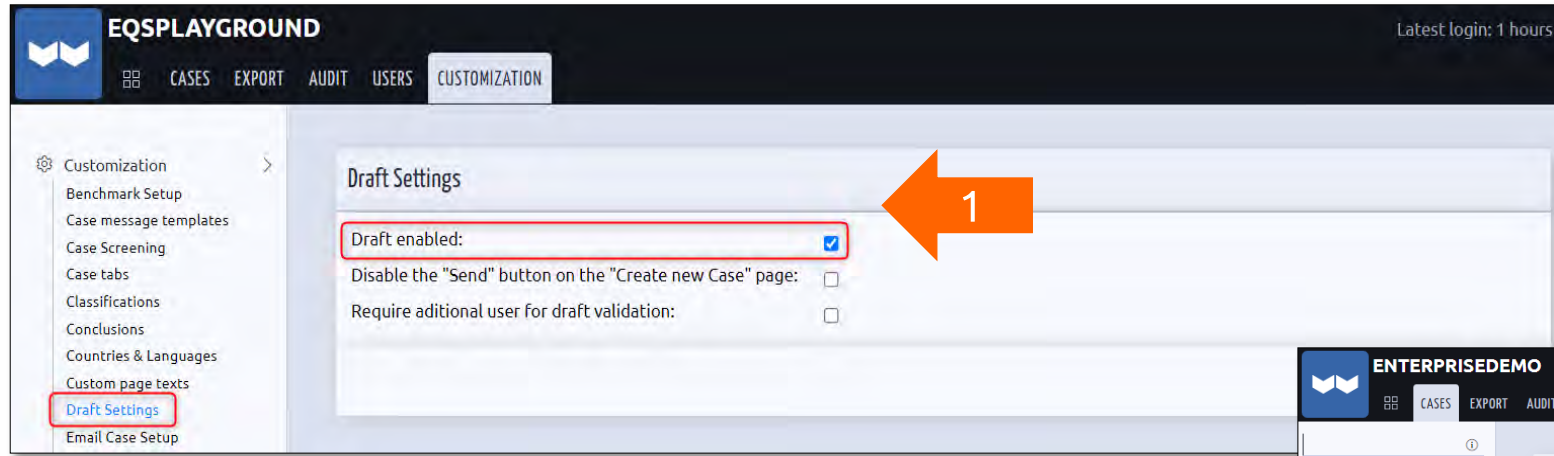
Customization: Custom Page Texts



1. The custom page texts list contains a list of all the system texts. Select what language to show in the custom page texts list using the dropdown list at the top of the page.
2. Clicking on "Start Edit Mode" takes you to the reporting channel where it is possible to navigate through all pages and edit any text by right-clicking it.

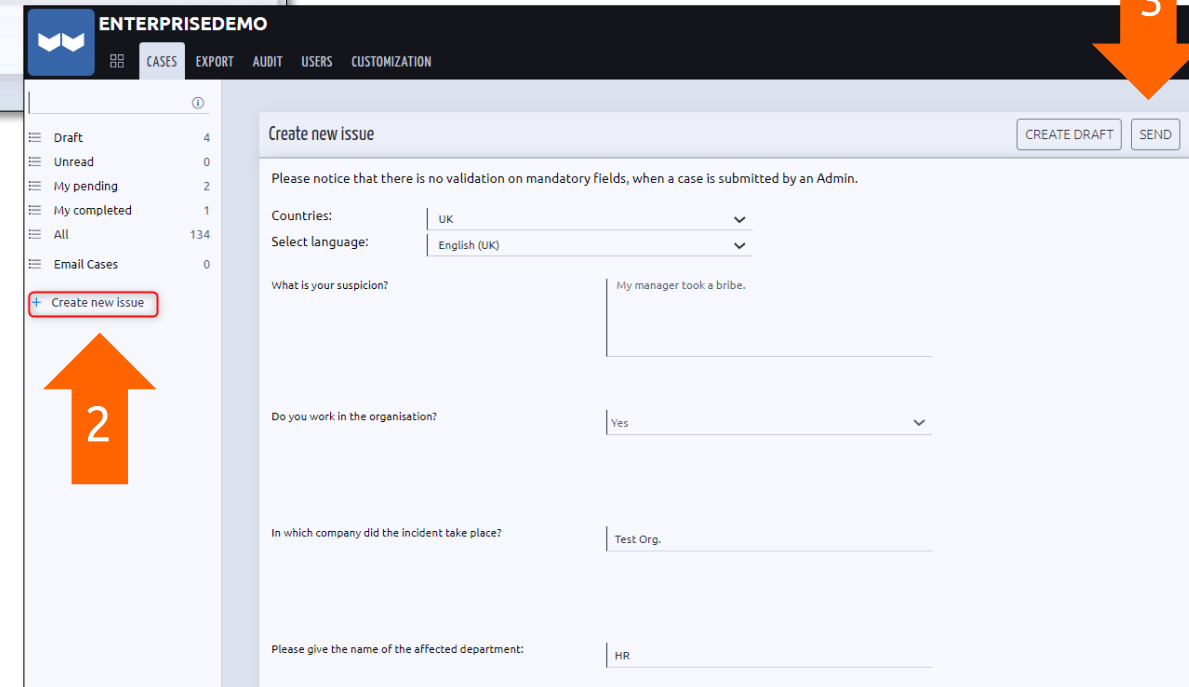


Customization: Draft Settings(1)



- The Draft feature:
 - Enables a correspondence through the Secure Inbox for a manual case
 - Allows the case manager to create drafts of the cases before it is finalized

1. If Draft is enabled in the system, Case Managers have an option to create new manual reports. If a case has been created through the draft-feature, it means that the Case has not been finalized yet and can still be edited
2. Clicking on 'Create new Issue' on the Cases tab shows the draft feature if it was enabled on the platform
3. Clicking on 'Send' directly creates a case without the option to choose a correspondence



Customization: Draft Settings (2)

☆ Compliance Case:2021-93

DRAFT

WORKFLOW STATUS: FINALIZE DRAFT SAVE DRAFT CHANGES

What is this?

The Case has been created through the draft-feature. This means that this Case has not been finalized yet, and it can still be changed before you finalize it. You can also enable correspondence for the reporter, which means that they can log in and follow the case even after it has been finalized here. Should you choose to enable a correspondence for the case, you are given a Case ID and one-time password. Both should be given to the reporter. The first time the reporter signs in, they will be asked to create a permanent pin code.

Correspondence not enabled - click button below to enable it

Created by admin user
Praseetha
(praseetha.thamarasseril@eqs.com)

ENABLE CORRESPONDENCE

What is your suspicion? My manager took a bribe.

Change log

1. The Case Manager can also enable correspondence (create a secure post box) for the reporter to establish a secure channel between the reporter and the case manager for anonymous communication by a reporter

2. If correspondence has been enabled for a case, the case manager is given a Case ID and one-time password. Both should be given to the reporter. The first time the reporter signs in, they will be asked to change their password.

☆ Compliance Case:2021-93

DRAFT

WORKFLOW STATUS: FINALIZE DRAFT SAVE DRAFT CHANGES

What is this?

The Case has been created through the draft-feature. This means that this Case has not been finalized yet, and it can still be changed before you finalize it. You can also enable correspondence for the reporter, which means that they can log in and follow the case even after it has been finalized here. Should you choose to enable a correspondence for the case, you are given a Case ID and one-time password. Both should be given to the reporter. The first time the reporter signs in, they will be asked to create a permanent pin code.

ENABLE CORRESPONDENCE

WB Caseld
W8CY-CFC9
One time password
W8CY-CFC9-372553

Created by admin user
Praseetha
(praseetha.thamarasseril@eqs.com)

