ADVANCE CALL

ETHICS & FRAUD HOTLINE SOLUTION SOFTWARE

USER MANUAL

APRIL 2021

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Table of Contents

1. USERS

1.1 Client Recipient

If you have been registered as a Client Recipient on the *Ethics & Fraud Hotline Solution Software*, you are part of the reporting structure of Recipients that will receive disclosures captured by the *Ethics & Fraud Hotline*.

You will be required to log feedback onto the *Ethics & Fraud Hotline Solution Software* (you have 21 days to provide feedback to the Whistleblower regarding whether or not his/her disclosure will be sent for investigation) and resolve (close) a disclosure after feedback has been provided to the Whistleblower.

Other features that you will gain access to via the *Ethics & Fraud Hotline Solution Software* include adding additional information to a disclosure, adding additional documents to a disclosure (as evidence to a disclosure report or feedback), flagging a disclosure if you require more information from the *Ethics & Fraud Hotline*, adding internal reference numbers to disclosures, and grouping various disclosures together (for example disclosures relating to the same matter in an organisation) to provide feedback to all Whistleblowers simultaneously or resolve selected disclosures simultaneously in order to save time and effort.

1.2 Client Investigator

If you have been registered as a Client Investigator on the *Ethics & Fraud Hotline Solution Software*, you are part of the structure of Investigators that might receive disclosures captured on the *Ethics & Fraud Hotline Solution Software*.

You will be required to log feedback onto the *Ethics & Fraud Hotline Solution Software*, during and/or after the investigation. You will also be able to view and add documents (for example your investigation report, if applicable).

1.3 Client Contact Person for Reporting

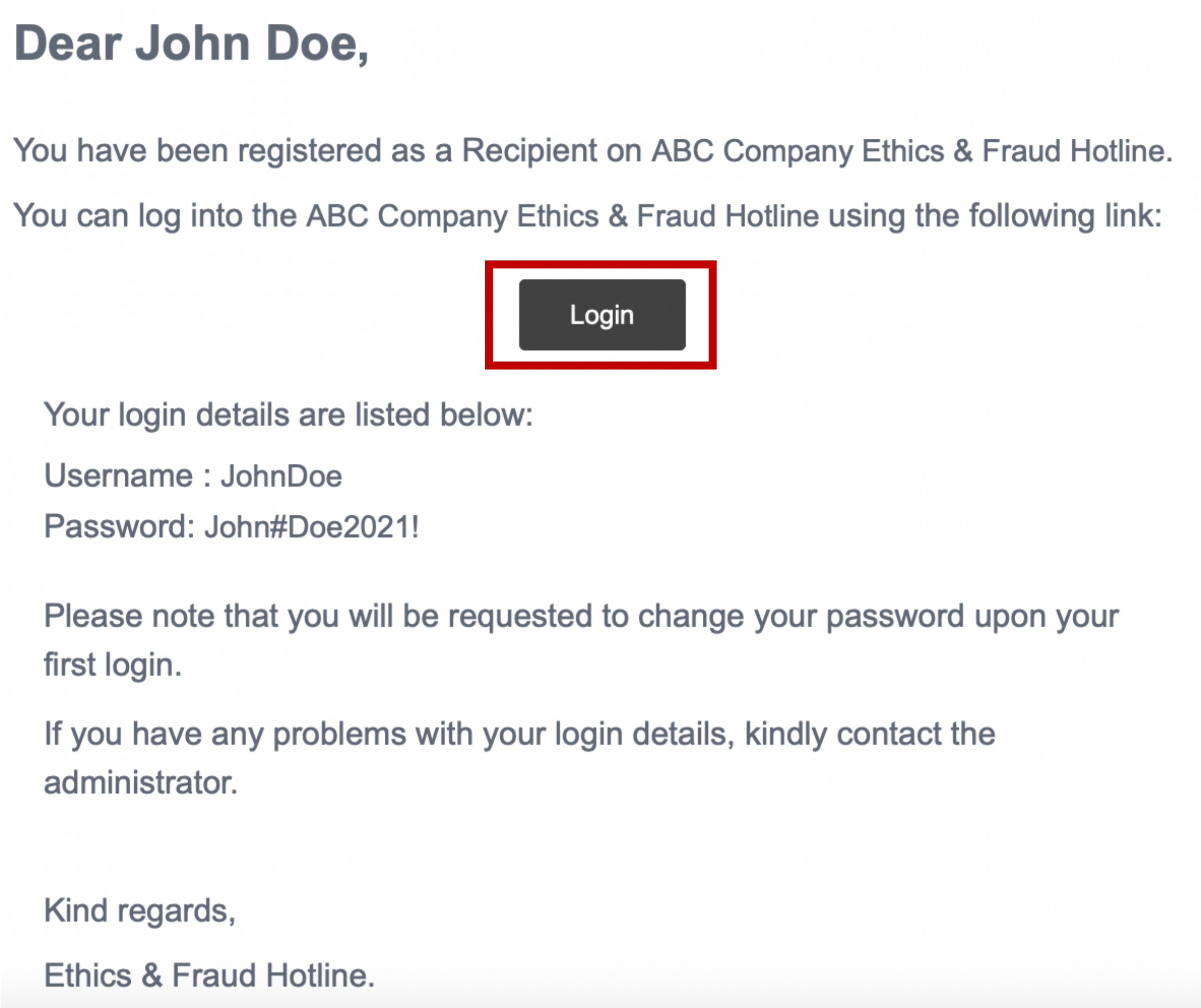
If you have been registered as a Client Contact Person for Reporting on the *Ethics & Fraud Hotline Solution Software*, you will gain access to the real-time statistics dashboard. You will also be able to download several reports.

In order to protect the anonymity of whistleblowers, you will not have access to the detailed disclosure report of each individually captured disclosure.

2. REGISTRATION

2.1 Registration

Upon registration on the *Ethics & Fraud Hotline Solution Software*, you will receive an email with your Username and Password.



Dear John Doe,

You have been registered as a Recipient on ABC Company Ethics & Fraud Hotline.

You can log into the ABC Company Ethics & Fraud Hotline using the following link:

Login

Your login details are listed below:

Username : JohnDoe
Password: John#Doe2021!

Please note that you will be requested to change your password upon your first login.

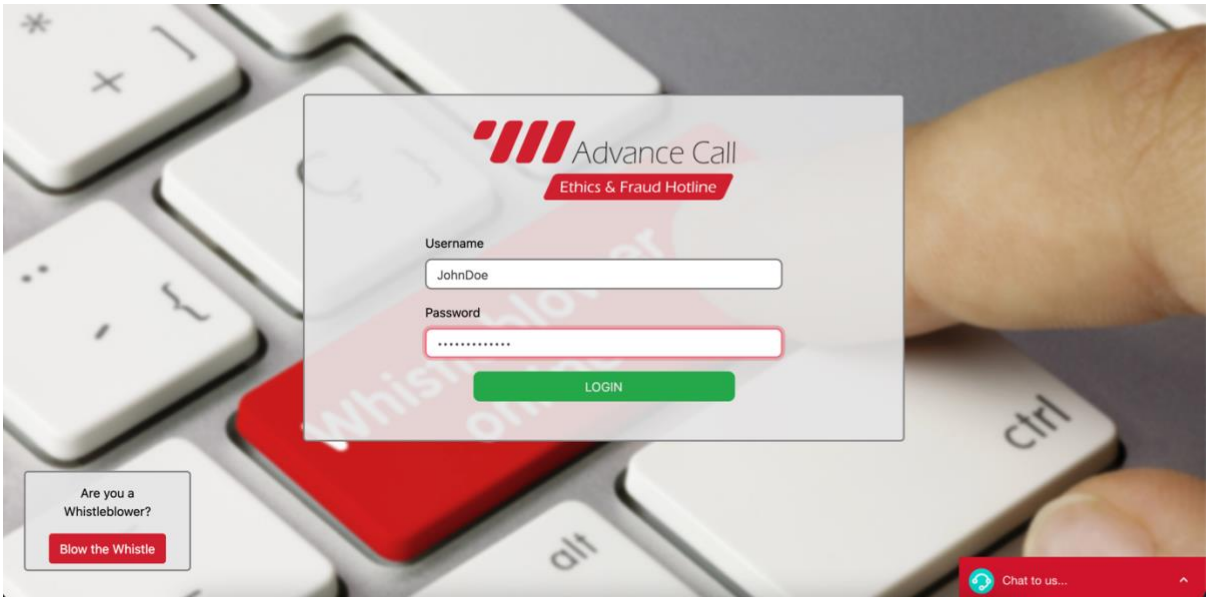
If you have any problems with your login details, kindly contact the administrator.

