

Ethical Advocate

Anonymous Incident Reporting

Issue Submission System Guide

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Anonymous Incident Reporting Issue Submission System Guide

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DOCUMENT OVERVIEW

This Issue User Guide provides instructions for submitting an incident report online.

It also provides instructions how to follow up once you've submitted a report, add additional information and communicate anonymously online with the person from your company who is overseeing your report.

System Log In Process

Creating a User Account

This section provides instructions how to create a user account or sign in as a returning user.

1. The Ethical Advocate system enables incident reporting in twelve languages. Select your language from the drop down box.
2. If you are a returning user, log in with your username and password.



The screenshot shows a 'Login' form with a dark blue header. Below the header are three input fields: 'Language:' with a dropdown menu set to 'English', 'Username:', and 'Password:'. At the bottom of the form is a 'Login' button. A red arrow points from the text 'Click the Login Button' to the 'Login' button.

3. If you are a new user, click “Create Account” next to the log in box.

Determine the language you will use on the drop down menu



The screenshot shows a 'Create Account' form with a dark blue header. Below the header is a 'Language:' dropdown menu set to 'English'. A red arrow points from the right side of the form to the dropdown menu.

4. Type 3 consecutive letters of the company name or the company name and then click Search



The screenshot shows a search input field containing the text 'tes' and a 'Search' button. A red arrow points from the right side of the form to the 'Search' button.

5. Select your company from the drop down box that appears.
Select your company from the dropdown below:

Test Company  

6. Create a username and password. Create a password at least 7 characters long, containing a number and one special character other than a number or letter (for example, &*%@+=).

Username:

Password:

Please enter a password at least and one special character.

Retype Password:

For security reasons, your **username and password** are not retrievable. Please make sure to write down your username and password **in a secure location** for future use.

7. Read the Terms of Use and then check the checkbox at the bottom stating you agree to the terms. If you do not agree to the terms the system will not allow you to continue.

I agree to the terms.

8. Click the continue button to go on to the next page

I agree to the terms.



9. Click the continue button on the next page to continue the report filing process

User Registration

You have successfully created an account.
You may now continue and begin filling reports.



Click on each of the headings to read the information associated with it.

- Letter from the CEO
- Privacy Policy
- Ethics Policy

Your Password

1. Click the Password Change text

Password Change ←

2. Enter your current password, the new password, and retype your new password.
Follow the password guidelines shown to the right when creating a new password

Change Your Password		
Password:	<input type="password"/>	Please enter a password at least 7 characters long, containing a number and one special character.
New Password:	<input type="password"/>	
Confirm New Password:	<input type="password"/>	
<input type="button" value="Change Password"/> <input type="button" value="Cancel"/>		

3. Click Change Password when done.

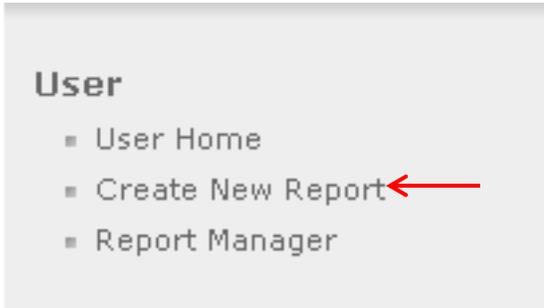
PASSWORD NOTE:

If you lose your user name and password, create another one following the instructions above. If your incident report is still open, that is, you have not received communication that it has been completed or closed, re-submit the report as a new incident report, describing the incident and everything you initially wrote as best you can.

In the last box on the reporting form, titled “**Do you have any additional comments,**” write that you have already submitted this report, but had to re-submit as you lost your username and password. Ask that this new report be the one that is responded to.

File a Report

1. Click the Create New Report link on the left side of the page or the Create New Report bar in the upper right hand corner.



2. Select the category for the report from the Report Category drop down box. You can read a definition of each category by clicking on View by the category.



3. . You can read a definition of each category by clicking on View by the category.



