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

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

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.
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?
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.

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.
Responses are documented.

Participants: Not EP users. Specific to Case contributors.
Items - If tangible goods were applicable: Here is where you would record the serial number, $ value

Agencies – Where you record any 3rd party agency that should be involved

None

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.
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”

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).
History – Audit trail of the case

<table>
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<tr>
<th>Date</th>
<th>User</th>
<th>Activity</th>
<th>Description</th>
</tr>
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<tbody>
<tr>
<td>06/19/2019 9:47 AM</td>
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<td>Viewed Case</td>
<td></td>
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<tr>
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<td>Aaburger, Colleen</td>
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</table>

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.