Kind regards,

Ethics & Fraud Hotline.

To log into the *Ethics & Fraud Hotline Solution Software*, click on the Login button.

2.2 Login



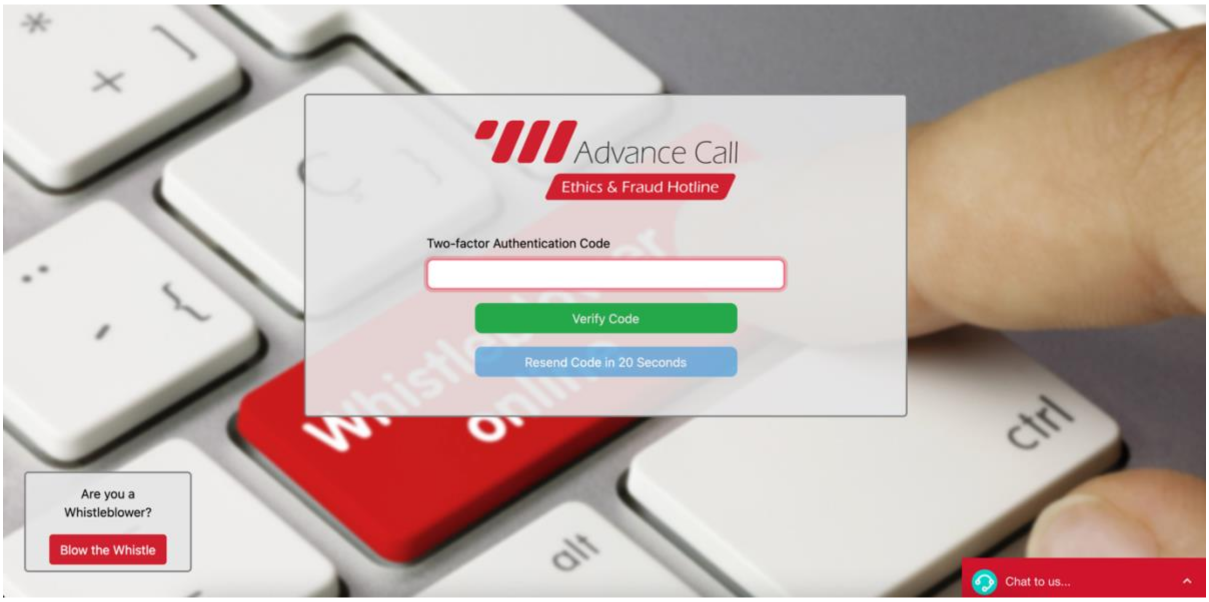
Log into the *Ethics & Fraud Hotline Solution Software* by making use of your Username and Password that was sent to you via email.

Upon first login, you will be requested to change your password.

Create any password which satisfies the following criteria:

- At least 6 characters
- At least one alphanumeric character
- At least one digit ('0'-'9')
- At least one uppercase ('A'-'Z').

2.3 Two-factor Authentication



After your password has been reset, you will log into the *Ethics & Fraud Hotline Solution Software* using your Username and (newly created) Password where after you will be asked to enter a Two-factor Authentication Code.

The Two-factor Authentication Code is a randomly generated, 6-digit numerical code.

This code will automatically be sent to you via email. Email is the default method for the two-factor authentication code, but if you prefer to receive your two-factor authentication code via SMS, kindly contact the *Ethics & Fraud Hotline* Call Centre Manager.

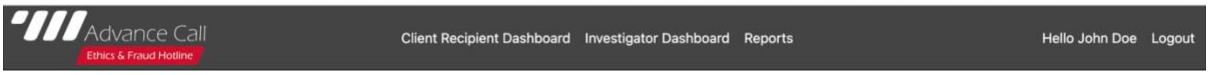
Dear John Doe,

324853 is your code to log into the Ethics and Fraud Hotline portal.

3. MENU BAR

After you have successfully logged into the *Ethics & Fraud Hotline Solution Software*, you will gain access to the Menu Bar containing links to various dashboards. It is important to note that you will only have access to the dashboards depending on which users you have been registered for. For example, if you have been registered as a Client Recipient and a Client Contact Person for Reporting, you will only have access to the Client Recipient Dashboard and Reports Dashboard (not the Investigator Dashboard).

Through links on the Menu Bar, you can also view and change your login details and logout.



- *Client Recipient Dashboard* – click on the link to navigate to the Client Recipient Dashboard
- *Investigator Dashboard* – click on the link to navigate to the Investigator Dashboard
- *Reports* – click on the link to navigate to the Reports Dashboard
- *Hello Username* – click on the link to change your password, email address or contact number
- *Logout* – click on the link to log out of the *Ethics & Fraud Hotline Solution Software*.

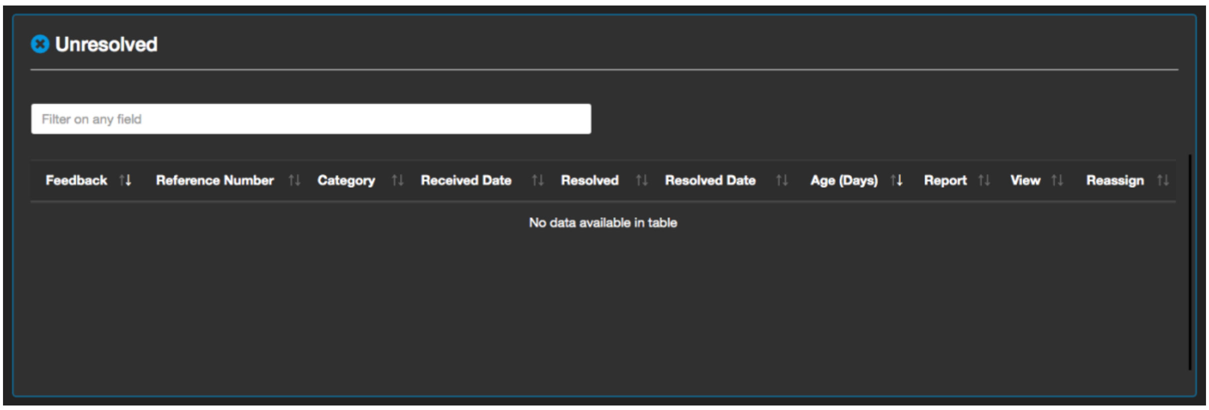
4. CLIENT RECIPIENT DASHBOARD

The Client Recipient Dashboard consists of three sections, namely:

- Unresolved
- Resolved
- Group Disclosures.

4.1 Dashboard Sections

4.1.1 Unresolved

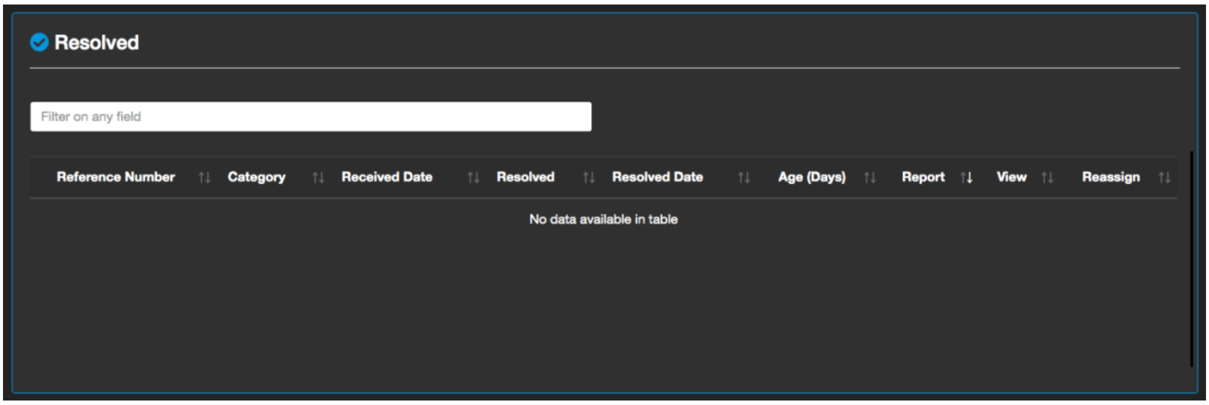


The Unresolved section displays all the disclosures that have been captured, but that has not yet been resolved.