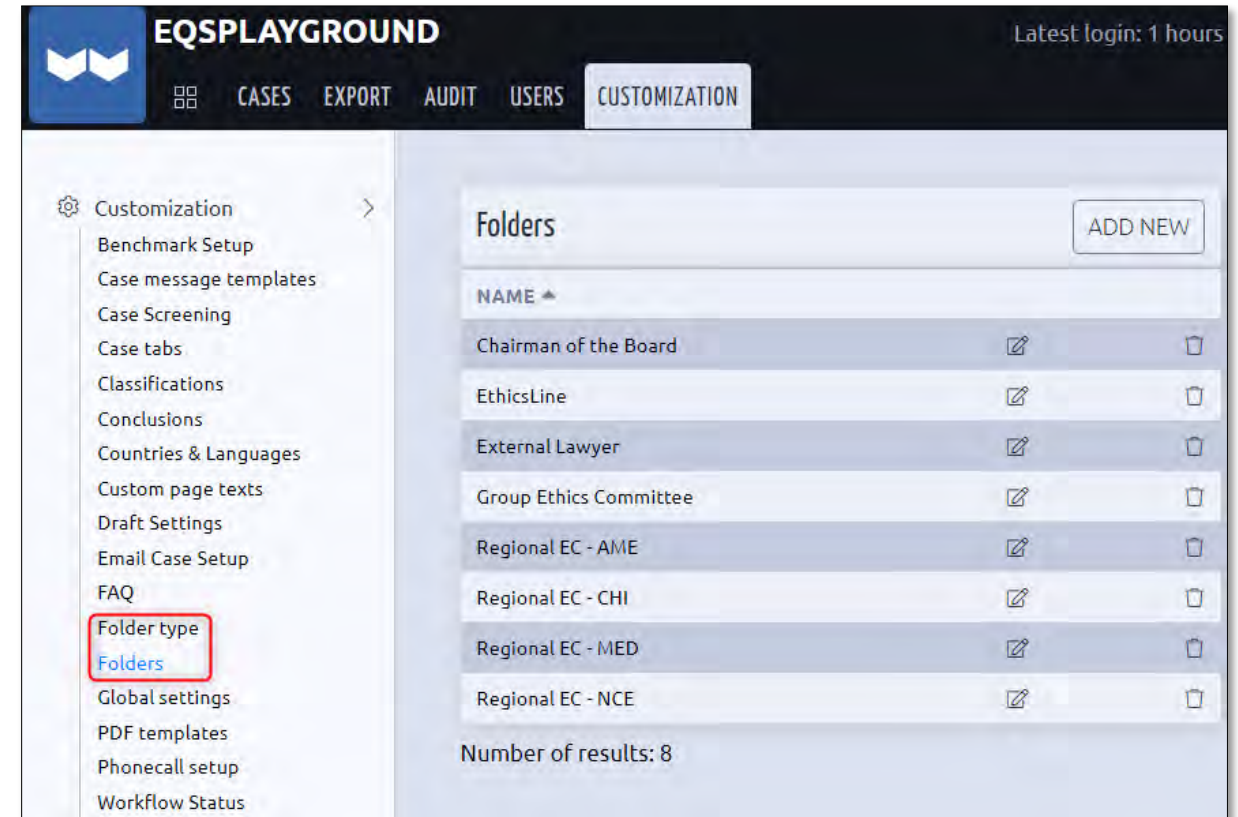
Customization: Email Case Setup

The screenshot shows the 'EQSPLAYGROUND' interface with a navigation menu on the left and a main content area. The 'CUSTOMIZATION' tab is selected in the top navigation bar. In the left sidebar, 'Email Case Setup' is highlighted under the 'Customization' section. The main content area displays the 'Add new Email Case Setup' form. The form includes a header instruction: 'To set up an email address that a reporter can write an email to, you must fill out all the following fields.' The form fields are: 'Email address:' with a dropdown menu showing '@ No email domains have been set up'; 'Language:' with a dropdown menu showing 'Portugese (BR)'; 'Country:' with a dropdown menu showing '123'; 'Choose the form the message will be assigned to:' with a dropdown menu showing 'No email forms have been set up for this country'; 'Auto confirm Cases (NOTE - REPORTER WILL NOT BE ABLE TO FOLLOW CASE IF THIS OPTION IS CHECKED) ?' with an unchecked checkbox labeled 'Auto confirm'; and 'Confirmation email subject:' with a text input field containing '***** PLEASE CHANGE THIS TEXT *****'. A blue box highlights the instruction text at the top of the form.

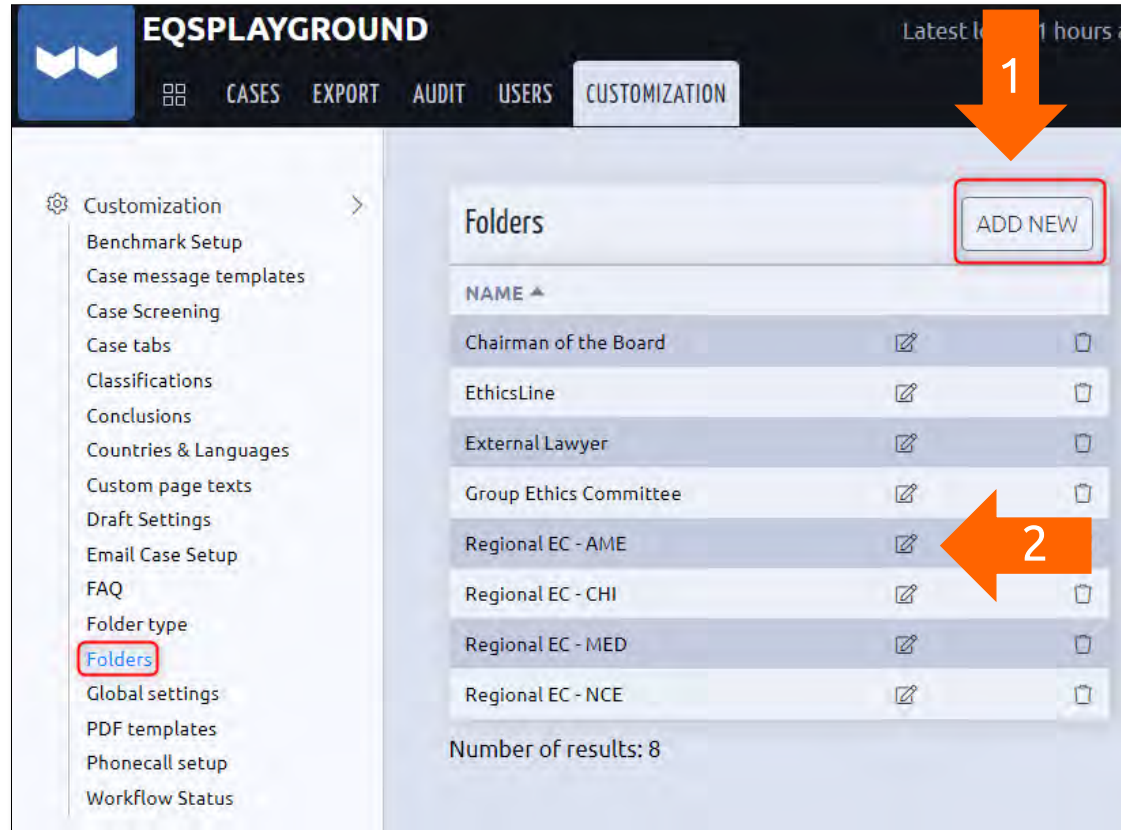
- 'Email Case Setup' feature allows the Admin users to setup an email address to which the reporter can write emails to
- Customized email templates can be setup for each country/language
- As soon as an incident is sent to the specific email ID, an automatic reply will be generated to the reporter including instruction on how to set up the secure inbox

Customization: Folder Type & Folders

- Folder Type is the Parent folder to which subsequent folders can be assigned
- The primary functionality of folders is to control access to cases. It can be set up in numerous ways. What determines the folder setup is the way you as a company process cases in the system
- You cannot delete a folder that is in use. That means that if a case has been assigned to a folder, then that folder cannot be deleted in the system and if an admin-user has access to a folder, the same applies. Then you must either change the name of the folder instead of deleting it or remove the access to the folder for all users and remove access to it from all cases before deleting it



Customization: Folders

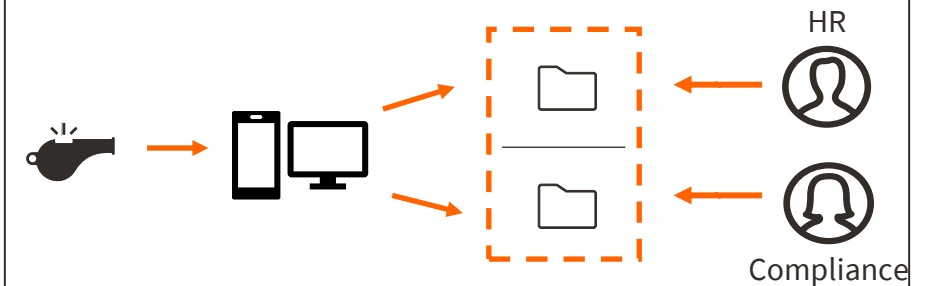


1. New folders can be created by clicking on “Add New” which will then be available in the Case Management
2. Existing Folders can be edited or deleted

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.

Customization: Global Settings

The screenshot shows the EQSPLOYGROUND application interface. The top navigation bar includes 'CASES', 'EXPORT', 'AUDIT', 'USERS', and 'CUSTOMIZATION'. The left sidebar lists various customization options, with 'Global settings' highlighted. The main content area is titled 'Global settings' and contains the following configuration options:

Setting	Value
Site name:	eqsplayground
Email portal name:	EQS Group
Admin language (your local profile settings overwrites this):	English
App public language (before country/language is selected):	English
Instant commit:	<input checked="" type="checkbox"/>
Require 2 users to delete a case:	<input type="checkbox"/>
Require 2 users to create a user	<input type="checkbox"/>
Mark reports after (leave empty to disable)	100 days
Prevent downloading original files	<input type="checkbox"/>
Enable 'Read More' link on frontpage	<input type="checkbox"/>
Mark audit log after (leave empty to disable)	100 days
Alert EQS Group AG, if a case has not been read after 24-48 hours	<input checked="" type="checkbox"/>
Case numbering type	Year Case number
Hide from search engines	<input checked="" type="checkbox"/>

- Global Settings helps in customizing the rules for the Reporting Page and the Case Management such as requiring 2 users to delete or create an issue, prevent downloading files, enable/disable the reporter following the case etc.

