

ALLEGATION MANAGEMENT GUIDE

Handling allegations in the Case Manager

Managing allegations is a key part of case management, so this guide focuses on the EQS Integrity Line features surrounding allegation management. The EQS system is designed to allow for flexibility depending on your investigation use case. As in Convercent, you can document a primary issue type via classification on the case level or add multiple allegations on a case and link the allegations to the associated individual or entity through involved parties.

Choose your investigation path

Most teams manage allegations in one of two ways. Use the quick guide below to decide how much structure you'll use in a case (simple vs. complex). Based on your organization's preferred use case, this will guide you on best practice recommendations for various features as you utilize the EQS platform for case allegation management.

Path	Typical characteristics	How this impacts allegation management
Simple	Usually 1 issue type per case; no use of involved parties; typically 1 outcome at case closure.	You only need a single classification, conclusion (corrective action), and substantiation on the case level.
Complex	Multiple involved parties and/or multiple allegations; investigation evolves; outcomes may differ by individual/allegation.	Add involved parties first, then add one or more allegations per party to track "who did what," and record determinations, corrective actions, and contributing factors at the allegation level. Optional use of overall classification, conclusion, and substantiation on the case level.

Simple Path

If your organization follows the simple path when it comes to managing allegations, we recommend utilizing the case-level fields for classification, substantiation, and conclusion.

Case IL-22-22

Undefined New

Add a short description here [✎](#)

Case manager: [✎](#)

Classification: Fraud [✎](#)

Country: United States [✎](#)

Business Unit: [✎](#)

Severity: Undefined [✎](#)

Note – This recommendation will apply for new cases managed within Compliance Cockpit. Any migrated cases from Convercent that included allegations tied to any Involved Parties will be seen in the Involved Parties tab within each case.

The Conclusion field has been configured to include all sanctions/corrective actions from Convercent.

Within the configuration settings, you have the option to set the conclusion and substantiation field as required fields for closing a case.

Complex Path

If your organization follows the complex path when it comes to managing allegations, we recommend utilizing the Involved Parties tab for allegation management.

In Convercent, most customers selected the allegation (issue type) first before adding the involved party. In EQS, the order is reversed—you will select an involved party first. In cases where the involved party is unknown, you can indicate that.

Below you can find the steps to effectively manage multiple 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 a specific individual is not known or you prefer not to name someone, you can select the Unnamed Party option. An involved party is still required to proceed with adding allegations, and this option allows you to continue the process even when identifying details are unavailable or if there is no specific person or entity to report. These details can be updated as the case investigation progresses or evolves.
 - 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.

Involved party	Role	Allegation
Unnamed party	Subject	

Party details

Party type	Unnamed party		There are no allegations added to this case yet. <input type="button" value="Add allegation"/>
Role	Subject		

You will see that the case-level classification, conclusion, and substantiation fields still exist in your Integrity Line configuration, but you can close cases without filling those out. Additionally, you can update your configuration so that conclusion and substantiation do not appear in the case closure sequence.

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 can 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.