Disclosures that have been open for more than 21 days will be highlighted in red in the Age (Days) Column.

The search function at the top of the Unresolved section can be used to search on any information within the section (dynamic search function) and will filter the disclosures for applicable information.

4.1.2 Resolved



The Resolved section displays all the disclosures that have been resolved.

The search function at the top of the Resolved section can be used to search on any information within the section (dynamic search function) and will filter the disclosures for applicable information.

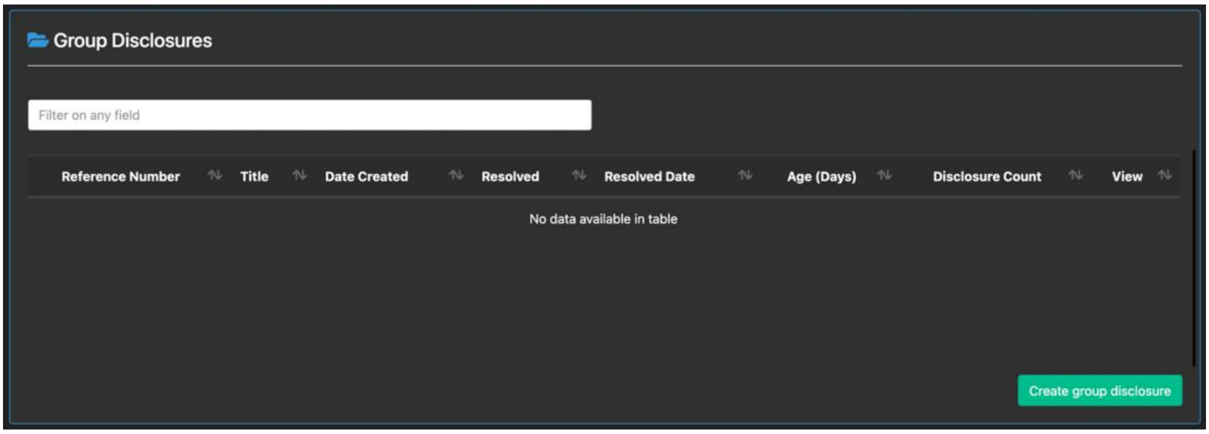
The following fields are displayed in the Unresolved and Resolved sections for each disclosure captured:

- *Feedback*:* When feedback is requested, and a disclosure is flagged, it will be displayed in this column. The disclosures where feedback was requested will be displayed at the top.
- *Reference Number*: This is the unique 6-digit number that is randomly generated and assigned to each disclosure.
- *Category*: This is the selected disclosure category.
- *Received Date*: This field displays the date when the disclosure was received at the *Ethics & Fraud Hotline*.
- *Resolved*: This field indicates whether or not the disclosure has been resolved.
- *Resolved Date*: This field displays the date when the disclosure was marked as resolved, if applicable.
- *Age (Days):* This field displays the number of days that the disclosure has been unresolved. If this disclosure age goes over 21 days and feedback has not yet been provided to the Whistleblower, it will be highlighted in red.

- *Report:* Click on the button to download the disclosure report in PDF format.
- *View*: Click on the button to view and edit the disclosure with feedback, additional documentation, etc.
- *Reassign*: Click on the button to reassign the disclosure to Investigator/s. This will be done in the case that the disclosure was mistakenly assigned to the incorrect Investigator/s. A minimum of one Investigator should be selected.

* Only in the Unresolved section.

4.1.3 Group Disclosures



Client Recipients has the functionality to create Group Disclosures.

By using the Group Disclosure functionality, a Client Recipient can group various disclosures together (for example disclosures relating to the same matter in an organisation), and then provide feedback to all Whistleblowers simultaneously or resolve selected disclosures simultaneously, in order to save time and effort.

Things to note regarding Group Disclosures:

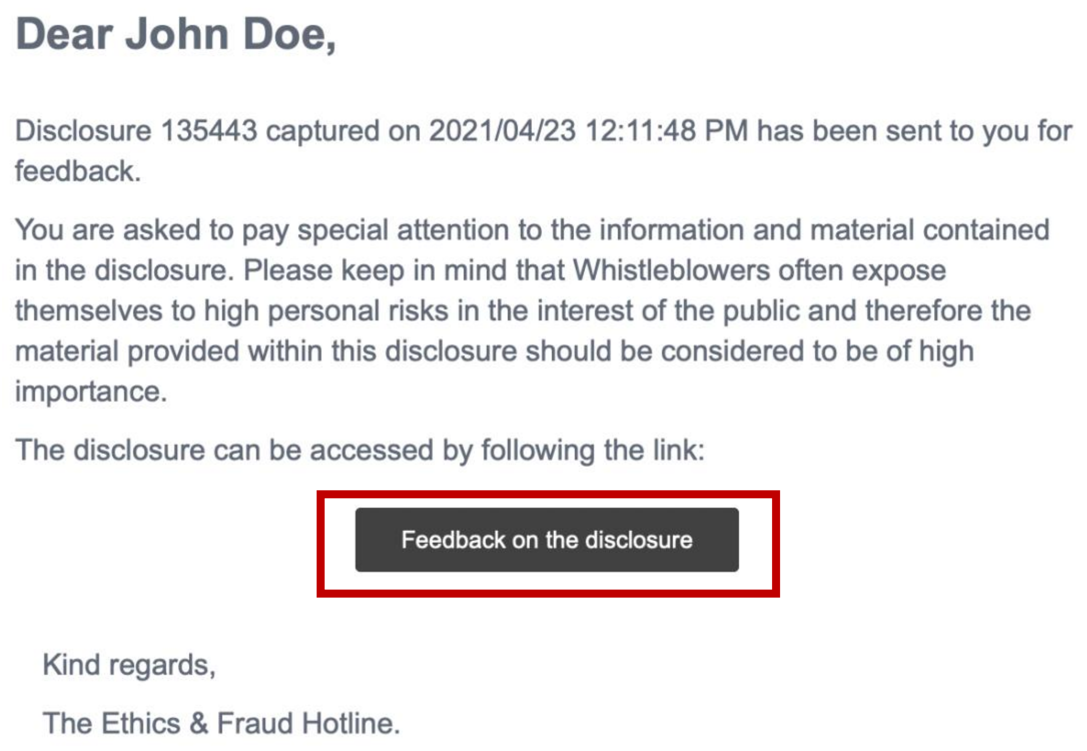
- Group Disclosures can only be created and resolved by a Client Recipient
- A Client Recipient can only add a disclosure that was assigned to him/her to a Group Disclosure (i.e., only the disclosures that appear on the Client Recipient dashboard can be added to a Group Disclosure)
- Resolved disclosures can be added to a Group Disclosure for grouping purposes, but will not receive the Group Disclosure feedback
- A disclosure can only be added to a single Group Disclosure
- Disclosures can be added/removed from the Group Disclosure at any time (until the Group Disclosure has been resolved)
- All disclosures added to the Group Disclosure can be opened from the Group Disclosure to view the information and documents that have been added to the individual disclosures.

The following fields are displayed in the Group Disclosures section for each group disclosure captured:

- *Reference Number*: This is the unique 6-digit number that is randomly generated and assigned to each group disclosure.
- *Title*: This is the group disclosure title, as created by the Client Recipient.
- *Date Created*: This field displays the date when the group disclosure was created by the Client Recipient.
- *Resolved*: This field indicates whether or not the group disclosure has been resolved.
- *Resolved Date*: This field displays the date when the group disclosure was marked as resolved, if applicable.
- *Age (Days):* This field displays the number of days that the group disclosure has been unresolved.
- *Disclosure Count:* This field displays the number of disclosures that have been assigned to the group disclosure.
- *View*: Click on the button to view and edit the group disclosure.

