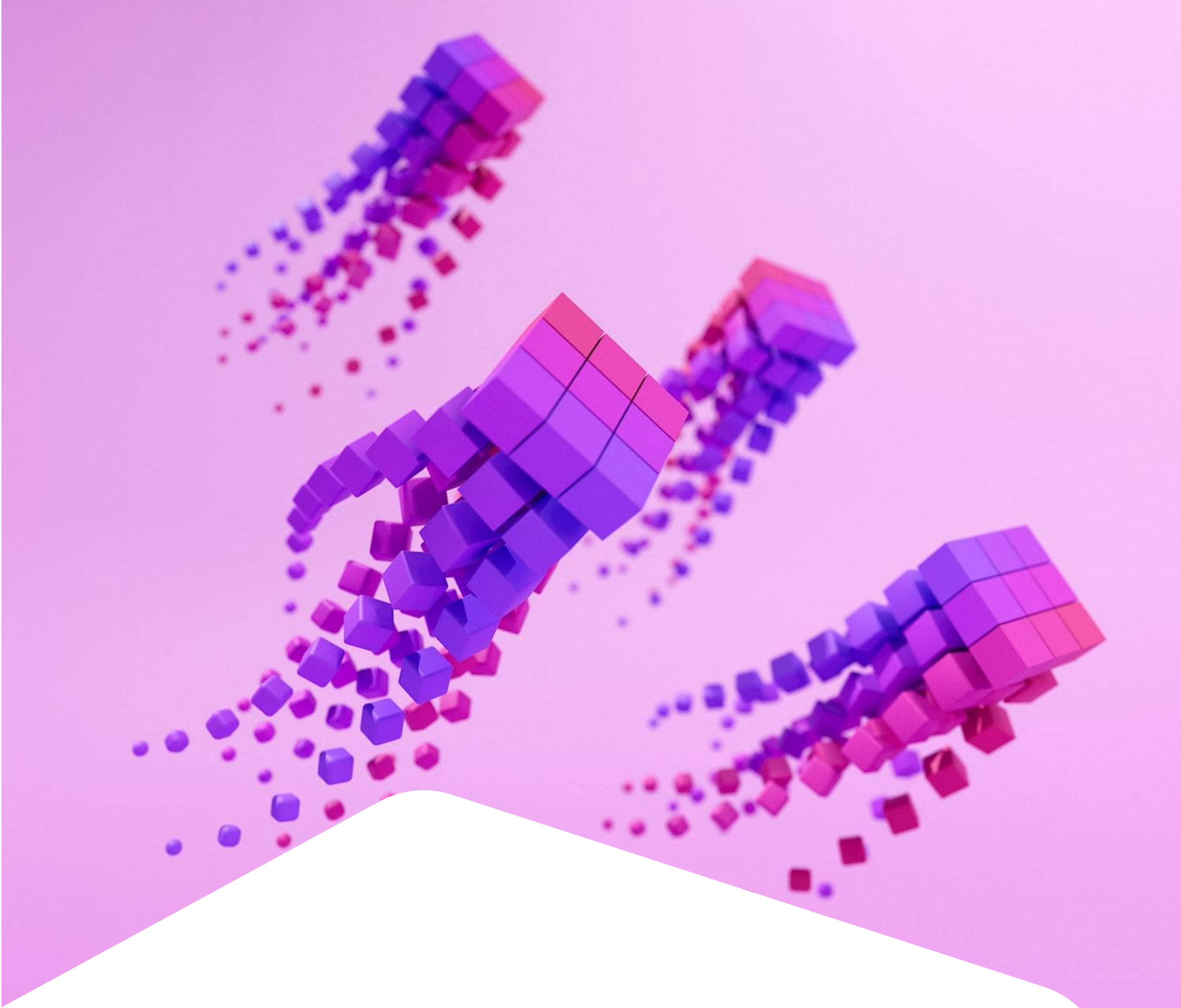


INTEGRITY LINE GETTING STARTED GUIDE

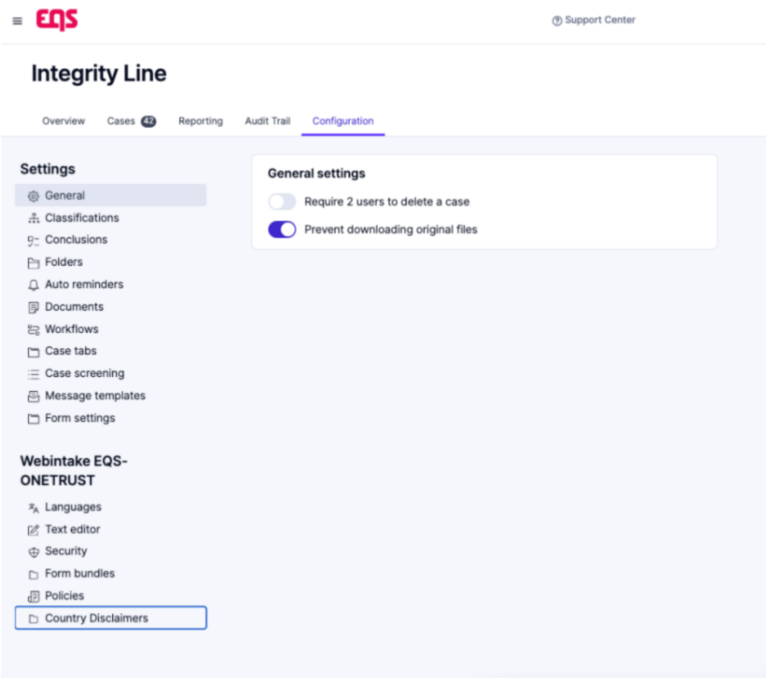
Learn More

Table of Contents

1. Learn More

Once you have completed the steps in the **Getting Started Guide**, you can be confident that your new Integrity Line account is live and able to receive reports. With those basics covered, use this guide to learn about settings that you can use to make updates to your new Integrity Line.

The guide below walks through the left side navigation bar within Integrity Line's configuration tools. We specifically focus on features that correspond to Convercent capabilities, so that you can make adjustments to your existing program. After you finish going through this guide, we recommend that you review one more resource: Our **new functionality guide** . Anything that is **not** covered in the document below is brand-new functionality that was never available in Convercent, and you will be able to learn about those features in the new functionality guide.



Note -If there are features outlined in either guide that you do not see in your Integrity Line configuration menu, those features may not be included within your subscription tier. Please contact your Customer Success Manager or support for additional information.

1.1. Integrity Line - Settings

For more information about all of the items in Settings, visit the Knowledge Base.

01. General

a. Auto-Reply: This toggle enables an automatic response to the reporter after a case is submitted. If you had an automated response message configured in Convercent, this has been enabled for you and the automated message has been configured to mirror your Convercent message.

02. Classifications

    a. Classifications (along with Allegations, more below) correspond to Issue Types in Convercent, specifically the designated primary issue type on each case. We have populated the list of available Classifications in your Integrity Line configuration from your issue types in Convercent.