4. After you choose a category, you will be asked choose the Report Type



5. Click on the drop-down menu, choose the Report Type and then click on the Continue button

Choose a Category	
Report Category:	Financial Impact <input type="button" value="v"/>
Report Type:	Audit and Financial <input type="button" value="v"/>

←

6. Select your relationship with the company from the first drop down box.

File Report

Basic Information

Which of the following best describes your relationship with this company?

 ↓

7. Choose if you wish to remain anonymous. If you select “Yes” you will remain anonymous and will go to the next question.

Do you wish to remain anonymous for this communication?	<input type="button" value="Yes"/> <input type="button" value="v"/>
---	---

If you select “No” you will be asked to fill in the following information which will be shown on the report.

Do you wish to remain anonymous for this communication?	<input type="button" value="No"/> <input type="button" value="v"/>
Name: →	<input type="text"/>
Phone: →	<input type="text"/> - <input type="text"/> - <input type="text"/>
Email: →	<input type="text"/>
Best time and method for reaching you: →	<input type="text"/>

8. The next question asks if you want to provide additional information about your company. If you select “No” from the drop down box you will be taken to the next question.

Do you wish to disclose information about your organization?

Monetary Impact of situation or event(s)

A screenshot of a dropdown menu. The menu is open, showing two options: 'No' and 'Yes'. The 'No' option is currently selected and highlighted in blue. Two red arrows point to the 'No' and 'Yes' options respectively.

9. If you select “Yes,” then you will fill in the fields shown below.

Do you wish to disclose information about your organization?	Yes
Company	<input type="text"/>
Division	<input type="text"/>
Area	<input type="text"/>
Department	<input type="text"/>
Branch	<input type="text"/>
Address	<input type="text"/>
City	<input type="text"/>
State	<input type="text"/>
Zip	<input type="text"/>
Country	<input type="text"/>

10. Select the monetary impact from the drop-down menu and click continue.

Monetary Impact of situation or event(s)

←

11. Identify each person involved by filling in the Name, Title, and Role in Incident.

Name	Title	Role in Incident
<input type="text"/>	<input type="text"/>	Participant <input type="button" value="v"/> <input type="button" value="+"/>

Click the add button after each person you enter.

12. If you wish to delete a person's name after entering it, before clicking enter, click on the Garbage Can icon to the right of the person's name.

Name	Title	Role in Incident	
Joey	intern	Participant	  ←

13. To edit a person involved click the corresponding edit button.

Name	Title	Role in Incident	
Joey	intern	Participant	  ↑

14. Click save when done editing.

Name	Title	Role in Incident	
<input type="text" value="Joey"/>	<input type="text" value="intern"/>	<input type="text" value="Participant"/> ↓	  ↑

Click continue when done.

←

The next section has seven questions with five having a drop-down menu with **Yes, No, Don't Know**. If you select **No** or **Don't Know**, you will automatically go to the next question, If you select **Yes**, another drop-down menu will appear asking for more specific information for that question.

15. If you select "No" or "Don't Know" go to step 19. If you select "Yes" continue to the next step.

File Report

Additional Information

Is management aware or involved?

When (approximately) was the last time this occurred?

Yes ←

No ←

Don't Know ←

16. If you select “No” or “Don’t Know” continue to step 18. If you select “Yes” continue to the next step.

Is a member of senior management or an executive of the company aware or involved?

Please provide details, including who, when, and

A dropdown menu with a blue header and a white body. The options are "Yes", "No", and "Don't Know". Red arrows point to each option from the left.

17. Select from the drop down box and continue to step 18.

Is the CEO/President aware or involved?

An empty dropdown menu with a blue header and a white body.

18. Enter the details in the box shown and go on to the next step.

Please provide details, including who, when, and where:

A large, empty rectangular text box with a blue border.

19. Fill in the next box with the last time the event occurred.

20. If you select “No” or “Don’t Know” continue to step 22. If you select “Yes” continue to the next step.

Is this issue or event recurring?

How did you become aware of this issue or event?

A dropdown menu with a blue header and a white body. The options are "Yes", "No", and "Don't Know". Red arrows point to each option from the left.

21. Answer the next 2 drop down boxes and continue to step 22.

How long has this issue or event been occurring?