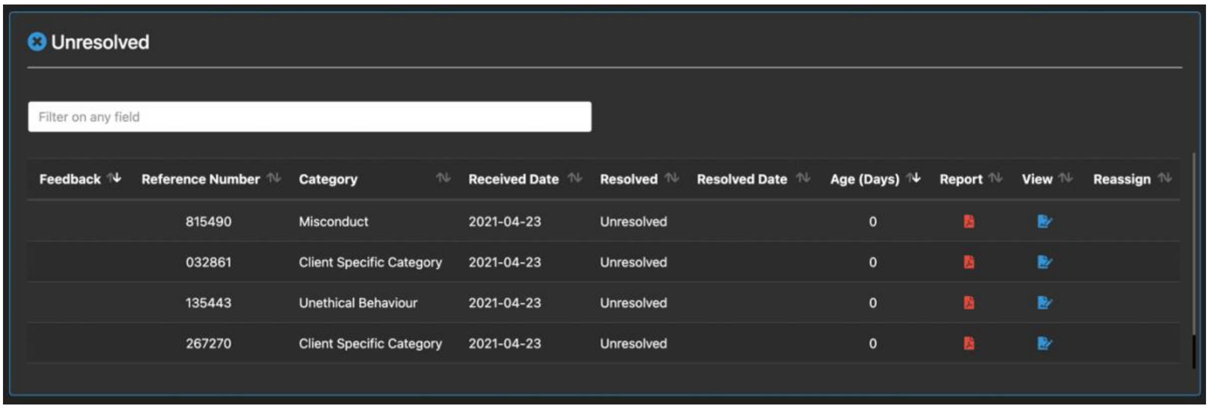
4.2 Notification of Disclosure

When a disclosure has been captured on the *Ethics & Fraud Hotline Solution Software* and assigned to a Client Recipient, the Client Recipient will receive a notification as per preferred method of communication (SMS/Email/None).



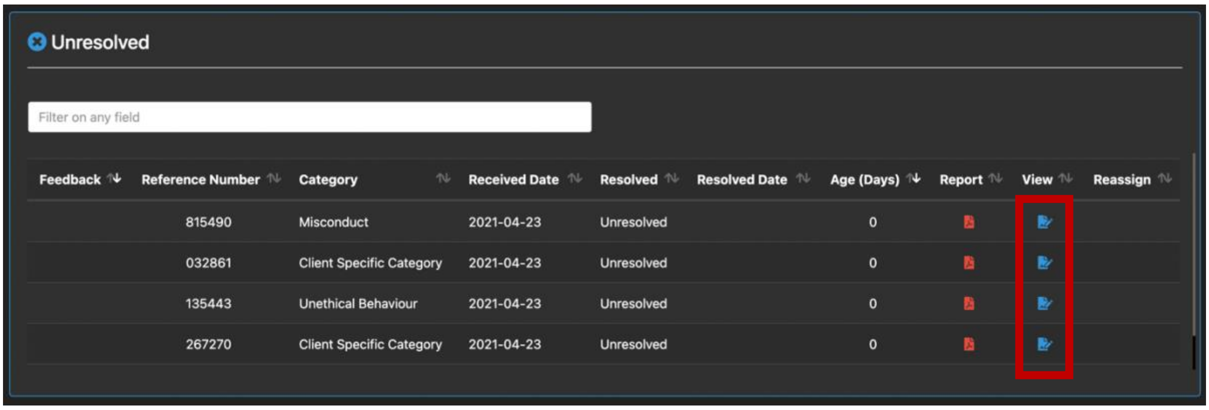
In order to log into the *Ethics & Fraud Hotline Solution Software* to view and provide feedback on the disclosure, click on the *Feedback on the disclosure* button and log in using your Username, Password and Two-factor Authentication Code.

Once logged in, the disclosures assigned to you will be displayed on the Client Recipient Dashboard under the Unresolved section.

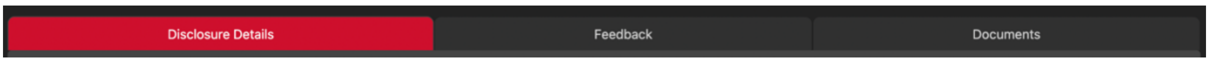


4.3 Disclosure Feedback and Tabs

In order to view and provide feedback (and ultimately resolve a disclosure), navigate to the disclosure and click on "View" to open the disclosure.



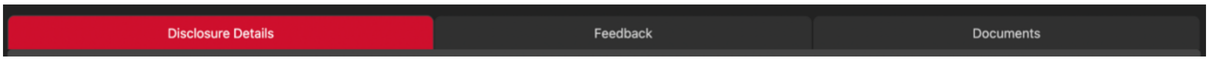
Once the disclosure has been opened, there are three tabs where information will be displayed, as captured by the *Ethics & Fraud Hotline* Consultant, namely:



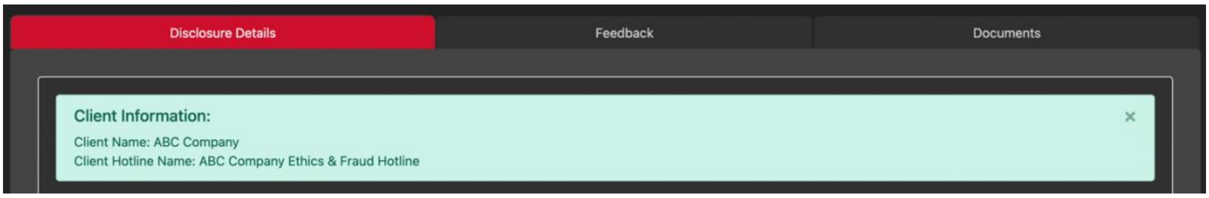
- *Disclosure Details*: this tab displays all the details of the disclosure.
- *Feedback*: this is where feedback from all users can be viewed (Consultant, Client Recipient, Client Investigator, Whistleblower, etc.) and additional feedback (from the Client Recipient) can be captured.

- *Documents*: this is where the documents (evidence) can be viewed and where additional documents can be added.

4.3.1 Disclosure Details Tab

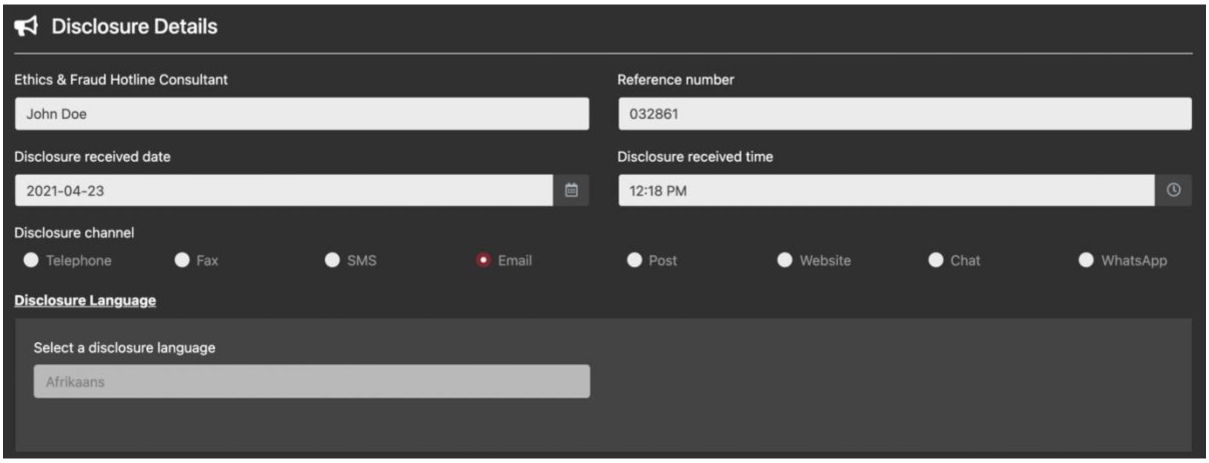


Client information (Client name and Client hotline name) will be displayed at the top of the disclosure screen.



<u>Disclosure Details</u>

The Disclosure Details sub-section provides technical information on the disclosure.