03. You can click "Create" to add a classification. You can also modify or remove classifications by using the pencil or trashcan icons on the far right.

04. Depending on your use case, we have two recommended approaches for managing allegations in Integrity Line. Your Helpline data was migrated in a way to support either approach. Visit the **Allegation Management guide** to select your preferred approach.

05. Allegations

    a. **Allegation types** (along with Classifications, above) correspond to Issue Types in Convercent. We have populated the list of available Classifications in your Integrity Line configuration from your issue types in Convercent.

06. You can click "Create" to add an allegation type. You can also modify or remove classifications by using the pencil or trashcan icons on the far right.

07. Depending on your use case, we have two recommended approaches for managing allegations in Integrity Line. Your Helpline data was migrated in a way to support either approach. Visit the **Allegation Management guide** to select your preferred approach.

08. **Corrective actions** correspond to Sanctions in Convercent. You can modify or remove corrective actions using the pencil or trashcan icon.

09. **Contributing factors** correspond to Behavioral Factors and External and Organizational Influences from the Contributing Factors section of Convercent. Similarly, you can modify or remove any of the contributing factors using the pencil or trashcan icon.

10. Involved party roles

    a. Involved party roles correspond to the roles in Convercent. Undefined is present and applied to any migrated involved party within a case, where no role was designated in Convercent.

11. You can Create new roles or modify or delete any of the existing roles.

12. Conclusions

13. Conclusions correspond to Sanctions in Convercent, and this field will be used by customers who are using the simple use case for allegation management. Visit the **Allegation Management guide** to learn more about this approach. to learn more about this approach.