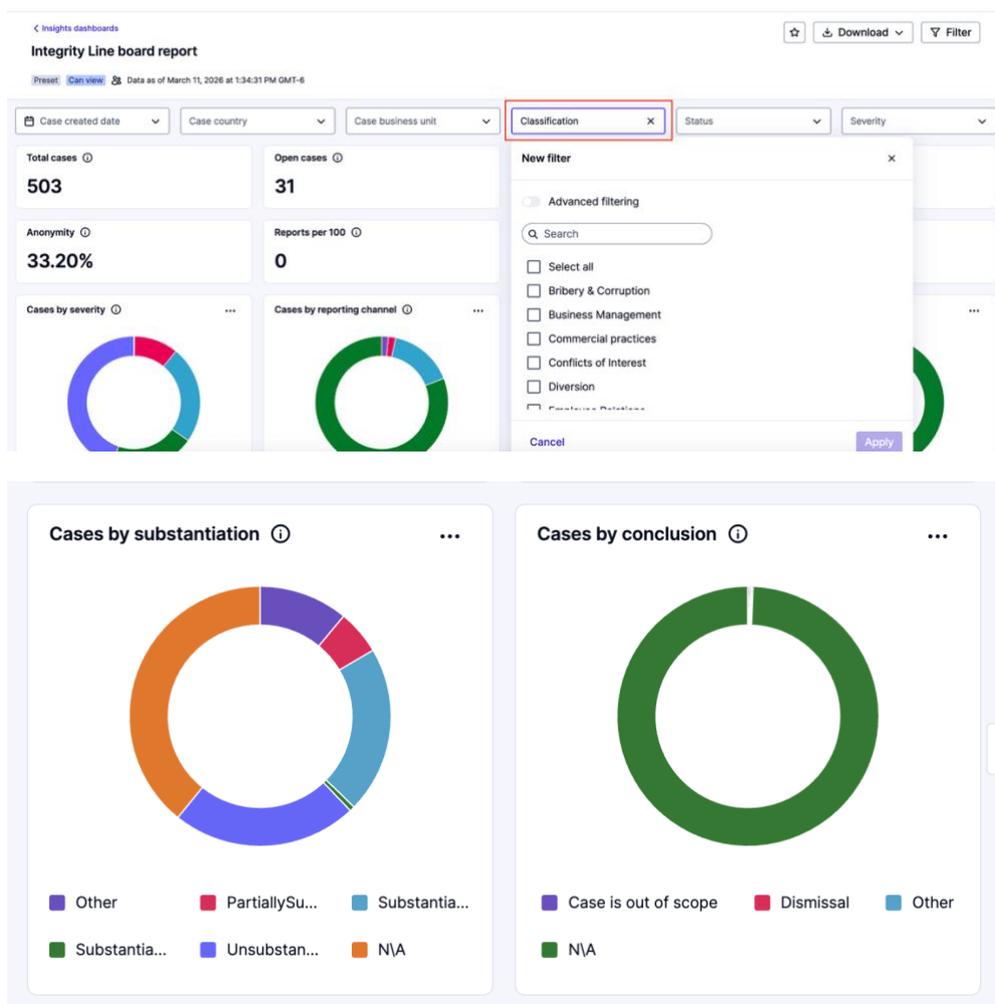
Reporting

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.

Note – Migrated cases from Convercent with a Primary Issue type been migrated to the case level classification and reporting can be done for these via the classification.

Simple Path

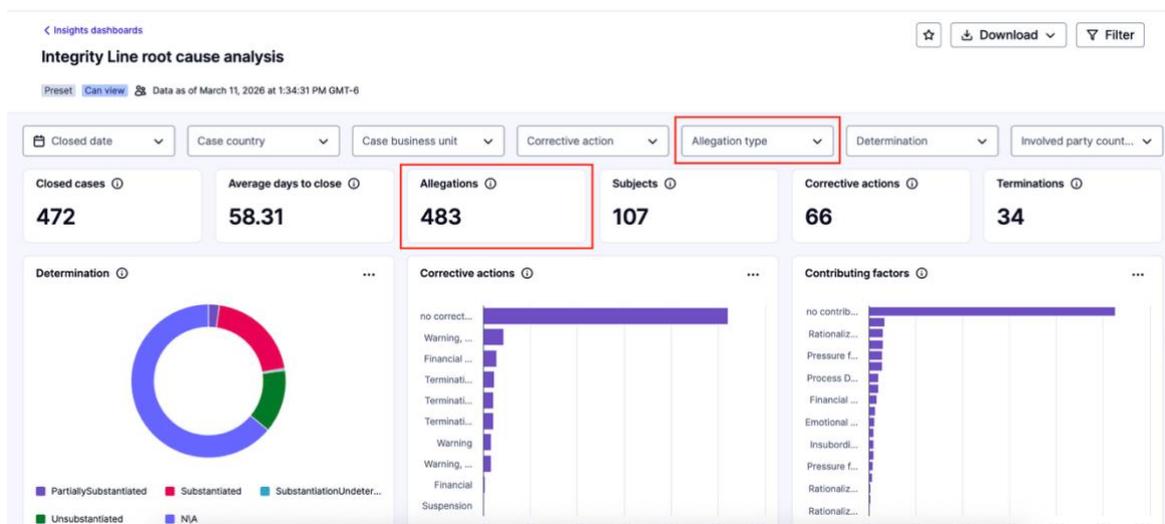
If your organization follows the simple path, reporting can be done by looking at case-level Classifications and Conclusions. For example, in the board report dashboard, you can filter by specific classification and see various data points such as Cases by substantiation or Cases by conclusion.



Complex Path

If your organization follows the complex path, the root cause analysis dashboard has allegation-level analysis that highlights the reasons 'why' behind compliance problems by examining allegations, corrective actions, and contributing factors. For example, you can filter on an allegation type and see case counts of closed cases for that type and trending corrective actions, contributing factors, and allegation counts of that type.