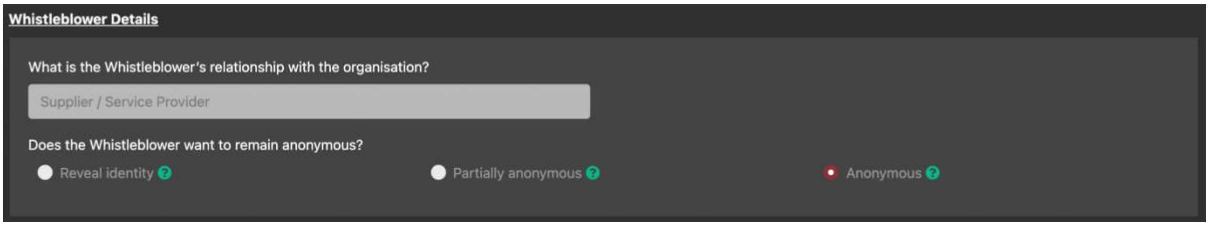


- *Ethics & Fraud Hotline Consultant*: To protect the Consultants' anonymity, this field will not be visible to the Client Recipient.
- *Reference number*: This is the unique 6-digit number that is randomly generated and assigned to each disclosure.
- *Disclosure received date*: This field displays the date when the disclosure was received at the *Ethics & Fraud Hotline*.
- *Disclosure received time*: This field displays the time that the disclosure was received at the *Ethics & Fraud Hotline*.
- *Disclosure channel*: The incoming channel through which the disclosure was received is displayed here.

- *Disclosure language*: Language in which the disclosure was reported to the *Ethics & Fraud Hotline*.

<u>Whistleblower Details</u>

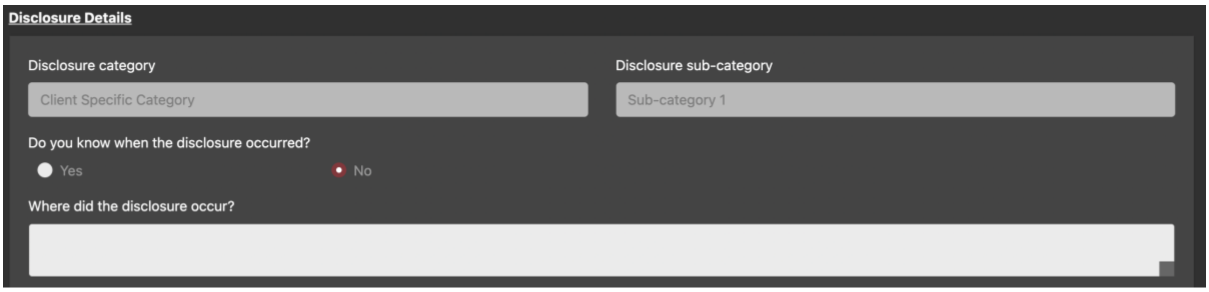
The Whistleblower Details sub-section provides information on the Whistleblower.

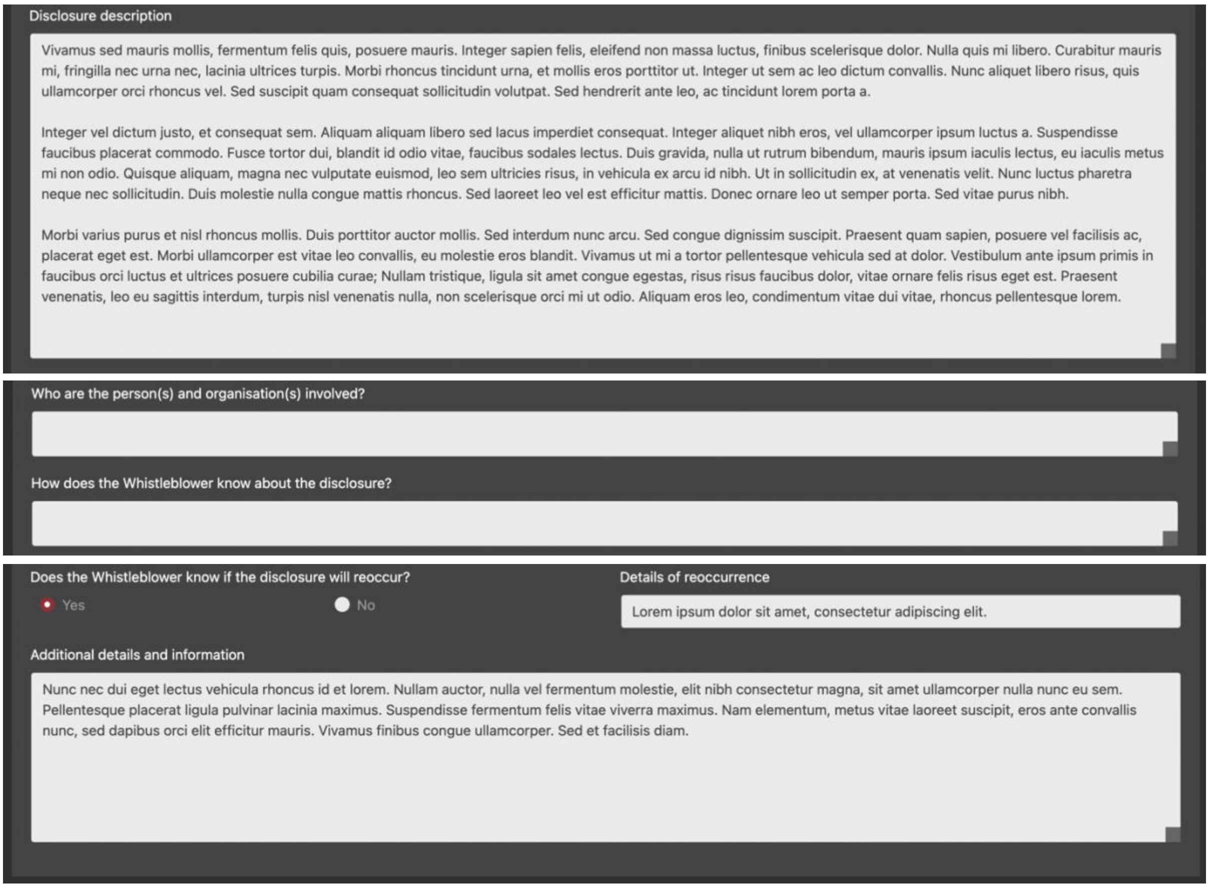


- *What is the Whistleblower's relationship with the organisation*? This provides the Whistleblower's relationship to the organisation (Employee, Supplier / Service Provider, etc.).
- *Does the Whistleblower want to remain anonymous?* This is where the Whistleblower's contact details are displayed. If the Whistleblower decided to remain *Partially anonymous* or *Anonymous*, no details will be displayed in this section. If the Whistleblower however selected the *Reveal identity* option, the Whistleblower's name, surname and contact details (contact number and/or email address) will be displayed here.

<u>Disclosure Details</u>

The Disclosure Details sub-section provides the detailed information on the disclosure.

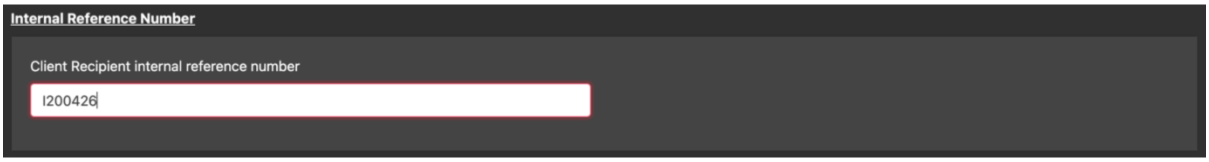




- *Disclosure category*: This field displays the selected disclosure category.
- *Disclosure sub-category:* This field displays the selected disclosure sub-category (if applicable).
- *Do you know when the disclosure occurred?* If “Yes” is selected, this field will display the date that the disclosure took place, as reported by the Whistleblower.
- *Where did the disclosure occur*? This field will indicate the place where the disclosure took place, as reported by the Whistleblower.
- *Disclosure description:* This field will provide a detailed description of the disclosure, as provided by the Whistleblower (sanitized by the *Ethics & Fraud Hotline*).
- *Who are the person(s) and organisation(s) involved?* A list of person(s) and organisation(s) involved will be listed in this field, if applicable.
- *How does the Whistleblower know about the disclosure?* This field will provide information on how the Whistleblower knows about the disclosure.
- *Does the Whistleblower know if the disclosure will reoccur?* If “Yes” is selected the reoccurrence details will be displayed in the *Details of reoccurrence* field.
- *Additional details and information*: Client specific questions will be displayed and answered in this field as well as any additional details and information, as provided by the Whistleblower.