14. You can click "Create" to add a conclusion. You can also modify or remove conclusions by using the pencil or trashcan icons on the far right.
15. Severity, Substantiation, Conclusion
16. Substantiation corresponds to Resolution Type in Convercent.
    a. Configure whether Conclusions, Severity or Substantiation are required when closing a case in the section called **Severity, substantiation, conclusion**
17. Folders
    a. Initially, you will see folders for migrated cases and for migrated questions, and you may also see additional folders if they were required to replicate the routing that was configured in Convercent.
    b. If you route reports in Convercent based on issue type, country, location, department, or Business unit folders are not needed. Custom user roles can be created to allow certain roles to only access cases with the above attributes. However, if you routed cases based on a custom data point in Convercent, then folders, a folder routing question, and custom roles were created to replicate this.
    c. You can create additional folders to group cases and apply more granular permissions as needed.
18. Workflows
    a. If your team utilized custom statuses in Convercent, these were recreated as Steps within a workflow.
    b. Visit the **New Features guide** to learn more about a more in depth use case for Workflows.
19. Case Tabs
    a. Severity and Tags have been recreated as custom questions in the Integrity Line.
    b. In addition, any custom case manager fields configured in Convercent have been recreated here.
    c. For data continuity purposes, we recommend utilizing the migrated case custom fields in the created custom tab. This will allow you to report on these fields seamlessly across your legacy migrated cases and all new cases that are submitted into Integrity Line. It is not possible today to move custom fields from one tab to another.
    d. You can easily add additional tabs with new custom case fields or update the order of custom tabs within this configuration section.

Note - If you used issue required field in Convercent, most of those were recreated by making fields within custom case tabs required. Not all fields in Integrity Line can be "required" the same way they were in Convercent but see the New Features Guide for more detail on how to utilize case tabs and workflows to ensure all cases follow the same process.

20. Case Screening

  a. Escalation rules from Convercent were migrated to this case screening section. Here you can create additional rules to route sensitive cases or limit access to cases based on key words.

Note - All escalation rules from Convercent have been migrated. However, if your organization has more than 30 escalation rules, you will be unable to create any additional rules. You will be able to edit/delete any existing rules and create new ones if there are less than 30.

21. Message Templates

  a. Message Templates correspond to Message Board Templates in Convercent.

    i. The auto-response that a reporter receives after submitting a case is configured in general settings in Integrity Line (see 01 in this section).

  b. If you had Message Board templates configured in Convercent these have been replicated for you here.

Note – Message Templates have been migrated as plain text and may need to be adjusted or reformatted.

22. Form Settings

  a. Form Settings cover the fields that are surfaced to a reporter when they are providing contact information (such as name, email address, phone number). This is a global setting for your Integrity Line account. This is separate from the form-level settings, which will allow you to configure whether reporters using that specific form have the option to remain anonymous. Learn more via these two knowledge base articles: Global Form Settings for Contact Information Configuration and Form-specific Settings.

1.2. Integrity Line - Web Intake

As you get started with Integrity Line, you may see more than one Webintake section, each will be clearly labeled. For example, if your Integrity Line program accepts reports via call center, then you may see a separate Webintake dedicated to call center so that the reporting method can be identified. Check with your Integrity Line admin if you have questions about the purpose of additional Webintakes.

Note - Each of the settings below are specific for each Web Intake within your EQS Integrity Line. As you make configuration changes, make sure you are working within the appropriate Webintake and, when necessary, you make changes to BOTH webintakes.

For more information about all of the items related to Web Intake, visit the Knowledge Base.

01. Web Intake Languages

a. As a Convercent upgrade customer, you may see Web Intake languages and translations. Learn more about managing and adding translations in the knowledge base.

Note - If you add additional languages, please review your Web Intake page, all forms, and country disclaimers carefully to ensure that the translated text shows the terminology that you expect and need.

02. Text Editor

a. This tab is where you can find your landing page URL; your landing page has been configured to match your Convercent Landing Page.
b. This tab is also where you can change text on your landing page. Click on Edit, and then right-click on any text sections that you want to edit. Right clicking will open a pop-up modal that includes a rich-text editor.
c. Each pop-up text editor will also allow you to modify translations by selecting the applicable language in the drop down and making subsequent updates.

Note - If you were using a custom footer on your Convercent landing page, those have been migrated in English only. If you want to change the text or add translations, you can do so using the Text Editor in Compliance Cockpit.