An empty dropdown menu with a blue header and a white body.

How frequently does this issue or event occur?

An empty dropdown menu with a blue header and a white body.

22. If you select “Other” fill in the details in the box that appears otherwise go on to step 23.

How did you become aware of this issue or event?

23. If you select “No” or “Don’t Know” continue to the next step. If you select “Yes” fill in the details in the box that appears.

Does this situation involve any outside parties (accounting firm, auditing firm, etc.)?

Has anyone taken steps to hide this incident or alter

- Yes ←
- No ←
- Don't Know ←

24. If you select “No” or “Don’t Know” continue to the next step. If you select “Yes” fill in the details in the box that appears.

Has anyone taken steps to hide this incident or alter information?

Has a report already been submitted regarding this issue?

- Yes ←
- No ←
- Don't Know ←

25. If you select “No” or “Don’t Know” continue to the next step. If you select “Yes” fill in the details in the box that appears.

Has a report already been submitted regarding this issue?

Continue

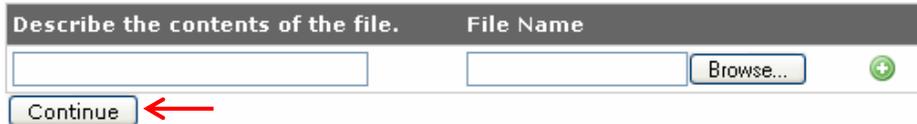
- Yes ←
- No ←
- Don't Know ←

26. Click continue to go on to the next section.

Uploading Files

This feature is to allow you to attach any pertinent documents or data.

27. If you are not uploading any files then click continue and go to the next section.



IF YOU ARE UPLOADING FILES:

- To ensure your anonymity, or the anonymity of another person who created the document, eliminate your name from the properties of the document, following these steps:
 - Click on the Browse button
 - Find the document you want to upload
 - Right click on the document name
 - Scroll down to *Properties* at the bottom of the menu and left click it to open
 - Click on *Summary*, erase the author's name, and then click *OK*.



Uploading Files, Continued

- If you are uploading one or more documents, describe the contents of each file you are uploading in the first text box and then browse for the document.

Describe the contents of the file. File Name

Browse...

Continue

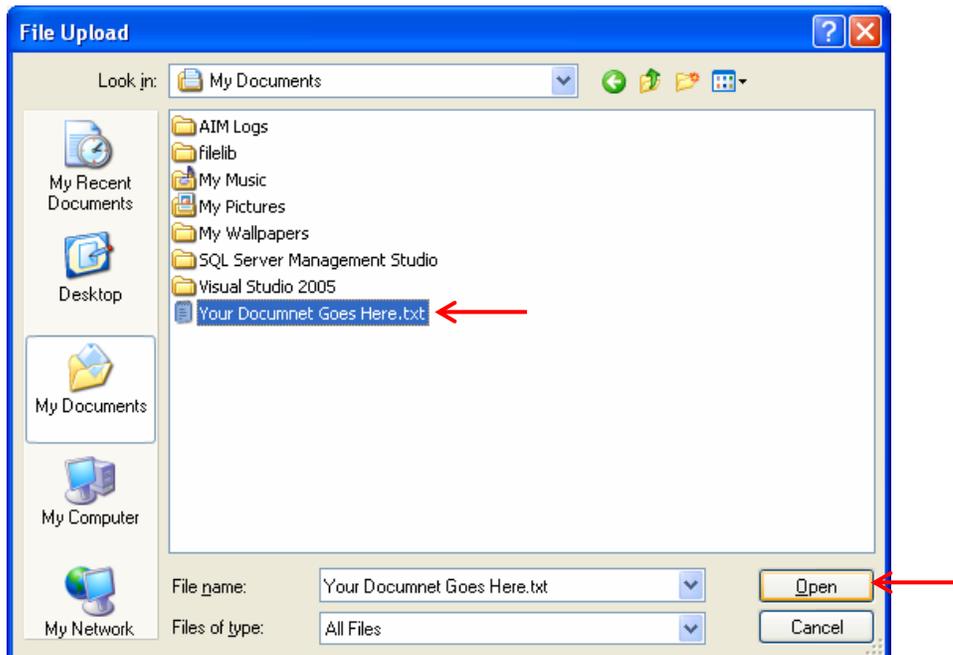
- Examine the uploaded document(s) closely to make sure no identifying information is included if you wish to remain anonymous and that there is not any inappropriate mention or information about others.