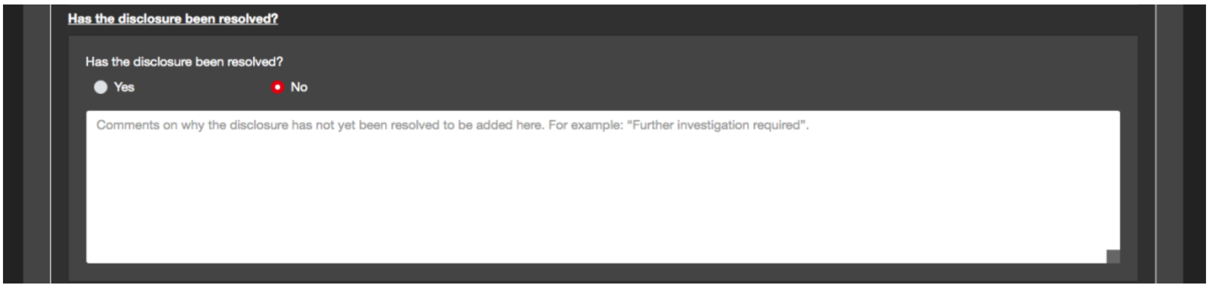
Internal Reference Number

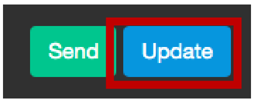
This sub-section will be used by Client Recipients to add an internal reference number to the disclosure. The *Ethics & Fraud Hotline* will not populate this field as it is for the sole purpose of the Client (for internal/office use).



Has the disclosure been resolved?

This sub-section enables the Recipient to resolve (close) a disclosure.



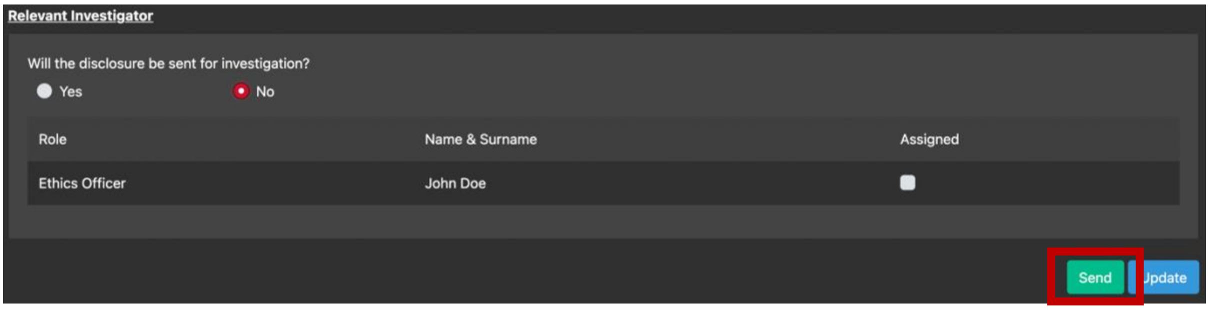


If the disclosure has not yet been resolved, the Recipient can provide feedback to the Whistleblower in this field, for example if further investigation is required or if the disclosure will be referred to an Investigator for investigation.

To mark the disclosure as resolved, select “Yes” and click the *Update* button.

Relevant Investigator

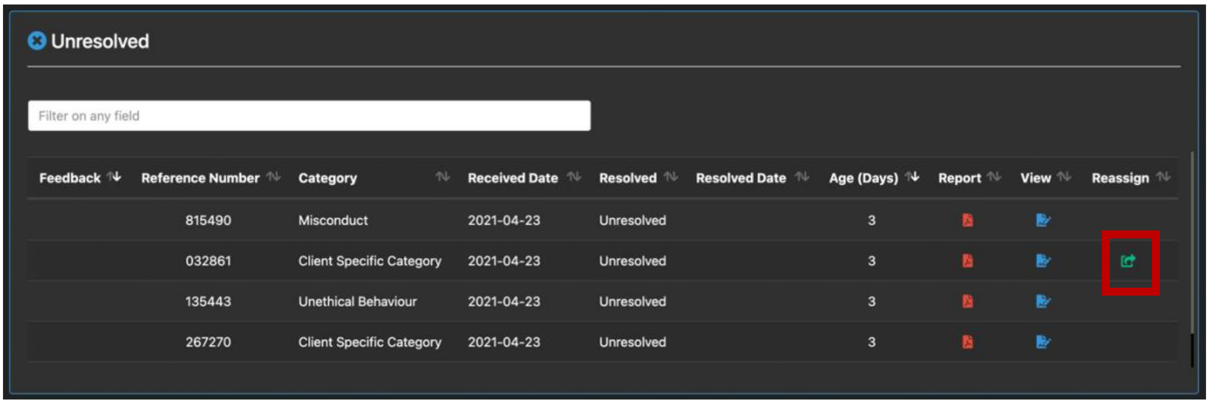
The Relevant Investigator sub-section enables the Client Recipient to send the disclosure to a Client Investigator/s to investigate the disclosure further, if applicable.



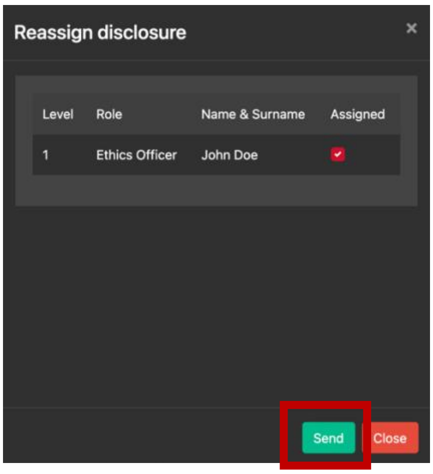
If "Yes" is selected, the table of registered Client Investigators are displayed. The Client Recipient can select and send the disclosure to multiple Investigators by selecting the Investigator/s and clicking the *Send* button.

Re-assigning an Investigator

If a Client Recipient has assigned the disclosure to the incorrect Client Investigator or wish to assign the disclosure to another Client Investigator, it can be done on the Client Recipient Dashboard, under the Unresolved section.



Navigate to the disclosure that you would like to assign (reassign) to a Client Investigator and click on the *Reassign* button.

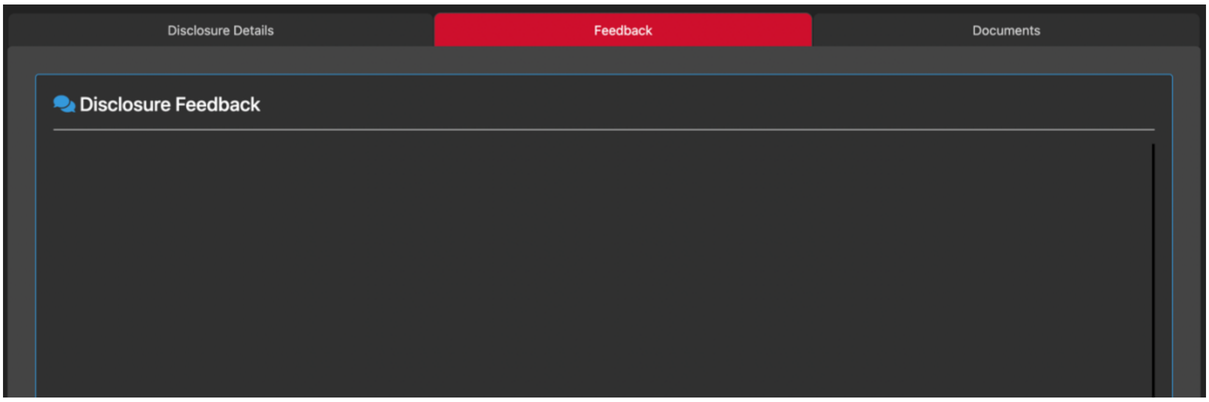


Select (de-select) the applicable Client Investigator(s) and click on the *Send* button.

