

## EthicsPoint Manual

The objective of this manual is a 'How To' document for EthicsPoint. It is a living document that will be updated as we start receiving allegations and using the case management software.

MAS is the system administrator. Please contact us with any issues, questions or concerns.

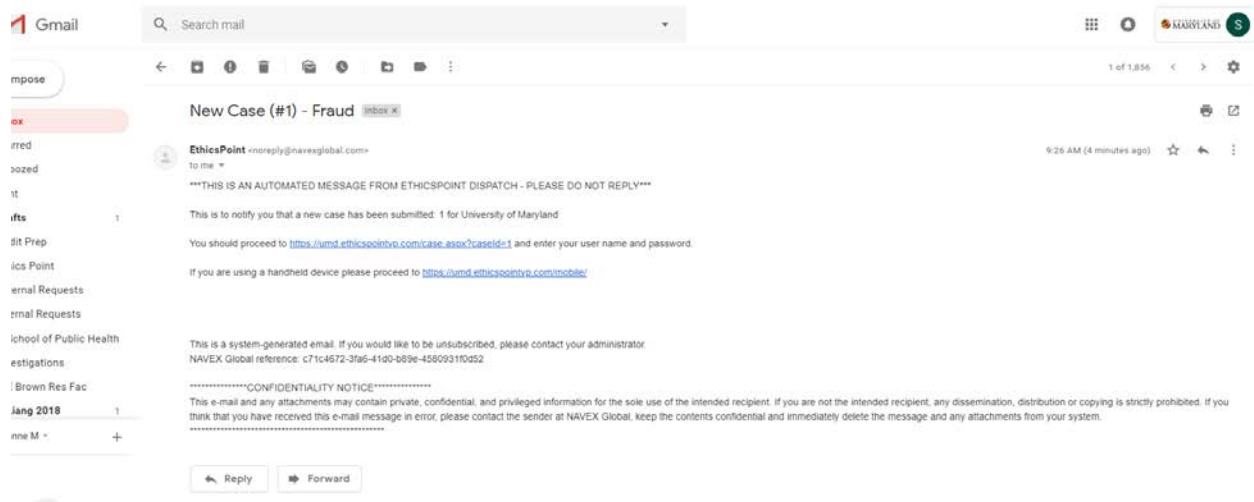
***Monitoring: MAS will be monitoring cases to ensure they do not sit as "Unreviewed" for more than 3 days.***

**For accurate reporting, all allegations received outside the hotline are entered into EP Manually. Each user has the ability to do that. MAS started with 2019 reports.**

### 10 Step Case Investigation

1. Click the link in the email and login
2. Review the Case Details
3. Update the Case Status (from Unreviewed to In Process)
4. Update Assignments & Access
5. Post a Follow Up
6. View & Update General Case Info
7. Add Case Notes
8. Update the Participants
9. Update the case based on ongoing investigation
10. Update Synopsis and Case Status. Close the case.

1. You received a New Case via the Hotline. You received it via email. You must click on link and/or sign in to [umd.ethicspointvp.com](https://umd.ethicspointvp.com)



2. You must read the case details (**within 3 days**) to ensure it is in the appropriate place, or other units should be added.
  - a. Change the Status from Unreviewed to In Process. This informs the team that the case is being addressed by the appropriate unit.
  - b. From the Case Information (as seen in bar on the left) you can change the assignment, change the alert status, change the tier, change the issue.

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- c. This is where your internal processes can be formed. How do YOU want to use the flag system (alert status) for your tier? All red flags mean substantiated? Red flags mean address first?

The screenshot displays the EthicsPoint interface. On the left is a dark sidebar menu with options: Home, Cases, All Cases, Cases by Tier, Tier - University of Maryland, Case 4 (circled in red), General Case Info (circled in red), Case Details, Assignments & Access, Participants, Items, Agencies, Attachments, Synopsis, Tasks, Case Notes, and History. The main content area shows details for 'Case 4 Other'. At the top, a status bar contains: 'Opened: 06/19/2019', 'Days open: 12', 'Last modified: 06/19/2019', 'Intake method: Employee Walk-in', 'Status: Unreviewed', and 'Alert Status: None'. The 'Status' and 'Alert Status' fields are circled in red. Below this is the 'General Case Info' section with the following details: Case number: 4; Received/Reported date: 06/19/2019; Alleged incident date: 06/17/2019; Language: English; Assigned tier: University of Maryland; Creator: Anacker, Susanne (sanacker@umd.edu); Issue: Other.

## Assignments & Access

This is where you can assign different personnel to the case. This is common for those allegations that have multiple issues across departments. For example, a financial fraud with discrimination component.