Describe the contents of the file. File Name

Browse...

Continue

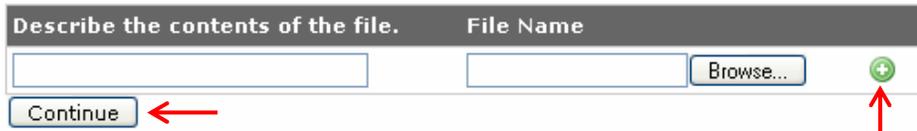
- Select your file and click Open.



Uploading Files, Continued

Click the add button. Repeat for as many files as you need to upload.

Describe the contents of the file.	File Name
<input type="text"/>	<input type="text"/>
<input type="button" value="Continue"/>	<input type="button" value="Browse..."/>
	<input type="button" value="Add"/>



In the window next to the Browse button, the document's file name will be shown, This is just for your purposes... it will not be shown in the final report. After uploading a document, but before clicking the *Continue* button, should you decide you do not want to upload that item, click on the *Garbage Pail* icon next to the document to delete it.

Click continue when done.

Additional Information

The next section gives the opportunity to provide any additional details that you think will help investigate in this first text box.

Additional Information	
Please provide any details that will help investigate and resolve this incident:	<input type="text"/>

28. In the next two boxes, if you select “No” or “Don’t Know” continue to the next step. If you select “Yes” fill in the details in the box that appears.

Do you know if there are plans for this to happen again?

Do you know if there are already plans to prevent this from happening again?:

Yes	←
No	←
Don't Know	←

29. Fill in the last 2 text boxes and click continue

How do you think this situation should be resolved?

Do you have any additional comments?

←

Reviewing your report

1. Review your information here: if you need to make any changes make sure to click **Make Changes** and not the back button on your browser. Once submitted the report cannot be edited but more information can be added.

<input type="button" value="Submit"/>	<input type="button" value="Cancel"/>	<input type="button" value="Make Changes"/> ←
---------------------------------------	---------------------------------------	---

2. When finished click the submit button.

Report Manager

After submitting a report, you will be taken to the *Report Manager* page, where you can view the report, add comments, view comments or questions from the Issue Administrator, or communicate anonymously with the Issue Administrator.

You can also return to this page by going to the Ethical Advocate website (www.ethadv.com) and logging in with your user name and password.

When you submit a report, two actions take place. The report becomes encrypted in the Ethical Advocate secure data base and an e-mail is automatically sent to a designated Issue Administrator at your Company saying a report has been submitted. That person will go to the Ethical Advocate website, and using their administrative password, login to review the report. Only authorized people can login to get the report. When they review the report, they cannot identify the sender as the report is viewed through the Ethical Advocate web site, not an e-mail.

The Issue Administrator will respond to you, through this section, that they have received the report. Depending on the circumstances, they might ask you for additional information, or to check back within a certain time period. You must check back if you want to communicate, receive communication or find out the status of your report. You and the Issue Administrator can communicate to each other anonymously through the Ethical Advocate website or as appropriate, calling the 800#.

Depending on the type of report, or your company policy, the Issue Administrator will investigate it themselves, or delegate the report to an appropriate person to investigate.

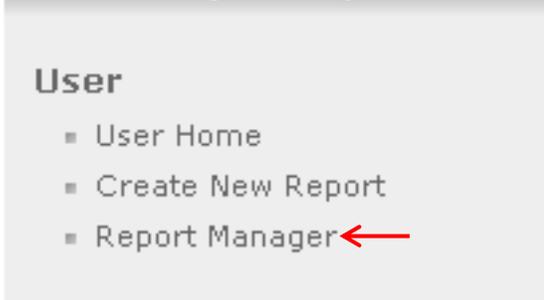
When the review is final, the Issue Administrator will notify you via the web site that the report is complete, and depending on the circumstances and confidentiality, what occurred.