4.3.2 Feedback Tab

Disclosure Feedback

On the Feedback Tab, the Client Recipient will be able to view feedback that all users have provided on the disclosure (in chronological order). The Client Recipient will also be able to add feedback to the disclosure.

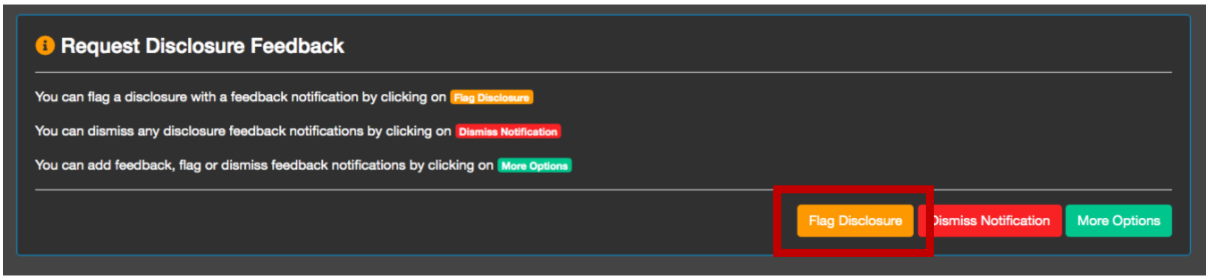


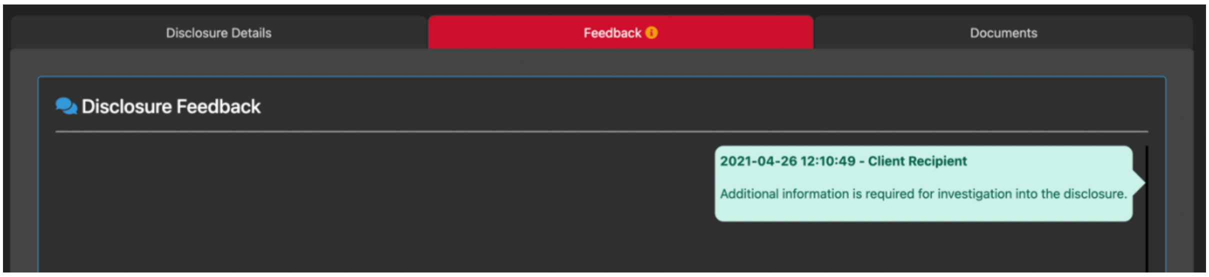
All feedback (from all users) will be date and time stamped and listed in chronological order.

Feedback can be added by typing it into the feedback bar and clicking on the *Submit Feedback* button.

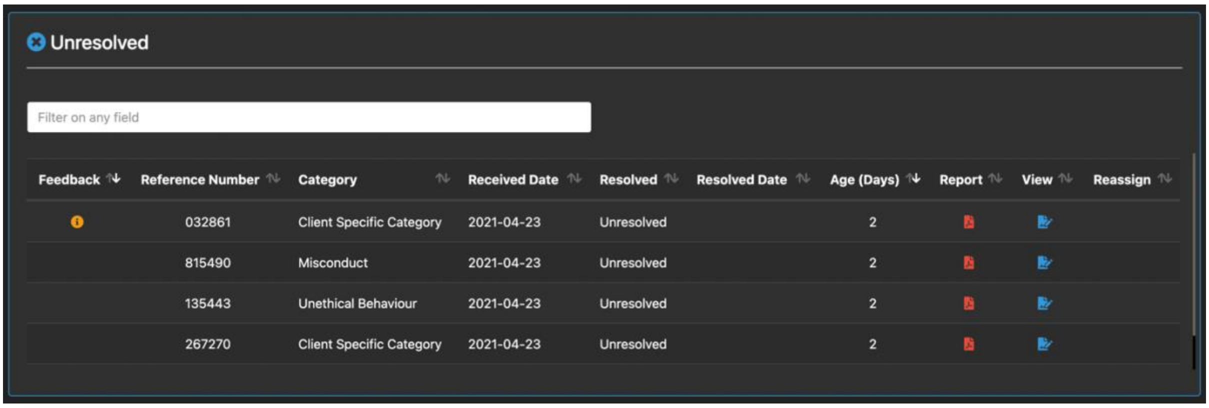
Request Disclosure Feedback (Flag Disclosures)

If the Client Recipient feels that the feedback requested for a disclosure is urgent, the disclosure can be flagged.





Disclosures that are flagged will be marked with an "information" icon and will be displayed at the top of the Unresolved section on the Client Recipient Dashboard. The *Ethics & Fraud Hotline* will also receive an email when a Client Recipient flags a disclosure.

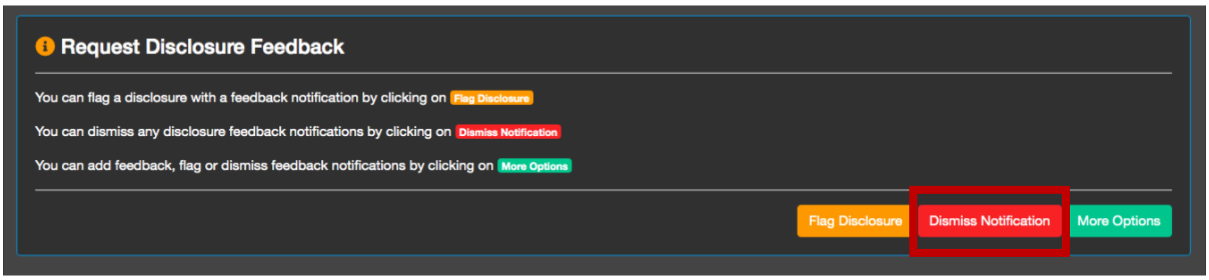


Unresolved

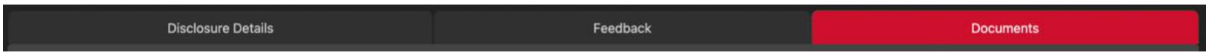
Filter on any field

Feedback	Reference Number	Category	Received Date	Resolved	Resolved Date	Age (Days)	Report	View	Reassign
	032861	Client Specific Category	2021-04-23	Unresolved		2			
	815490	Misconduct	2021-04-23	Unresolved		2			
	135443	Unethical Behaviour	2021-04-23	Unresolved		2			
	267270	Client Specific Category	2021-04-23	Unresolved		2			

Once the requested information has been addressed, the flag/notification can be dismissed.

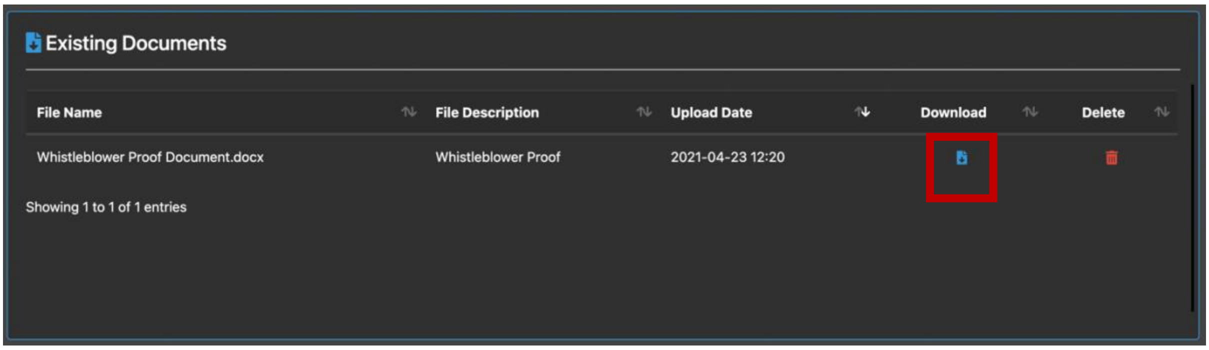


4.3.3 Documents Tab



The documents tab contains all documents that have been added by all users (Whistleblower, Client Recipient, Client Investigator, etc.) as proof/evidence of the disclosure.

Existing Documents



All existing documents can be viewed (downloaded) under the Existing Documents sub-section, by clicking on the *Download* button.