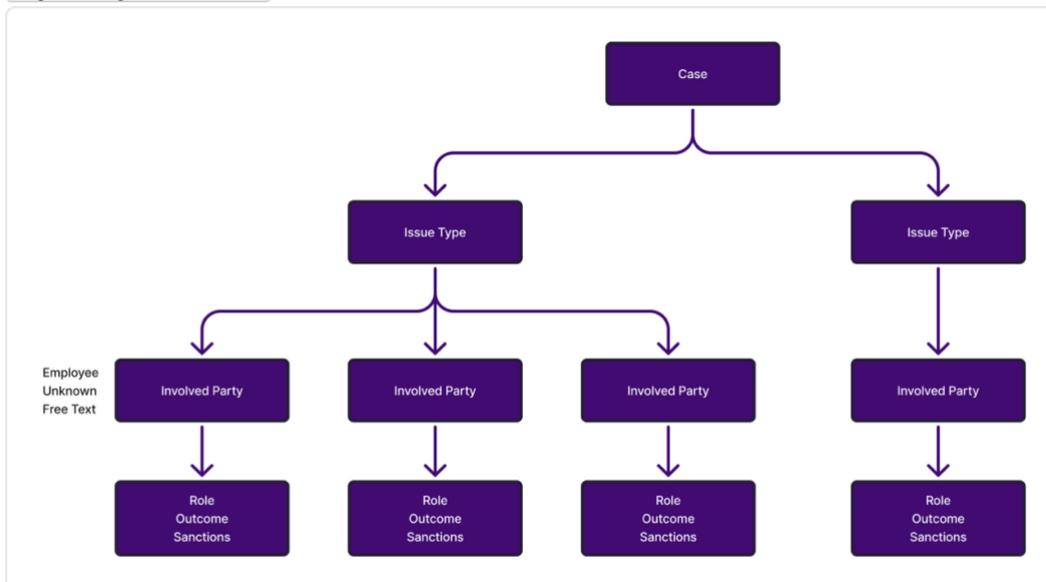
Note – Allegations are counted once per case, even if they apply to multiple involved parties. For example, if Bullying is recorded for two involved parties within the same case, it will still be counted as one allegation for that case in the dashboard.



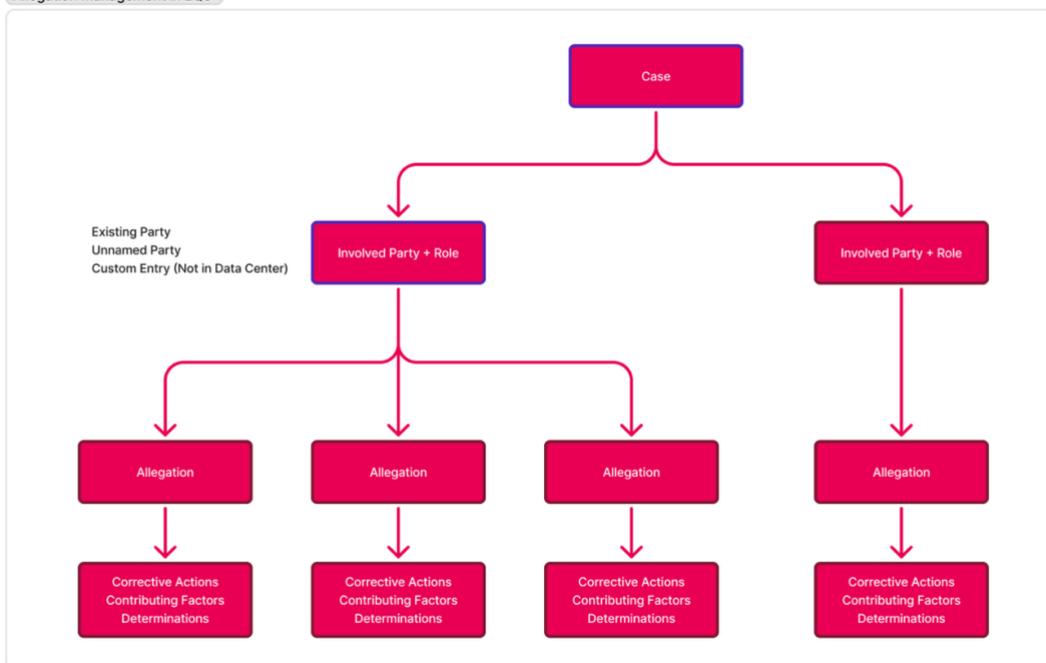
Terminology Guide

CVT Terminology	EQS Terminology
Allegations	Allegations
Sanctions	Corrective Actions or Conclusions
Intent	Contributing Factors
Outcome/Determination	Determination
Primary Issue Type	Classification
Issue Type	Allegation/Classification
Resolution Type	Substantiation
Involved Party	Involved Party
Employee	Existing Party
Unknown	Unnamed Party

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.