**Case Assignment and Notification**

You may assign more than one case assignee and/or primary case assignee.

Not Assigned	Case Assignee	Primary Case Assignee	Assignee (Access level in this tier)	Send Email
<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	Anacker, Susanne (View / Edit All Cases)	<input type="checkbox"/>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Auburger, Colleen (View / Edit All Cases)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Bertot, John (View / Edit Assigned Cases Only)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Clark, Denise (View / Edit Assigned Cases Only)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Dailey, Phyllis (View / Edit Assigned Cases Only)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Global, NAVEX (View / Edit All Cases)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Goodwin, Andrea (View / Edit Assigned Cases Only)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Gunzburg, Steven (View / Edit Assigned Cases Only)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Karmiol, Grace (View / Edit Assigned Cases Only)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Kotlas, Maureen (View / Edit Assigned Cases Only)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Lambert Jones, Rythee (View / Edit Assigned Cases Only)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Martens, Anne (View / Edit Assigned Cases Only)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Salisbury, Karol (View / Edit Assigned Cases Only)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Yates-Humphries, Yolanda (View / Edit All Cases)	

**Email Assignees**  
Will only be sent to assignees with "Send Email" checked above.

Use preformatted email    Write custom email

**Subject**

**Body**

**POST A FOLLOW UP:** Choose pre-selected template or write your own. At minimum, you should post a "Thank you for your report" and a "Closing" Response. The correspondence is documented in EP.

The screenshot shows the EthicsPoint interface for a case titled "Case 5: Discrimination or Harassment". On the left, a navigation menu lists various options: Home, Cases, All Cases, Cases by Tier, Tier - University of Maryland, Case 5, General Case Info, Case Details, Follow-ups (circled in red), Assignments & Access, Participants, Items, Agencies, Attachments, Synopsis, Tasks, Case Notes, and History. The main content area displays case details including: "Case number: 5", "Received/Reported date: 06/21/2019", "Language: English", "Assigned tier: University of Maryland", and "Primary issue: Discrimination or Harassment".

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☆ Case 5-Discrimination or Harassment

Opened: 06/21/2019 Days open: 25 Last modified: 06/21/2019 Intake method: Hotline Web Status: In Process Alert Status: None

Pre-selected responses

**Post a Follow-up**

You can submit a question to the reporter to answer or make a comment in regards to this case.

- This note is to inform you that we have just recently completed our investigation of the Report you made. Your involvement is important to UMD's commitment to maintaining the highest standards of ethical conduct and integrity. Due to the confidential nature of any investigation, findings must remain confidential. Appropriate and necessary action has been taken. Thank you for reporting your concern.
- Thank you for your report. We will forward your concerns to the appropriate person for further review. Please follow up on a regular basis, in case we have additional questions for you.
- Thank you for your report. Your allegations cannot be investigated until we have more information. Please provide more information in a follow-up report.
- Thank you for your follow-up; however, we have no new information to provide you at this time. Once we complete our review, we will post a response.
- Write your own message:

Indicate whether you are posting a question or comment.

Question  Comment

Responses are documented.

☆ Case 5-Discrimination or Harassment

Opened: 06/21/2019 Days open: 25 Last modified: 06/21/2019 Intake method: Hotline Web Status: In Process Alert Status: None

From Training. Not actual case.

**Follow-ups**

Reporter Additional Information  
There are no additional notes for this incident.

Questions/Comments and Reporter Responses

06/21/2019 - Global, NAVEX  
Question: The investigation of this matter has been completed, and appropriate action has been taken. Due to the confidential nature of any investigation, findings must remain confidential and cannot be shared. Thank you for filing your report.

06/21/2019 - Goodwin, Andrea  
Comment: The investigation of this matter has been completed, and appropriate action has been taken. Due to the confidential nature of any investigation, findings must remain confidential and cannot be shared. Thank you for filing your report.

06/21/2019 - Global, NAVEX  
Question: how are you?

[Ask a question or post a comment to the reporter](#)

Participants: Not EP users. Specific to Case contributors.