Global Settings (1)

Global settings

Site name:

EQS Integrity Line

Email portal name:

EQS Integrity Line

Admin language:

English

App public language (before country/language is selected):

English

Instant commit:

☒

Require 2 users to delete a case:

☐

Require 2 users to create a user

☐

Mark reports after (leave empty to disable)

100

days

Prevent downloading original files

☐

Enable 'Read More' link on frontpage

☐

Mark audit log after (leave empty to disable)

100

days

Alert EQS Group AG, if a case has not been read after 24-48 hours

☒

Case numbering type

Year Case number

Return to Dashboard

Draft

Inroad

My pending

My completed

All

Create new issue

Data export

Site configuration

Form configuration

User administration

Security settings

Audit

Overline applications

Document library

Account Management

Audit log

IssueId

Logged in

Affected user

Audit type

CREATED DATE	ISSUE	LOGGED IN	AFFECTED USER	AUDIT TYPE
18/01/2021 14:46:46		Test Testerson		IssueTransf...
18/01/2021 14:46:35		Test Testerson		IssueClon...
18/01/2021 14:46:33		Test Testerson		IssueClon...
18/01/2021 14:44:54	2020-1	Test Testerson		Viewcase
18/01/2021 14:44:53		Test Testerson		Changeform...
18/01/2021 14:43:59	2020-1	Test Testerson		Download...
18/01/2021 14:41:33	2020-1	Test Testerson		SetWebdis...
18/01/2021 14:41:29	2020-1	Test Testerson		Viewcase
18/01/2021 14:41:12	2020-1	Test Testerson		Download...
18/01/2021 14:37:49		Test Testerson		LoginUserG...
18/01/2021 14:36:55		Test Testerson		LoginUserG...
18/01/2021 14:30:14		Test Testerson		DefaultLang...
18/01/2021 14:22:13		Test Testerson		DataRepro...
18/01/2021 14:20:13		Test Testerson		IssuePage...
18/01/2021 14:18:43		Test Testerson	Test Testerson	LoginUser
18/01/2021 14:14:22		Test Testerson		DraftSetting...
18/01/2021 14:03:49		Test Testerson		Login
18/01/2021 14:03:48		Test Testerson	Test Testerson	LoginUserLog...
08/12/2020 13:58:24	2020-07	Test Testerson		Viewcase
08/12/2020 13:53:47	2020-01	Test Testerson		Viewcase
08/12/2020 13:53:00	2020-01	Test Testerson		Viewcase
08/12/2020 13:53:00	2020-01	Test Testerson		Viewcase
08/12/2020 13:53:00	2020-01	Test Testerson		Viewcase
08/12/2020 13:53:00	2020-01	Test Testerson		Viewcase
08/12/2020 13:53:00	2020-01	Test Testerson		Viewcase
08/12/2020 13:53:00	2020-01	Test Testerson		Viewcase

Page 32 of 60

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- The Case Managers can choose the time frame within which the reports or audit logs will be marked
- In this case, since 100 days is chosen under the audit log selection, all audit log entries that have exceeded 100 days are highlighted in red

Global Settings (2)

Global settings

Site name:	EQS Integrity Line
Email portal name:	EQS Integrity Line
Admin language:	English
App public language (before country/language is selected):	English
Instant commit:	<input checked="" type="checkbox"/>
Require 2 users to delete a case:	<input type="checkbox"/>
Require 2 users to create a user	<input type="checkbox"/>
Mark reports after (leave empty to disable)	100 days
Prevent downloading original files	<input type="checkbox"/>
Enable 'Read More' link on frontpage	<input type="checkbox"/>
Mark audit log after (leave empty to disable)	100 days
Alert EQS Group AG, if a case has not been read after 24-48 hours	<input checked="" type="checkbox"/>
Case numbering type	Year Case number

Message from the EQS Integrity Line portal regarding the Case with Case ID: 2021-120

a case has been requested deleted. Please log in to complete the deletion.

Case ID:2021-120

Login here:[BLOCKEDadmin-bestpractice\[.integrityline\[.com/admin/Login/Login\[.aspx?ReturnUrl=L0FkbWluL0lzc3VlVmld2VyL0VkaXQuYXNweD9JZD0xMDE3Ng%3d%3dBLOCKED](#)

Please give the name of the affected department.

Who is involved in the incident?

In which country did the incident take place?

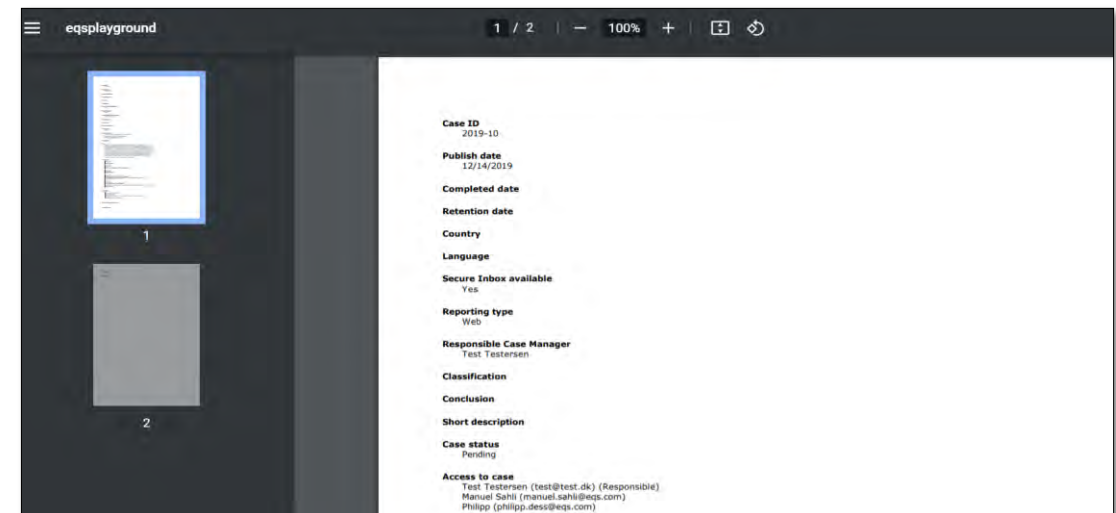
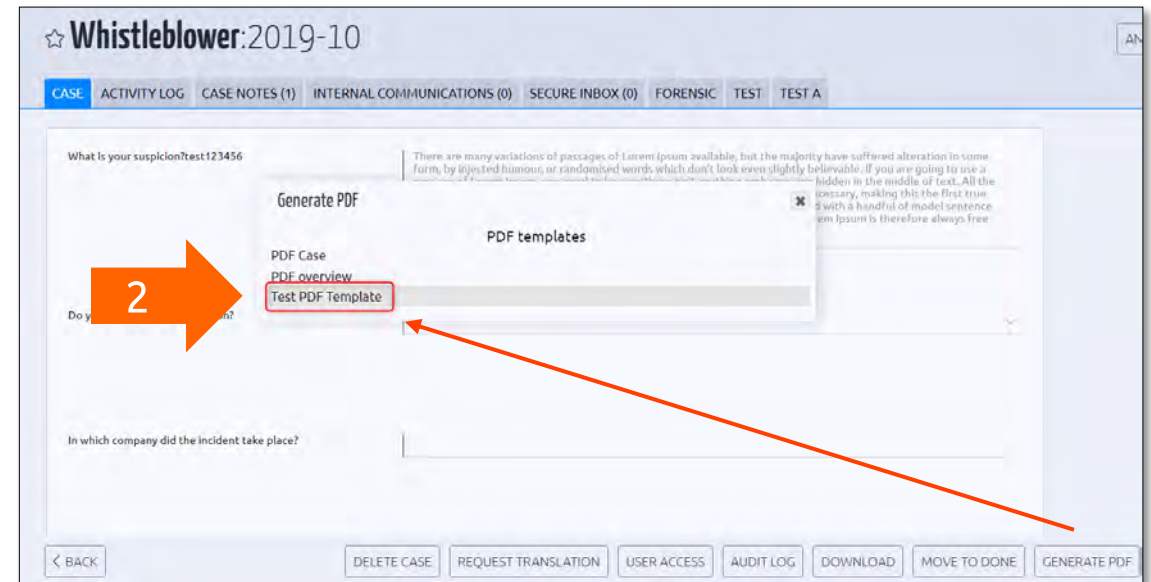
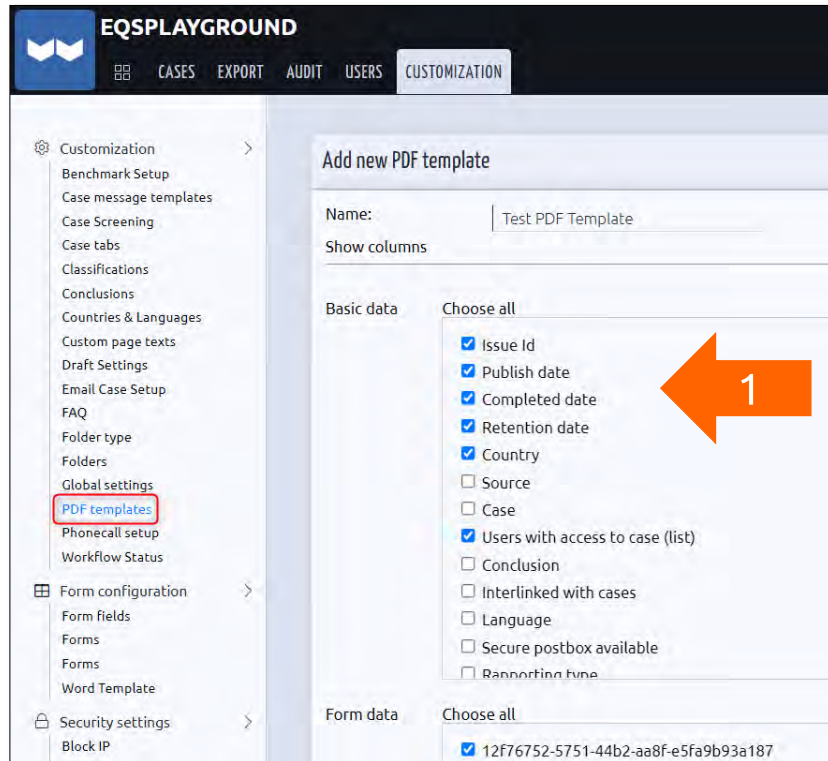
In which city did the incident occur?