03. Form Bundles

a. Form Bundles are equivalent to Intake Channels in Convercent. Find your intake channel(s) within each form in the Published section.

Note - Each form bundle must be linked to a web intake tile on your landing page. For the upgrade, your consultant has created each form bundle to correspond to your Convercent helpline configuration. If you determine that you need an additional form bundle, you can create one in your account, but you will also need to contact Support for assistance with a new tile that can be linked to the second form bundle.

Also Note - If you had an intake channel(s) not linked to geography rules in Convercent, these have been migrated as forms within the Incident form bundle, but a few additional steps are needed to make these forms accessible for intake.

You can see this migrated form is not currently linked to any countries. Because <u>external reporters</u> are routed to the applicable form based on their country selection, reporters are currently never routed to this form or forms. If you would like external reporters to access these forms, you will either need to adjust the countries tied to each form so reporters are routed appropriately or reach out to support to learn how to link these additional forms as a separate tile on your migrated webintake.

If your <u>internal users</u> navigated to a specific intake channel via direct link in Convercent, that direct link no longer exists in EQS (each individual intake channel link from CVT will route to the new EQS webintake page). Please see the Knowledge Base to understand how to create an additional form bundle, duplicate this form to that new bundle, and make it accessible to internal

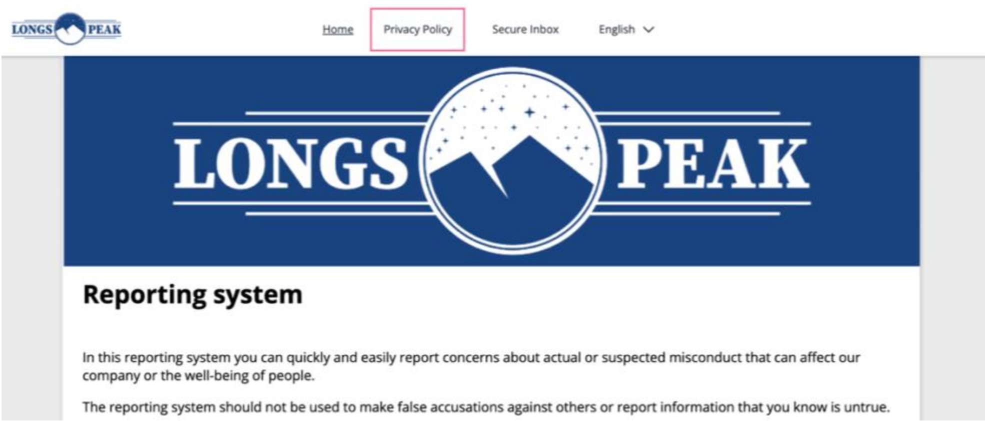
users. Internal users could then select the appropriate form bundle when submitting an internal case.

b. Form Settings - Click on the gear icon to make changes to form settings.
   i. Geography Rules in Convercent created a varied intake experience based on country/region. This same experience is recreated in Integrity Line by creating different Forms for different countries.
   ii. If you update countries here, the country disclaimers will also need to be updated. See the Country Disclaimer section below for more info.
c. Editing Form Questions - Click on the pencil icon to view the fields and questions that are present on each form.
   i. You can edit the question text, drop down items, and translations all within this section!
d. To learn more about customizing a form, visit the Knowledge Base.

Note – If you used Guided Intake in Convercent, any survey questions related to a standard issue type have not been recreated. Any questions and translations must be manually added via the form editor if you wish to include them. For any Custom issue types with questions and/or translations, those have been recreated and should be reflected in the form.

04. Policies

a. This is an optional feature for privacy policies. If you had a privacy policy in Convercent, we have added that for you here, and you will see a link in the header of your landing page. If you did not have a privacy policy configured in Convercent, then we have removed the link from your landing page, and you can ignore the template policy contained under this tab. If you would like to learn more, visit the Knowledge Base and reach out to Support to have the header link restored.



Note - You can also require attestation to policies upon intake (by configuring a policy attestation question). Policy attestation questions were not enabled for call center customers; we do not recommend this approach as it will require call center agents to read the entirety of the privacy policy before proceeding.