Role in this case	- Select -	_____
Title	- Select -	_____
Primary result	Reporter	_____
Secondary result 1	Implicated Person	_____
Secondary result 2	Witness	_____
	Victim	_____
	Source	_____
	Interviewee	_____
	Information Resource	_____
	Manager	_____
	Other	_____

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Items- If tangible goods were applicable: Here is where you would record the serial number, \$ value

Agencies – Where you record any 3<sup>rd</sup> party agency that should be involved

None

### Agency

* Agency name	- Select - ▼
Govt/State/Prov	None available
Agency contact prefix	- Select - ▼
Agency contact first name	<input type="text"/>
Agency contact middle initial	<input type="text"/>
Agency contact last name	<input type="text"/>
Contact phone	<input type="text"/>
Contact email	<input type="text"/>
Add agency contact to participants	<input type="checkbox"/>
Agency tracking no.	<input type="text"/>
Status with agency	- Select - ▼
Reason for agency involvement	- Select - ▼
Date of initial involvement (mm/dd/yyyy)	<input type="text"/>
Due date (mm/dd/yyyy)	<input type="text"/>
Date of position statement (mm/dd/yyyy)	<input type="text"/>
Date of end of involvement (mm/dd/yyyy)	<input type="text"/>
Agency outcome	- Select - ▼
Amount of monetary award	\$ <input type="text"/>

Attachments – any documents to support the case. Could be added by EP user or the reporter.

**Synopsis** – Used as the ENDING SUMMARY. It should be less detailed than your case notes. This should address the outcome and action taken to address the allegation. Change status from In PROCESS to CLOSED. You will have to determine how your “Tier” determines that a case is closed. Metrics will be provided to leadership regarding open/closed cases.

### Synopsis

Outcome of case	
Primary outcome	- Select One - ▼
Secondary outcome 1	- Select One - ▼
Secondary outcome 2	- Select One - ▼
Action taken	- Select One - ▼
Additional details	
Potential next steps	<input type="text"/>
Synopsis notes	<input type="text"/>

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Tasks – Restricts need to see all case information. Must be EP User. Example: “Susanne, please run KFS reports for Fy 18 that includes all ledger detail.” Or “John, please interview faculty member regarding research”

### Task

\* Task name

Status

Priority

Task description

Due date   
(mm/dd/yyyy)

Started date   
(mm/dd/yyyy)

Completed date   
(mm/dd/yyyy)

Task Creator Anacker, Susanne

### Task Assignment

Assign Task	Assignee	Send Email
<input type="checkbox"/>	Anacker, Susanne[Assignee]	
<input type="checkbox"/>	Auburger, Colleen	
<input type="checkbox"/>	Bertot, John	
<input type="checkbox"/>	Clark, Denise	
<input type="checkbox"/>	Dailey, Phyllis	
<input type="checkbox"/>	Global, NAVEX	
<input type="checkbox"/>	Goodwin, Andrea	
<input type="checkbox"/>	Gunzburg, Steven	
<input type="checkbox"/>	Karmioli, Grace	
<input type="checkbox"/>	Kotlas, Maureen	

Case Notes – This is blank space to write any additional information that is not already managed in the software. This should be most detailed of the who, what, where, when, why and how that may not have been covered in other areas of EP. (Not Summary, that is posted in synopsis).

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## History – Audit trail of the case

Opened: 06/19/2019 Days open: 13 Last modified: 06/19/2019 Intake method: Employee Walk-In Status: Unreviewed Alert Status: None

### Case History

Drag a column heading here to group by that column.

Date	User	Activity	Description
07/02/2019 2:32 PM	Anacker, Susanne	Viewed Case	
07/02/2019 9:17 AM	Anacker, Susanne	Viewed Case	
06/21/2019 12:01 PM	Anacker, Susanne	Viewed Case	
06/21/2019 11:58 AM	Global, NAVEX	Viewed Case	
06/21/2019 9:12 AM	Anacker, Susanne	Viewed Case	
06/21/2019 8:42 AM	Global, NAVEX	Viewed Case	
06/21/2019 8:12 AM	Yates-Humphries, Yolanda	Viewed Case	
06/19/2019 3:15 PM	Auburger, Colleen	Viewed Case	
06/19/2019 2:14 PM	Anacker, Susanne	Viewed Case	
06/19/2019 2:14 PM	[System]	Notification	New case added via Open New Case - to Anacker, Susanne (sanacker@umd.edu); Blake, Jessica (jblake@navexglobal.com); Yates-Humphries, Yolanda (yyateshu@umd.edu); Auburger, Colleen (cdove1@umd.edu)

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Download to:

## HOME

Widgets: Customize your display to Manager your cases.

You can filter on Watchlist (star the case and see it at top of your screen).

You can choose summary reports to display.

The screenshot shows the EthicsPoint HOME dashboard. On the left is a sidebar with a 'Widgets' section containing various filters and reports. The main area displays three widgets: 'Summary - Alert Status' (a bar chart showing 'None' and 'Red' categories), 'Summary - Tier Breakdown' (a donut chart showing 'Financial' and 'University of Maryland' categories), and 'Watchlist Cases' (a table with columns for Priority, Source, Case #, Date Opened, Assigned Tier, Primary Issue, and More Info). The Watchlist table currently shows 'No results found'.