Contact information

< BACK Delete Case requested by Praseetha (praseetha.thamarasseril@eqs.com) DELETE ISSUE REQUEST TRANSLATION

- **2 users to delete a case :**
 1. When the Case Manager wants to delete a case, the second level request is sent to all Case Managers via email
 2. The second Case Manager has to click on "Delete Issue" to confirm deletion of the case
- **2 users to create a user :** This request enables the need of 2 Admin users to approve a new user creation request

Customization: PDF Templates

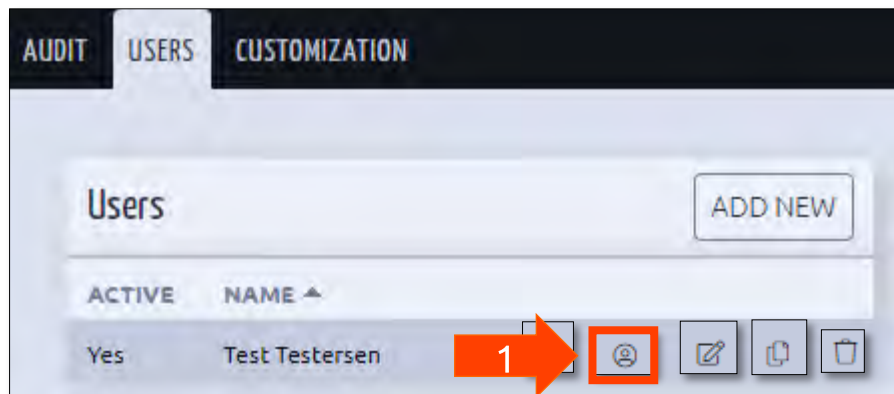


1. PDF Templates can be customized to generate PDF reports from the Case Management page. Choose the necessary fields that are required to be present on the PDF and provide a name to the template
2. The new template is displayed under 'Generate PDF' in the Case Management page

Reminders & Alerts

The 'Reminders & Alerts' feature allows setting up email reminders for cases. Email reminders can be triggered any defined number of days after a case has been created. To make the module available on your system, permissions need to be assigned to any user allowed to configure the reminders.

1. In 'Users', click on 'Access' for a specific Case Manager
2. Ensure that the Case Manager is provided 'Read + Write access' to 'Reminders and Alerts (Customization)'



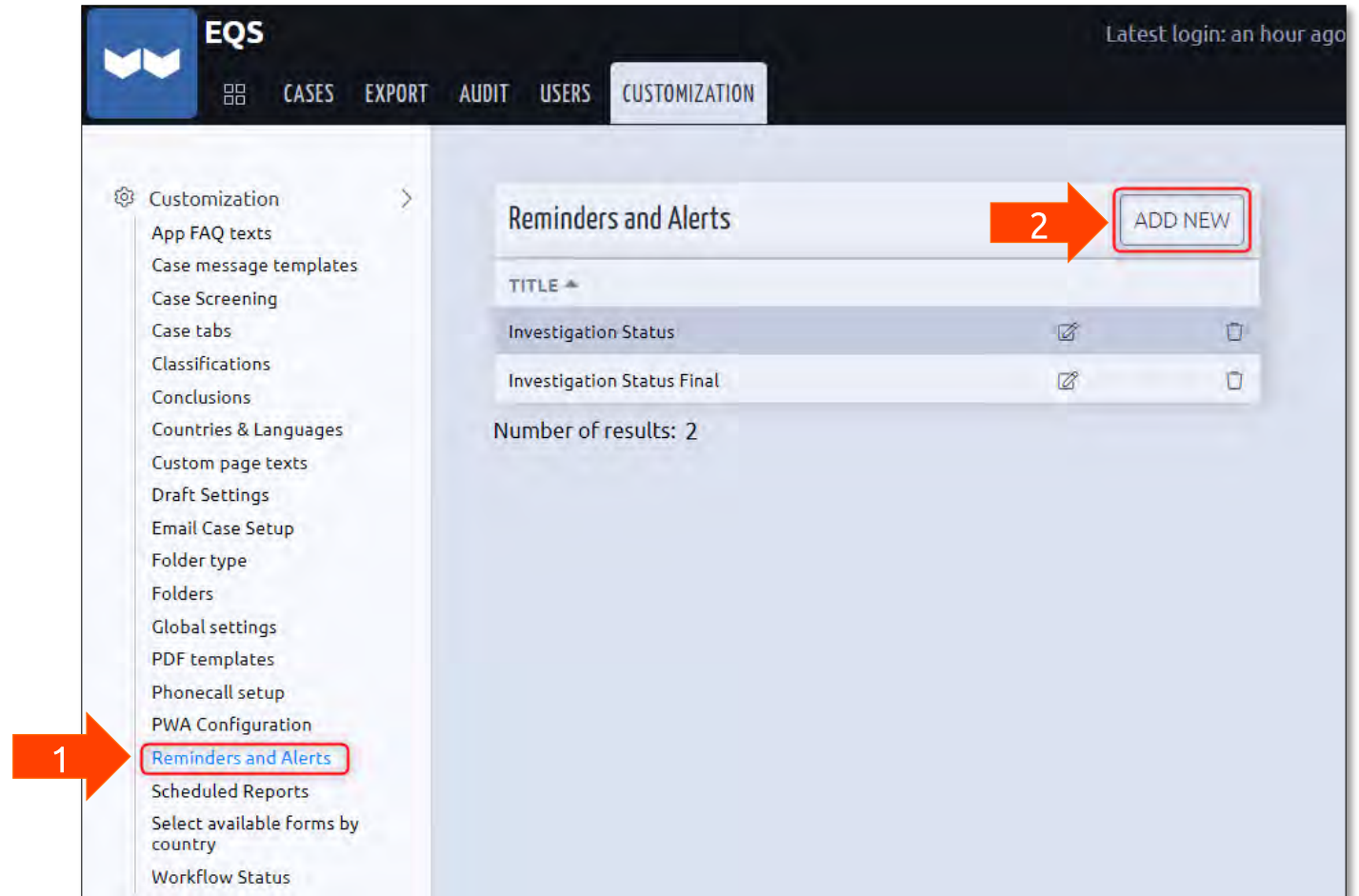
Page access for Test Testersen		
Page name	No access	Read+write access
	Choose all	Choose all
Audit log (Audit)	<input type="radio"/>	<input checked="" type="radio"/>
Cases	<input type="radio"/>	<input checked="" type="radio"/>
Change password queue (User administration)	<input type="radio"/>	<input checked="" type="radio"/>
Classifications (Customization)	<input type="radio"/>	<input checked="" type="radio"/>
Conclusions (Customization)	<input type="radio"/>	<input checked="" type="radio"/>
Countries & Languages (Customization)	<input type="radio"/>	<input checked="" type="radio"/>
Create new case	<input type="radio"/>	<input checked="" type="radio"/>
Page access	<input type="radio"/>	<input checked="" type="radio"/>
Password settings (Security settings)	<input type="radio"/>	<input checked="" type="radio"/>
Public access (Security settings)	<input type="radio"/>	<input checked="" type="radio"/>
PWA Configuration (Customization)	<input type="radio"/>	<input checked="" type="radio"/>
Reminders and Alerts (Customization)	<input checked="" type="radio"/>	<input type="radio"/>
Users (User administration)	<input type="radio"/>	<input checked="" type="radio"/>

i You might see slightly different user rights from those displayed here

Create a new Reminder

1. Under the 'Customization' tab, click on 'Reminders and Alerts'
2. Click on 'Add New' to create a new Reminder
3. Configure your customized reminder (details on next slide)

① Repeat the same process to create multiple reminders. While there is no limit on how many reminders can be active at the same time, make sure not to create too many reminders for all case managers.



