**EQS**
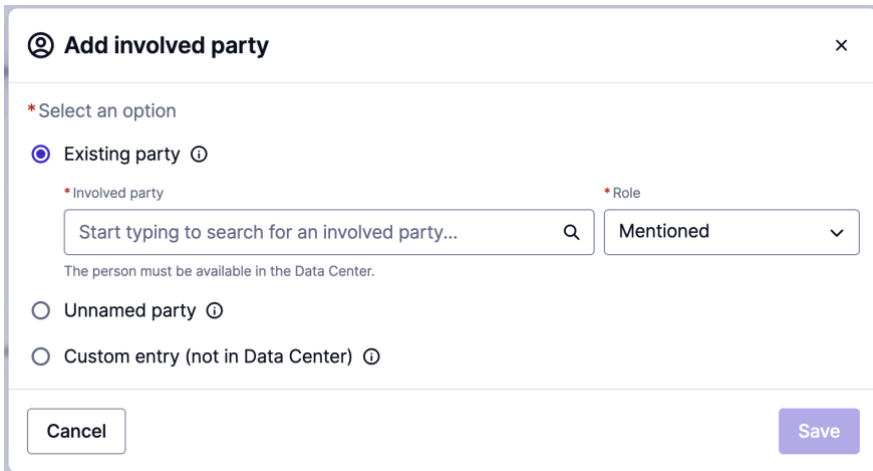
# ALLEGATION MANAGEMENT GUIDE

Handling allegations in the Case Manager

In the EQS Integrity Line, the process of managing allegations begins with the case manager adding an Involved Person before defining the allegation. This approach differs significantly from the allegation management process utilized in Convercent, where an issue type is added first, then involved parties are added to the issue type. Below you can find the steps to effectively manage allegations within the Compliance Cockpit:

01. **Navigate to the Case Tab**: Start by accessing the case and selecting the Involved Parties case tab.

02. **Add involved party:** Enter the details of the involved party. This can be an Unnamed Party, Custom Entry, or it will pull in users that are within the Data Center.

    a.  If you do not want to name a specific individual or it is unknown, you must use the Unnamed Party option, as the involved party is required to add allegations.

    b.  Any Cockpit user named as an Involved Party will automatically have case access revoked.

03. **Select Role:** Once the involved party is selected, use the dropdown to select their role within the case. Select **Save**.

    a.  Involved party roles can be customized within the Integrity Line configurations. The available system roles are Reporter, Witness, Accused, Mentioned, or Other.

❯ *Note – Only one role can be assigned to each involved party.*



04. Add Allegations: Select the associated allegation for each involved party using the "Add allegation" button.

    a.  Allegation outcomes such as determinations, corrective actions, contributing factors, and notes can be tracked in each allegation.
    b.  Corrective actions and contributing factors are configurable.
    c.  You may choose to add one or more allegations for each involved party.

## Important Call Outs

In Convercent, a case typically has a Primary Issue type. Similarly, in the EQS system, case managers will designate a **Classification** for the overall case. If the involved parties in the case need to have the same allegations as the case Classification, you must add the classification in both places.

In Convercent, a case could have multiple involved parties associated to one issue type, with several issue types per case. In the EQS system, an involved party can have multiple allegations, and a case could have multiple involved parties.

An involved party will not have access to the case if named as an involved party no matter their role. If there are multiple users with similar names, i.e. John Smith, the case manager needs to ensure they select the correct user.

**❯** *Reporting Note - While the visual representation of involved parties and issue types will be different in Integrity Line, the Insights dashboards will allow for continuous reporting on the number of issue types and number of involved parties per case from Convercent into Integrity Line to allow for trending reporting .*

## *Terminology Guide*

| CVT Terminology | EQS Terminology |
|---|---|
| Allegations | Allegations |
| Sanctions | Corrective Actions |
| Intent | Contributing Factors |
| Outcome/Determination | Determination |
| Primary Issue Type | Classification |
| Issue Type | Allegation/Classification |
| Involved Party | Involved Party |
| Employee | Existing Party |
| Unknown | Unnamed Party |
| Free Text | Custom Entry (Not in Data Center) |