Again, please remember to check back regularly by logging in with your user name and password, to pick up any communications from the Issue Administrator. Check back within five days after you submit a new report, or add new information. If you don't hear back within that time frame, it could mean the Issue Administrator is away for work related or personal reasons. Just keep checking back regularly.

(Proceed to the next page to learn how to use the Report Manager)

Using the Report Manager

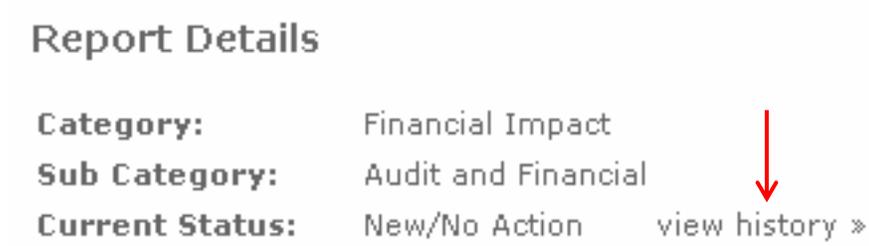
1. Click the Report Manager link on the left hand side of the page.



2. Select the report you wish to open by clicking the folder icon.

Date	Category	Sub Category	Status	
7/27/2006	Financial Impact	Audit and Financial	New/No Action	 ←

3. If you wish to view the history for this report click “view history”



4. To view your report click the icon located next to the report.

Type	Date	view
Original Report	7/21/06 4:02 PM	 ←

Close the window when finished.

5. You can download any files associated with the report by clicking on the filename.

Files	
<u>Describe the contents of the file.</u>	<u>File Name</u>
proof of the event	SC_basic.zip ←

6. When done viewing the report click Back To Report.

Back To Report 

7. To add an Append to the report click the Add Append button. Selecting Append will proceed back through the original report submission process. For questions regarding this process, please return to the “File a Report” section.

Add Append 

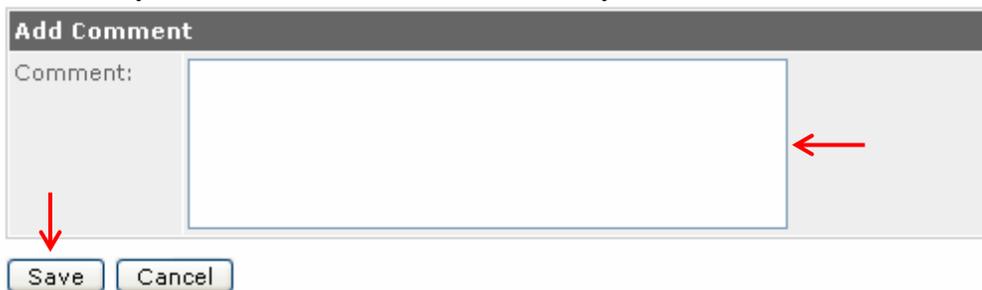
Adding Comments

This is extremely important if the Issue Administrator is to have an on-going dialogue with you, the person submitting the report. This section enables anonymous questions and comments between administrator and submitter.

1. To add comments click the add comment button.



2. Fill in your comment and when done with your comment click the Save button.

A form titled "Add Comment" with a dark header. It contains a text input field labeled "Comment:" and a "Save" button. A red arrow points to the "Save" button, and another red arrow points to the right side of the text input field.

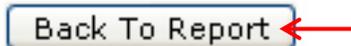
Add Comment	
Comment:	<input type="text"/>
<input type="button" value="Save"/>	<input type="button" value="Cancel"/>

3. To view comments select view for the comments you wish to view.

A table with three columns: "Comment By", "Date", and "view". It contains two rows of data. A red arrow points to the "view" icon in the first row.

Comment By	Date	view
User	7/27/06 11:50 AM	
User	7/27/06 11:45 AM	

4. When done viewing the comment click Back To Report.



Finishing Your Session

When finished, make sure you have made a record of your username and password. Remember to log out on upper left side of the page.