Configure Reminder and Alerts

The screenshot shows the EQS Customization interface. The sidebar on the left lists various customization options, with 'Reminders and Alerts' highlighted. The main form, titled 'Add new Reminders and Alerts', contains the following fields:

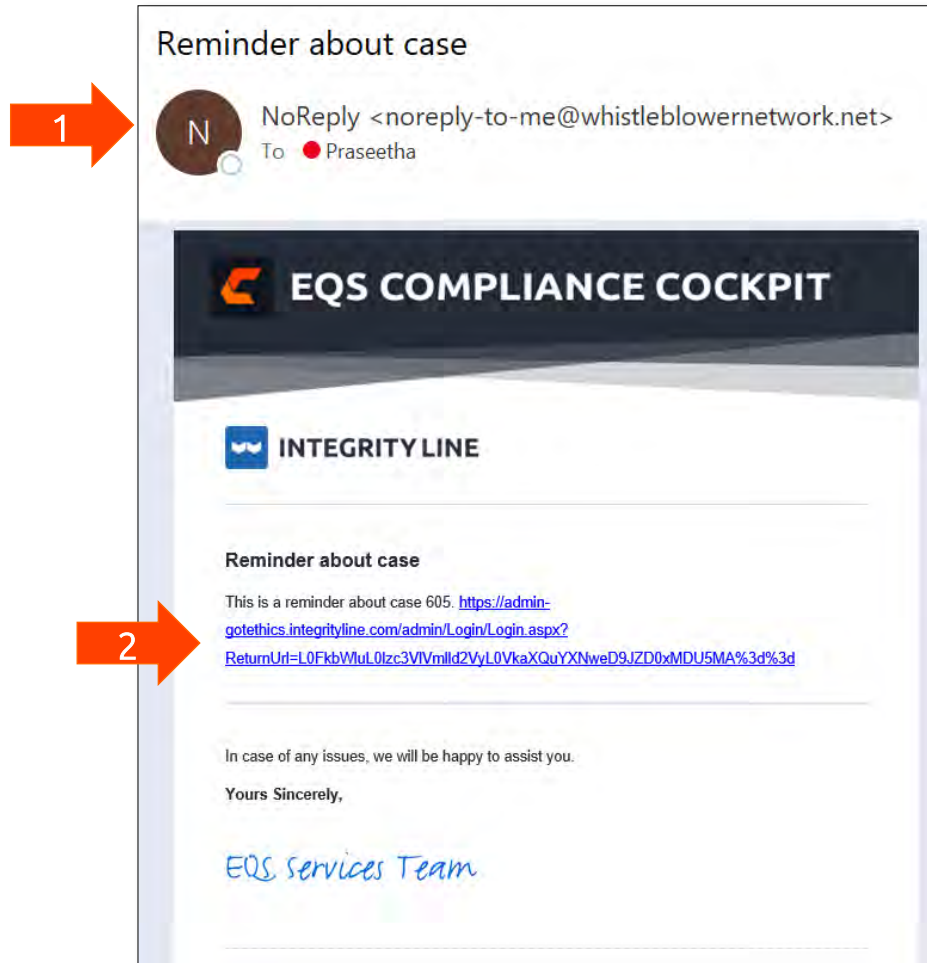
- Reminder name:** A text field containing 'Investigation Status'.
- Email recipients:** Two checkboxes, 'Assigned case managers' and 'All case managers', both of which are checked.
- Custom email recipients:** A text area containing two email addresses: 'praseetha...@com' and 'pt@gmail.com'.
- Reminder criteria:** A text field containing '5' followed by 'Days after a case has been created'.
- Subject:** A text field containing 'Reminder about case'.
- Message:** A text area containing 'This is a reminder about case [CaseNumber]. [LinkToIssue]'.

At the bottom of the form are two buttons: '< BACK' and 'SAVE'.

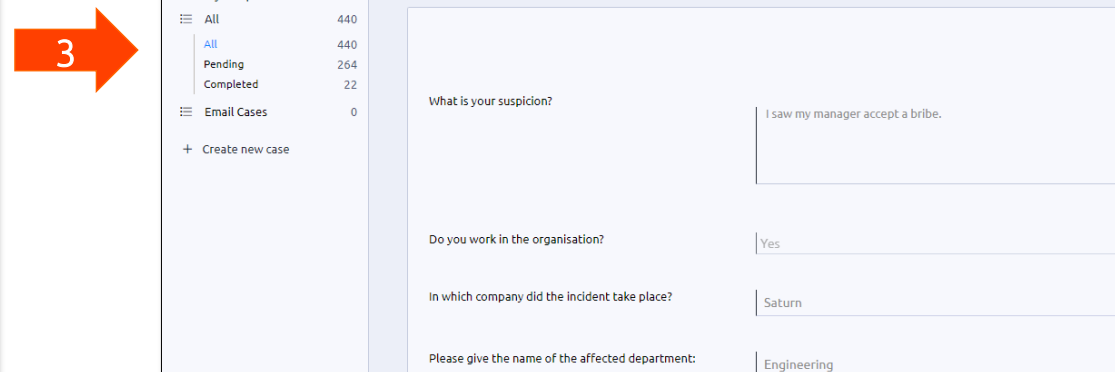
Details that need to be configured:

1. Reminder name
2. Email recipients
 - a. Assigned/responsible case managers: If no responsible case manager is defined, this criteria will send reminders to all case managers with access to the case.
 - b. All case managers with access to the case
 - c. Custom email recipients
3. Reminder criteria: configure how many days after a case was created the reminder will be triggered. In this case, the reminder for the case is sent once the case is 5 days old. The age of a case is checked everyday at midnight and the reminder delivered shortly after.
4. Subject of the email
5. Content of the email

Email Reminder Received by Case Managers



1. Recipients receive the email reminder 5 days after the case was created
2. While subject, recipients and email content can be defined freely, the design and sender email address cannot be changed
3. Recipients can click on the link to view the case in the case management



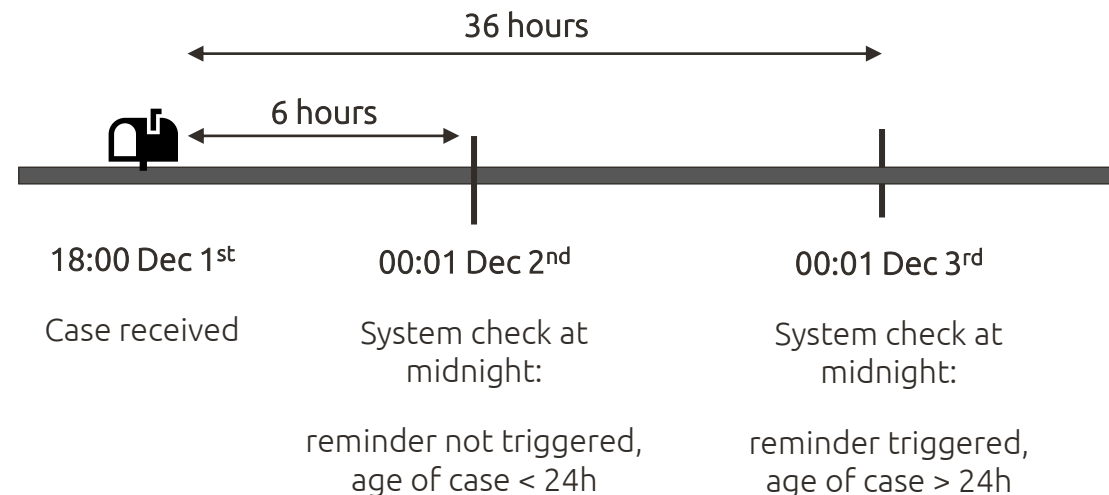
Notes and Recommendations

While you can freely decide how to configure reminders and how many to use, this module was created specifically to make it easier to comply with some requirements of the EU directive. Therefore, we recommend to set up at least the following two reminders:

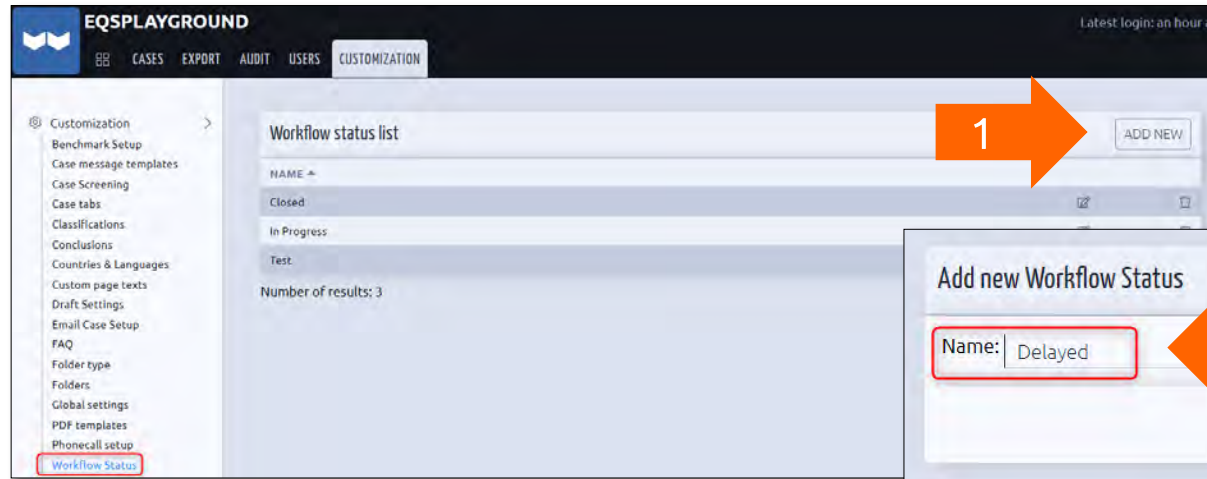
- **After less than 7 days (4 recommended):** to comply with the 7 days timeframe for providing an acknowledgement of the received case to the reporter.
- **After less than 90 days (80 recommended):** to comply with the 90 days timeframe for providing the reporter with the status of the investigation.