**Allegation Management in Convercent**
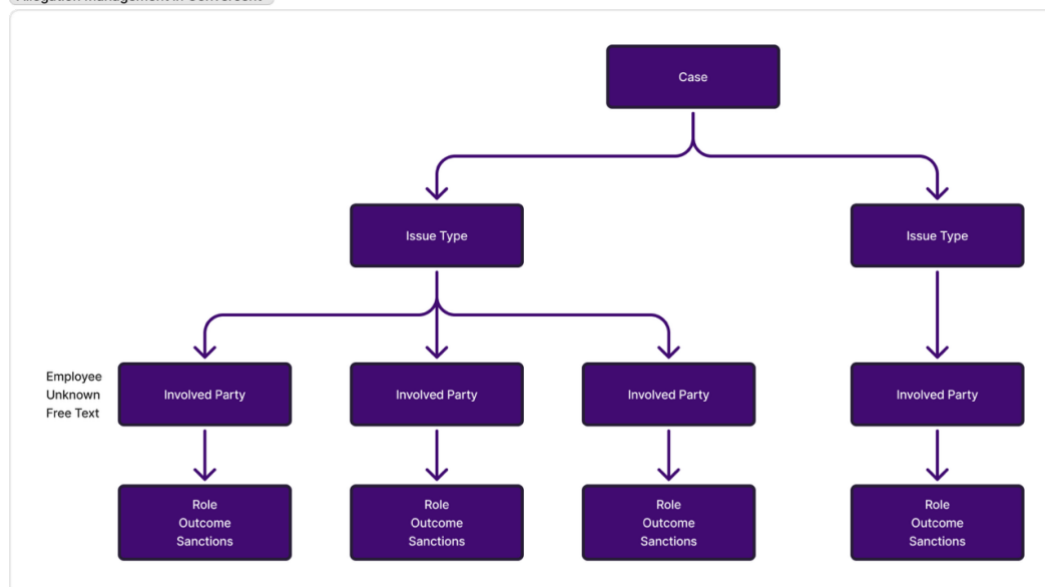


**Allegation Management in EQS**
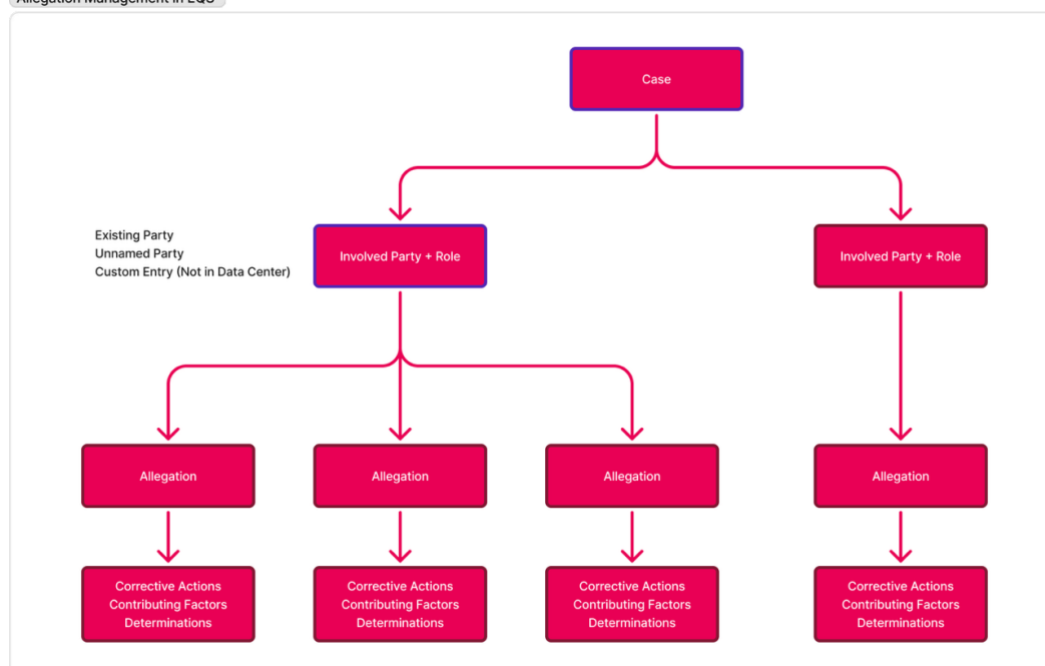


❯ *Note - It's possible that your configuration in Convercent already followed the same flow as Integrity Line, as some customers did choose to configure their Convercent Case Manager by adding involved parties as the first step.*