05. Country Disclaimers

a. These correspond to Terms & Conditions in Convercent. When a Country Disclaimer is configured, there will be a pop-up after that country is selected. When there is no disclaimer configured for a country, there will be no pop-up after selection. If you want to show terms and conditions for all countries, you must make sure that these are configured.
b. We've mirrored the terms and conditions text from Convercent. To make changes to this text, please learn more about country disclaimers in the Knowledge Base.

1.3. Data Center - User Management

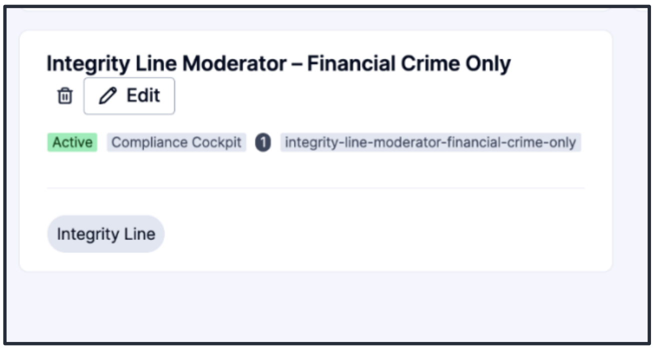
Your users in Convercent were migrated to the **Data Center**. See below for information on how to create more users and how to review the Roles/Permissions that were migrated for you. For even more information about all of the items related to Data Center, visit the Knowledge Base and look for the Data Center.

01. **Create Users:** Within Data Center, from any tab, you can create users by clicking "Create" or "Import users" in the top right corner. **Make sure to assign them the correct user role in the Active Roles field**. For more information on adding users review the Knowledge Base.

02. In Convercent, your case access permissions were determined by two settings – User Account Permissions and Notification Profiles. In EQS, case access is managed through comprehensive role assignments in the **Roles & permissions** tab.

    a. Roles have been created here to match your permissions and notification profiles in Convercent.

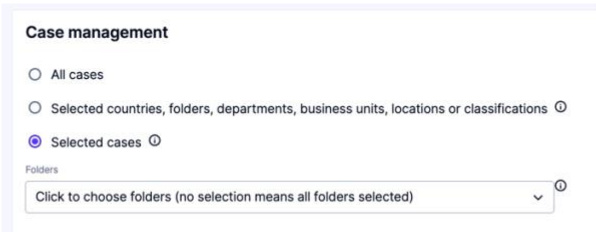
    b. This screenshot shows an example of a variation of the Moderator role that will only give users access to cases that have the Financial Crime classification. You can click into each role to see modules they have access to, the actions those users can complete, and the attribute-based permissions, if applicable.

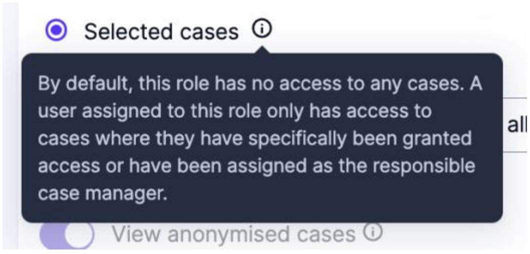


03. You can modify a specific user role by navigating to the user's profile and adding/removing the roles within the "Active Role" drop down.

    a. Visit the Knowledge Base for more information on using User Roles for routing cases and on updating and creating additional custom user roles.

04. Assigning a **Moderator** to a specific case: The Moderator role in Compliance Cockpit is limited to see “Selected cases” only. By default, a user with this permission has no access to any cases. Another admin, who has access to cases, can manually add them to a case they need to review.





a. Within a case, open the **User access** panel and scroll to the bottom to find the section that shows **Users without access to this case due to their role**. This is where you can grant access to users who have the Selected cases permission.

1.4. *Data Center - Attribute Management*

For more information about all of the items related to Data Center, visit the Knowledge Base and look for the Data Center.

01. In Convercent you could manage your Location and Department within the organization management screen. In integrity Line you will manage your Location and Department attributes within the **Data Center**.

    a. Once in the Data Center navigate to the **Attributes Tab**. Here you can view the locations and departments migrated from Convercent.

    b. To Edit Locations or Departments click on the arrow to the far right to view the “Details” screen. Here you can click on each individual attribute to view, edit, and deactivate as needed.

Note – Here you will see a business unit attribute as well. This was not previously available in Convercent but is a standard attribute in Integrity Line that can be surfaced on intake and utilized within Roles and Permissions.