Technical note: the system checks for the age of a case every day at midnight CET.

Example of a reminder which was set to be triggered 1 day after a case was created on the right.



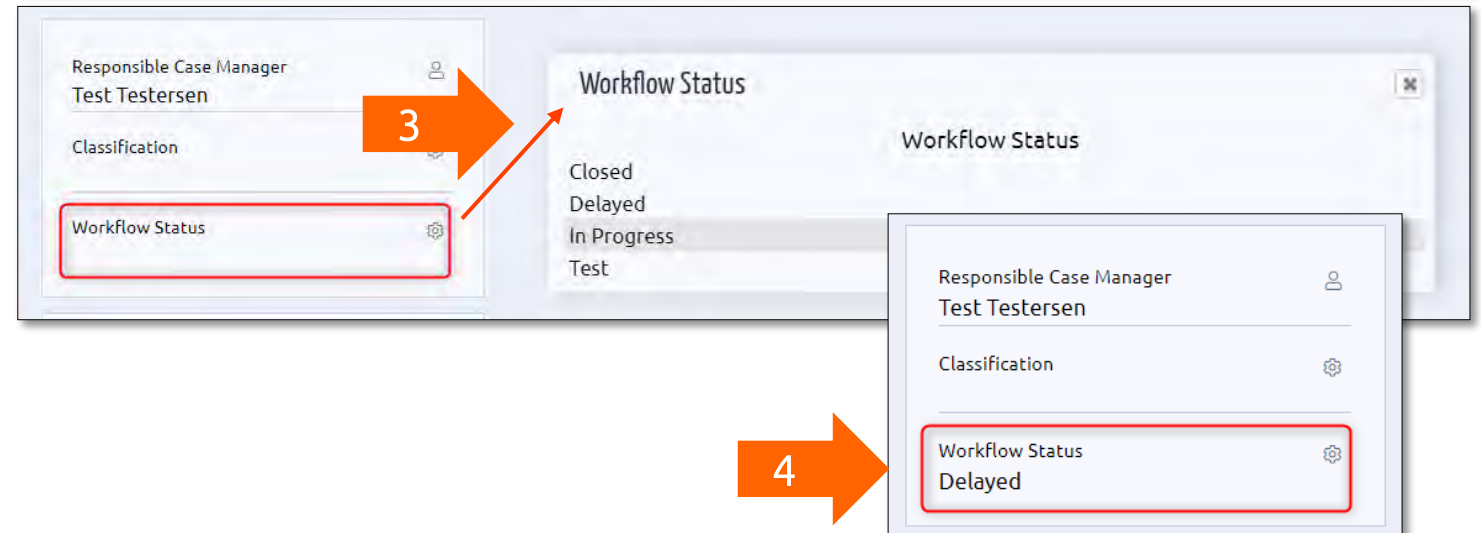
Customization: Workflow Status



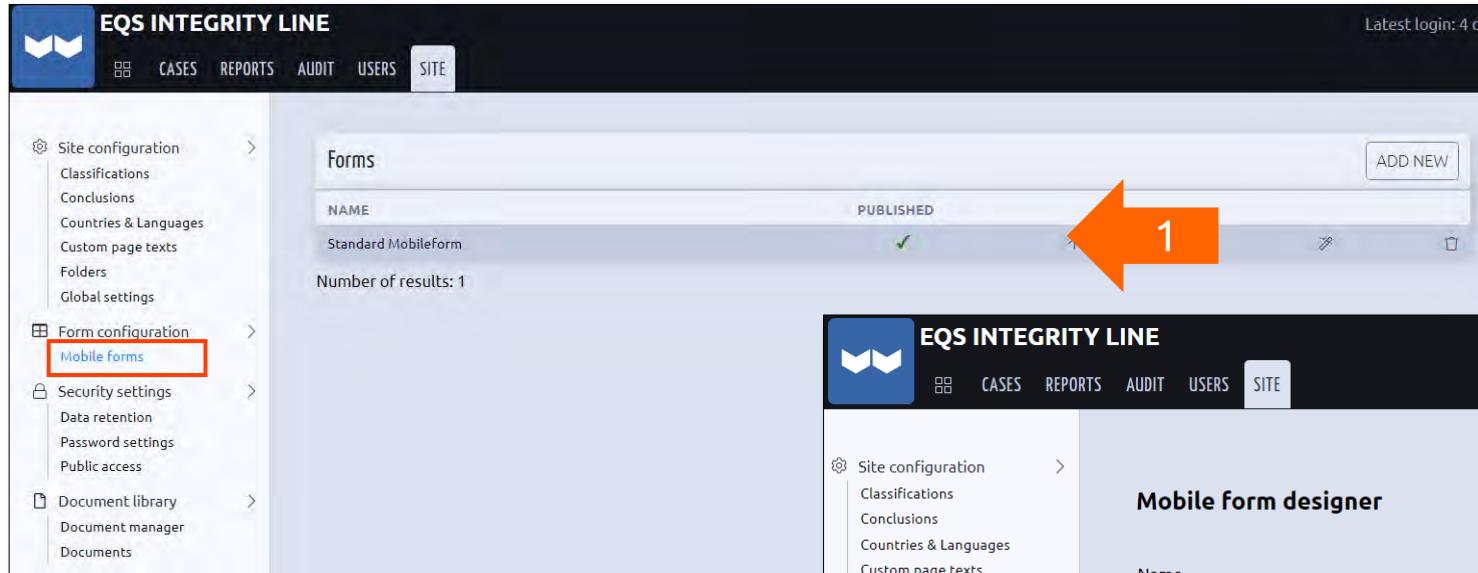
1. Workflow statuses can be created to specify the current status of a case that is being worked upon by a Case Manager. Click on 'Add New' to create a new Workflow status



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'

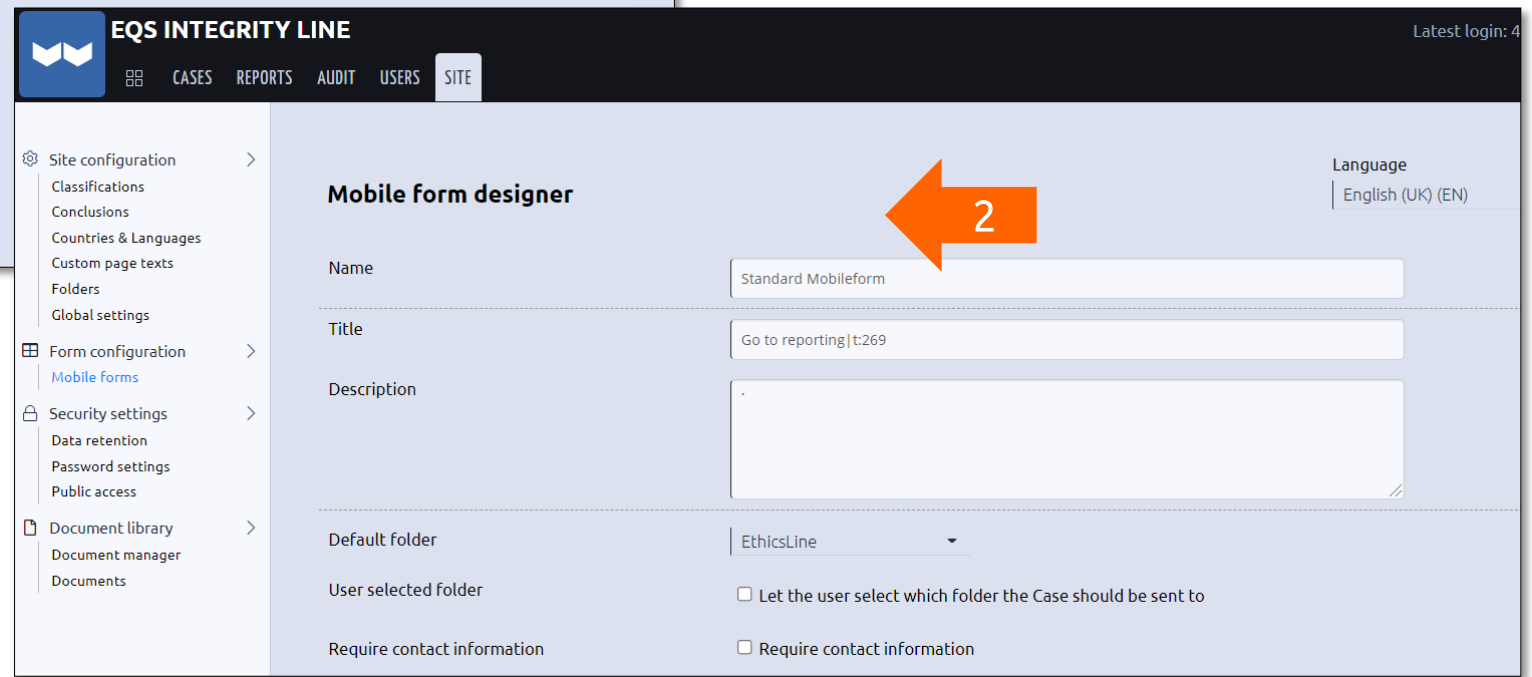


Form Configuration: Forms (1)



1. Mobile Forms help in the creation of the Reporting Page fields and boxes (dropdown, comment box etc.)

2. The Reporting Page can be customized as required through the form designer. New forms can be added, and existing ones can be modified or deleted



Form Configuration : Mobile Forms (2)

Form controls

The controls below will be shown on separate pages in the app when the user clicks on the form. Click on "add new control" to add additional controls to the form.

Control 1:

Label: What is your suspicion?

Control: Control is of type **Multiline textbox**

Unique name: Suspicion

Required: ☒ Required

Control 2:

Label: Do you work in the organisation?

Control: Control is of type **Dropdown list**

Unique name: Organisation

Required: ☐ Required

Add new control

Please select the type of control you want to add:

Control type: **Multiline textbox**

Control type: **Name and Danish Address field**

Control type: **Dropdown list**

Control type: **Datepicker**

The controls below are only meant to be used with the new app, released in October 2019. They should not be added to forms that are to be used in the native apps.

Control type: **Text field**

Control type: **Label (without an input field)**

Control type: **Checkbox**

Control type: **Radio button group**

Control type: **Country picker**

Control type: **Currency picker**

Control type: **Number field**

Control type: **File control**

1. Mobile forms can be created/edited under 'Form controls' .

2. New controls can be added along with selecting the type of control, adding a question, the visibility etc.

3. The final form gets displayed in the Reporting Page after clicking "Save and Publish"

Note: the form will be edited for the selected language only

Security Settings: Whitelist and Block IP Addresses

EQSPLOYGROUND Latest login: 2 hours a

CASES EXPORT AUDIT USERS CUSTOMIZATION

Customization >
Form configuration >
Security settings >
Block IP
Data retention
IP access
OAuth endpoints
Password settings
Public access
Document library >

Add new Access control to Backend

Write the IP address to allow access. IP address is written as x.x.x.x. Input netmask if an IP range needs to be allowed.
For example 87.12.65.1 with netmask 24 allows access to (Backend) admin pages from all IP addresses in the range 87.12.65.1 - 87.12.65.254.
Your current IP is: **49.37.190.214**

IP Range a.b.c.d - a.b.c.d	x.x.x.x - x.x.x.x
Or	
IP address	x.x.x.x
Netmask (optional)	
Note	

< BACK SAVE

EQSPLOYGROUND Latest login: 2 hours a

CASES EXPORT AUDIT USERS CUSTOMIZATION

Customization >
Form configuration >
Security settings >
Block IP
Data retention
IP access
OAuth endpoints
Password settings
Public access
Document library >

Add new Blocked IP

IP address: x.x.x.x

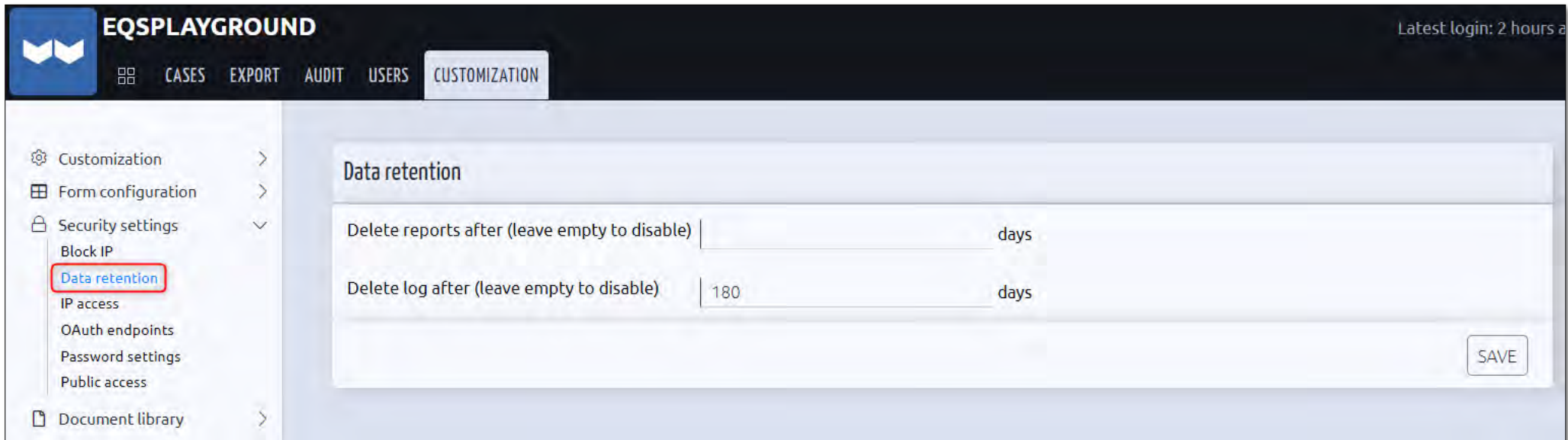
Note:

< BACK SAVE

For additional access control you can whitelist or block certain IP address (ranges)

1. Enter the IP address to allow certain IP addresses to access the system
2. Any specific IP addresses can be blocked by entering the details of the IP along with an addition note in the Block IP page

Security Settings : Data Retention



The screenshot shows the EQSP playground interface. The top navigation bar includes the EQSP logo, a menu icon, and tabs for CASES, EXPORT, AUDIT, USERS, and CUSTOMIZATION. The CUSTOMIZATION tab is active. On the left, a sidebar lists settings: Customization, Form configuration, Security settings (expanded), Block IP, Data retention (highlighted with a red box), IP access, OAuth endpoints, Password settings, Public access, and Document library. The main content area is titled 'Data retention' and contains two input fields: 'Delete reports after (leave empty to disable)' and 'Delete log after (leave empty to disable)'. The second field has the value '180' entered. A 'SAVE' button is located at the bottom right of the form.

EQSP playground

Latest login: 2 hours ago

CASES EXPORT AUDIT USERS CUSTOMIZATION

Customization >

Form configuration >

Security settings >

Block IP

Data retention

IP access

OAuth endpoints

Password settings

Public access

Document library >

Data retention

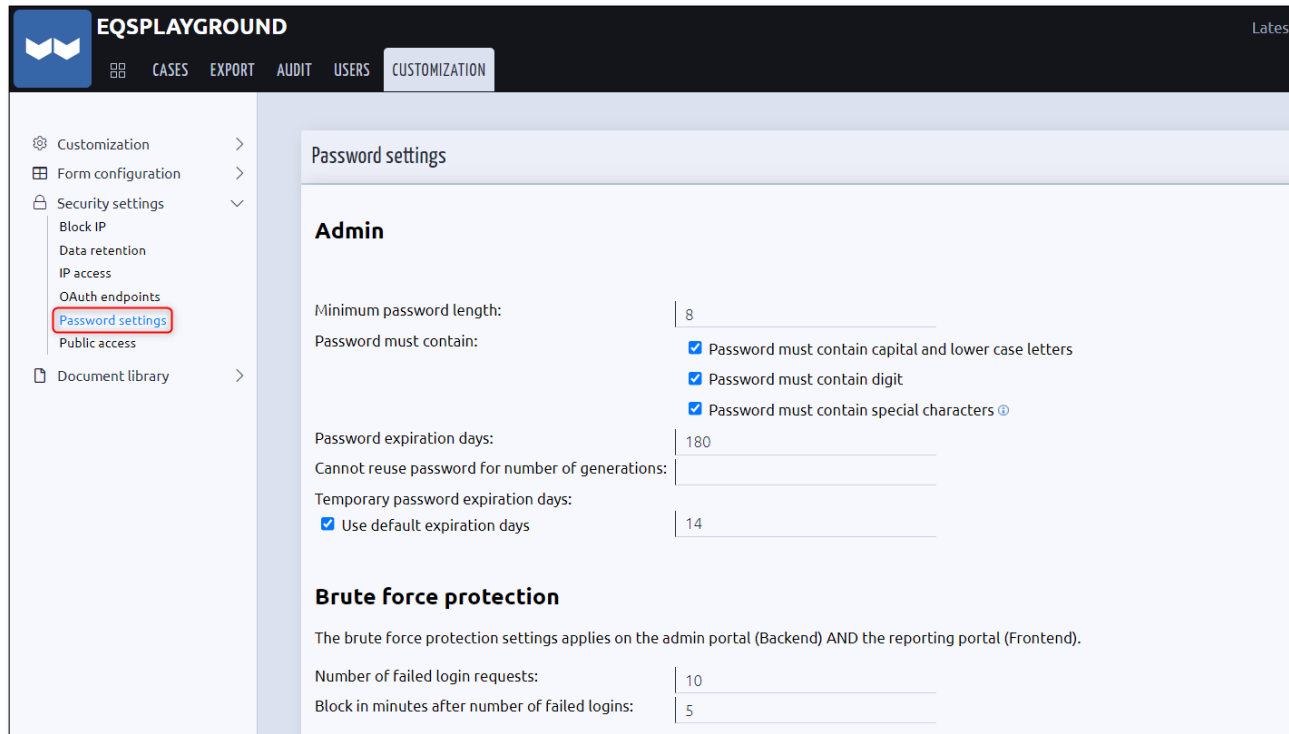
Delete reports after (leave empty to disable) days

Delete log after (leave empty to disable) 180 days

SAVE

- Data Retention section helps in configuring automated deletion of reports if required in accordance with the number of days mentioned
- This is optional - Reports and logs are permanently deleted after the indicated number of days

Security Settings : Password Settings



EQSPAYGROUND Latest

CASES EXPORT AUDIT USERS CUSTOMIZATION

Customization >
Form configuration >
Security settings >
Block IP
Data retention
IP access
OAuth endpoints
Password settings
Public access
Document library >

Password settings

Admin

Minimum password length: 8

Password must contain:

- ☒ Password must contain capital and lower case letters
- ☒ Password must contain digit
- ☒ Password must contain special characters ⓘ

Password expiration days: 180

Cannot reuse password for number of generations:

Temporary password expiration days:

☒ Use default expiration days 14

Brute force protection

The brute force protection settings applies on the admin portal (Backend) AND the reporting portal (Frontend).

Number of failed login requests: 10

Block in minutes after number of failed logins: 5

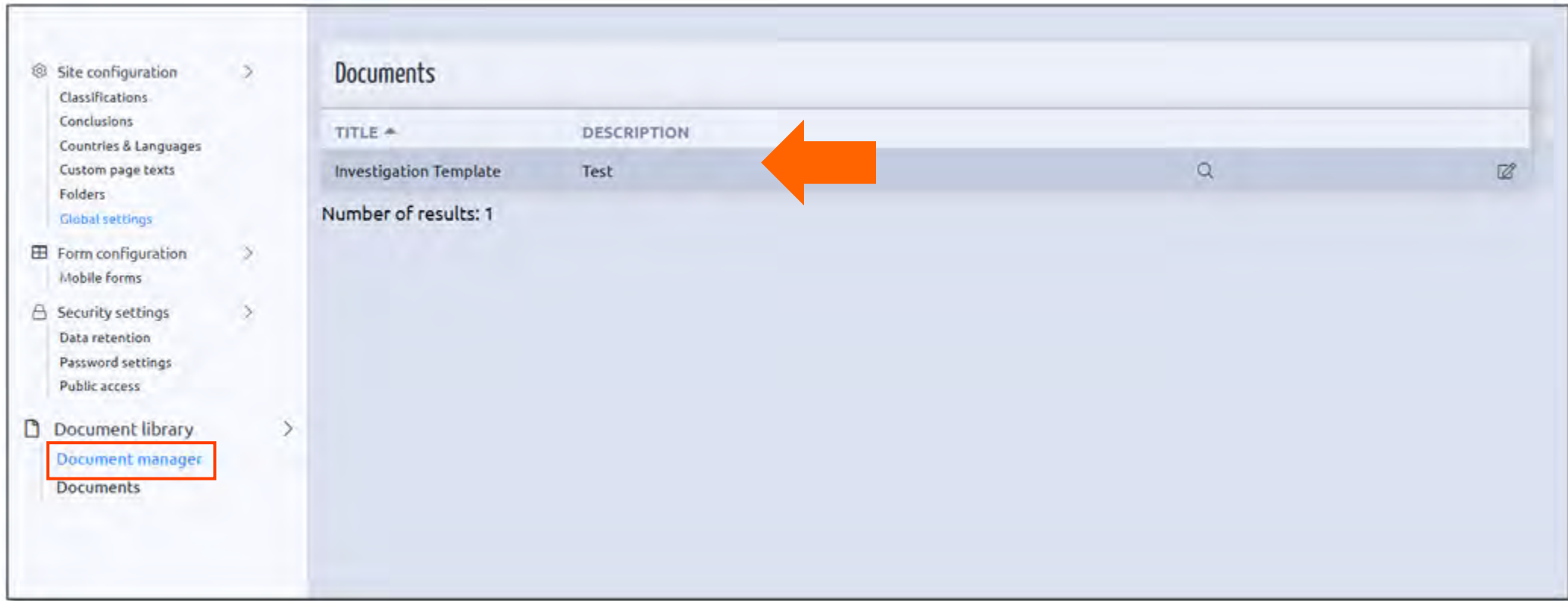
- Here we can define the password requirements to the password complexity :
 - Users logging in to the administrator portal
 - Reporters logging in to their secure inboxThe password complexity requirements will be shown on the reporting form where the reporter is asked to create a password to the secure inbox.
- For the Case Management portal, the following can also be configured:
 - The number of days in which the password will expire, and a password change is required
 - The number of days temporary passwords will be valid

Security Settings : Public Access

The screenshot shows the EQSPLOYGROUND application interface. The top navigation bar includes a logo, the text 'EQSPLOYGROUND', and tabs for 'CASES', 'EXPORT', 'AUDIT', 'USERS', and 'CUSTOMIZATION'. The 'CUSTOMIZATION' tab is active. On the left, a sidebar menu lists 'Customization', 'Form configuration', 'Security settings', and 'Document library'. Under 'Security settings', 'Public access' is highlighted with a red box. The main content area is titled 'Access settings Frontend for reporter' and contains two settings: 'Require password:' with an unchecked checkbox, and 'Enter password:' with an empty text input field. A 'SAVE' button is located at the bottom right of the settings area. The top right corner of the interface shows 'Latest login: 2 hours ago'.

- Here we can enable/disable password protection on the Reporting Channel by checking/unchecking the checkbox.
- You can define a custom password that will restrict access to the website

Document Library : Document Manager



- Admins can upload files (e.g., templates) which can be used by the Case Managers for various purposes
- When documents are uploaded into the case management system, a public link will be automatically created. This allows you to link to this document (e.g., to the Reporting Page)

Document Library : Documents

The screenshot displays the 'Documents' section of the Document Library. On the left, a sidebar contains navigation options: Site configuration, Form configuration, Security settings, and Document library. The 'Documents' link under 'Document library' is highlighted with a red box. The main area shows a table with columns 'TITLE' and 'DESCRIPTION'. A single document is listed: 'Investigation Template' with description 'Test'. A red arrow points from this document to a 'Get document' modal. The modal displays the document details: Title: Investigation Template, Description: Test, and a 'Get file:' section with a 'Download' button highlighted by a red box. A '< BACK' button is located at the bottom right of the modal.

TITLE	DESCRIPTION
Investigation Template	Test

Number of results: 1

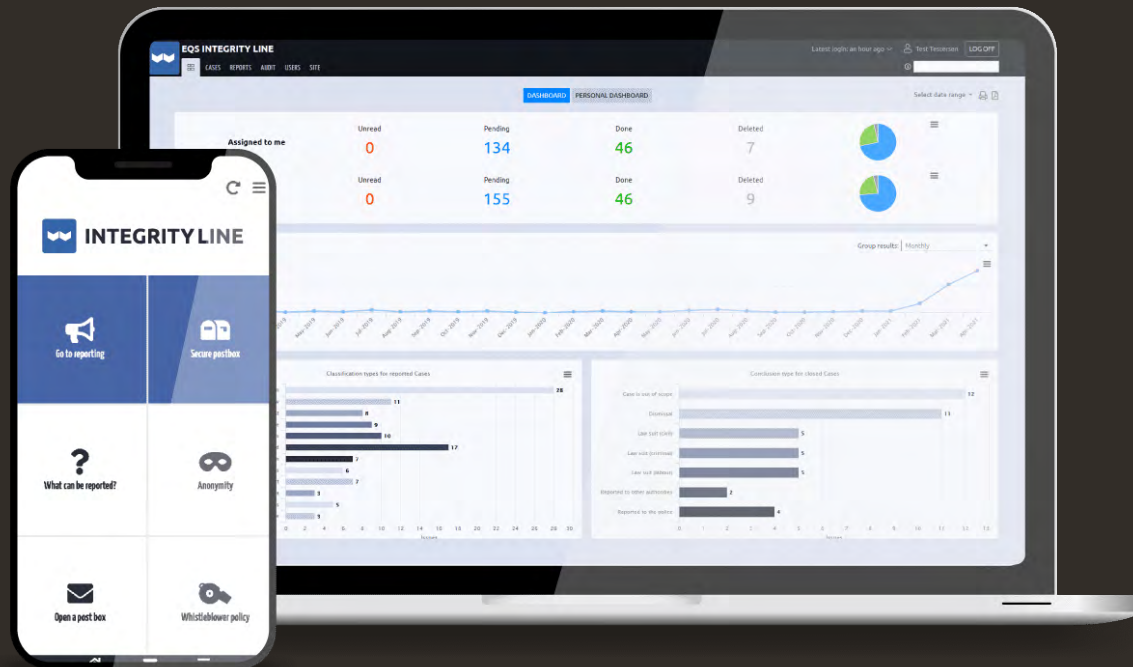
Get document

Title: Investigation Template
Description: Test
Get file: **Download**

< BACK

- Case Managers can download the documents (by clicking on Download) and use it as per the requirement for the relevant case (e.g., case investigation)

Thank You



EQS GROUP

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