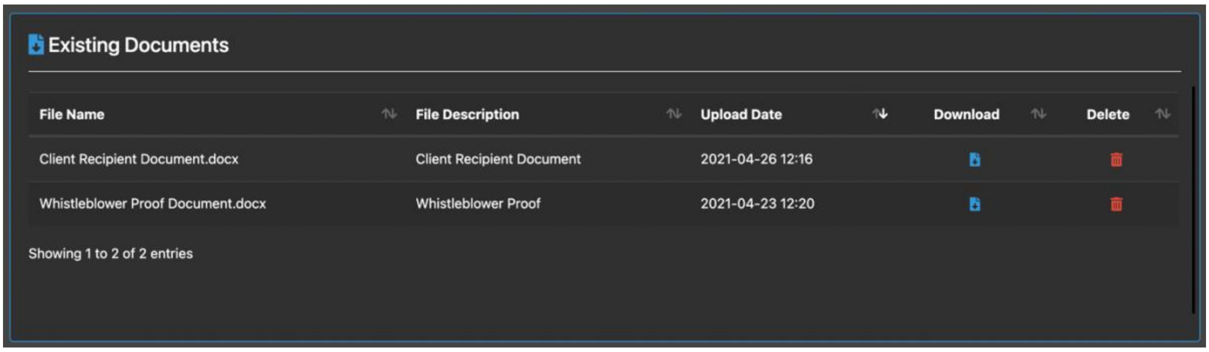
Upload Document

The Client Recipient will also be able to add documents to the disclosure (for all other users to have access to). This could for example be a report of the investigation or any other information that you would like to add to the disclosure.

To upload a document, follow these steps:

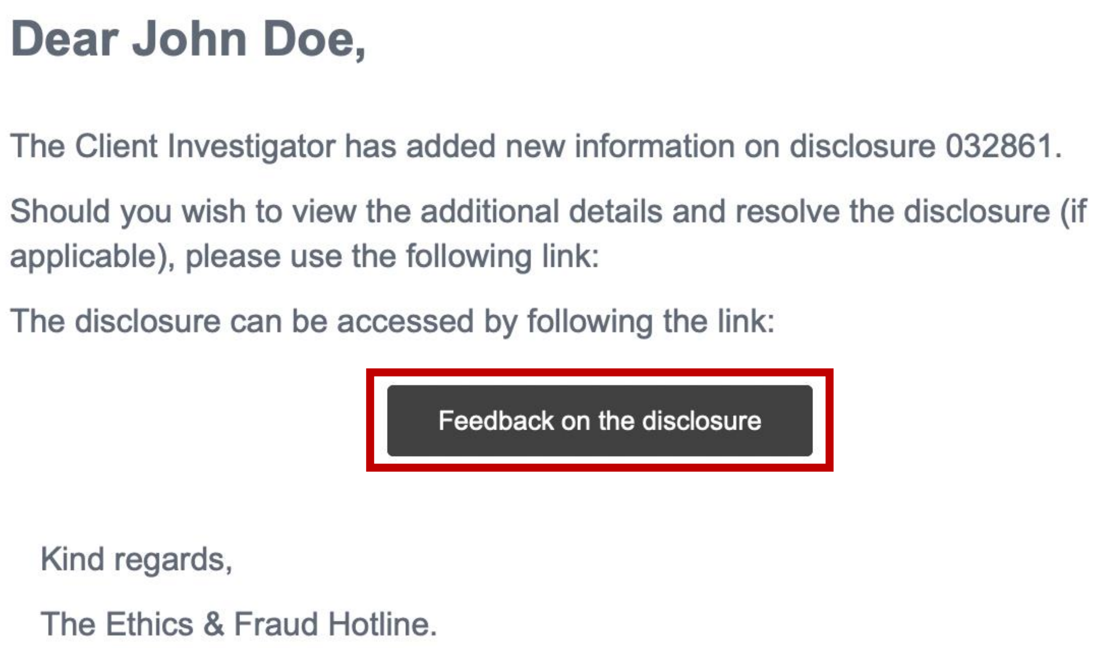
- Click on “Choose File”, navigate to the document/s that you would like to upload and click upload.
- Provide a document description
- Click on “Upload Document”.

As soon as the documents have successfully been uploaded, they will appear in the Existing Documents sub-section.



4.4 Resolving a Disclosure

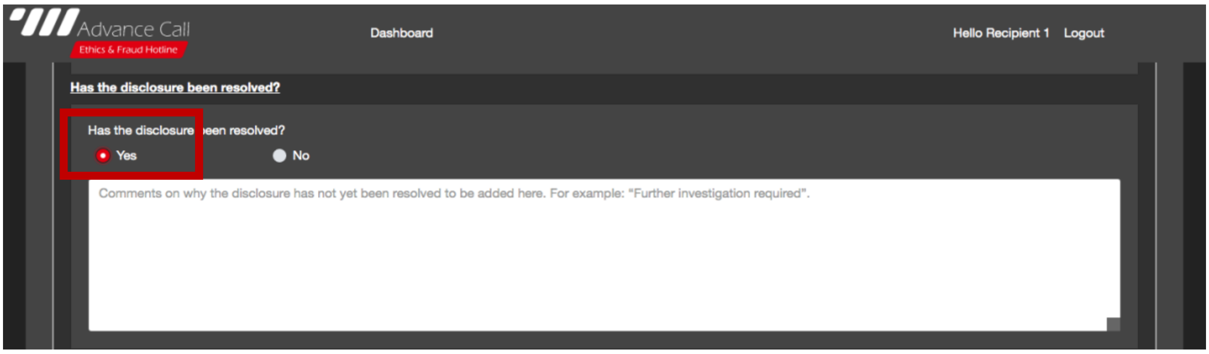
If a disclosure has been sent to a Client Investigator for investigation and that Client Investigator adds any information on the disclosure (feedback on the comment field or additional documentation) the Client Recipient will receive a notification as per preferred method of communication (SMS/Email/None).

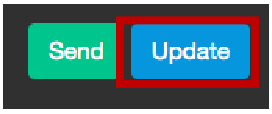


In order to log into the *Ethics & Fraud Hotline Solution Software* to view the feedback and resolve (close) the disclosure, click on the *Feedback on the disclosure* button and log in using your Username, Password and Two-factor Authentication Code.

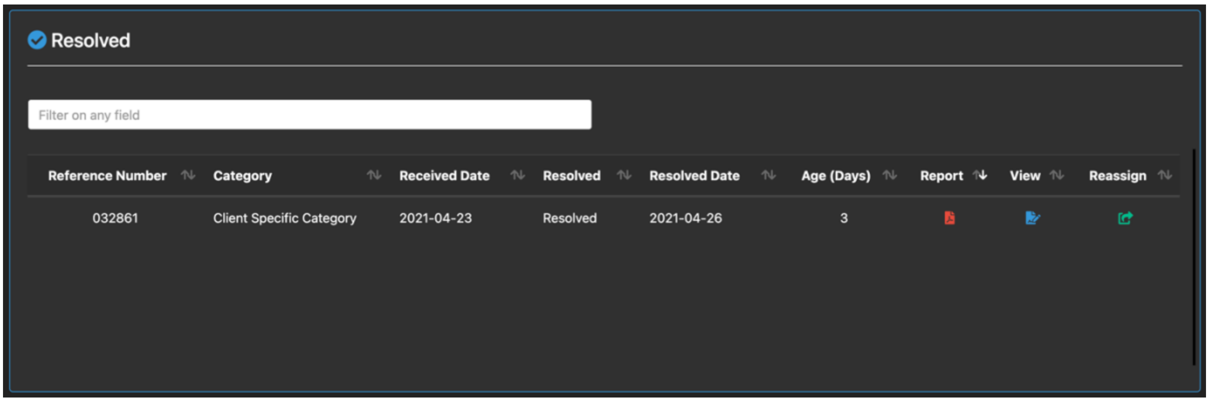
After you are satisfied with the feedback received on the disclosure and would like to mark the disclosure as resolved, it can be done on the *Disclosure Details Tab*, under the *Has the disclosure been resolved?* sub-section.

To resolve a disclosure, select “Yes”, add a comment (if applicable) and click on the *Update* button.





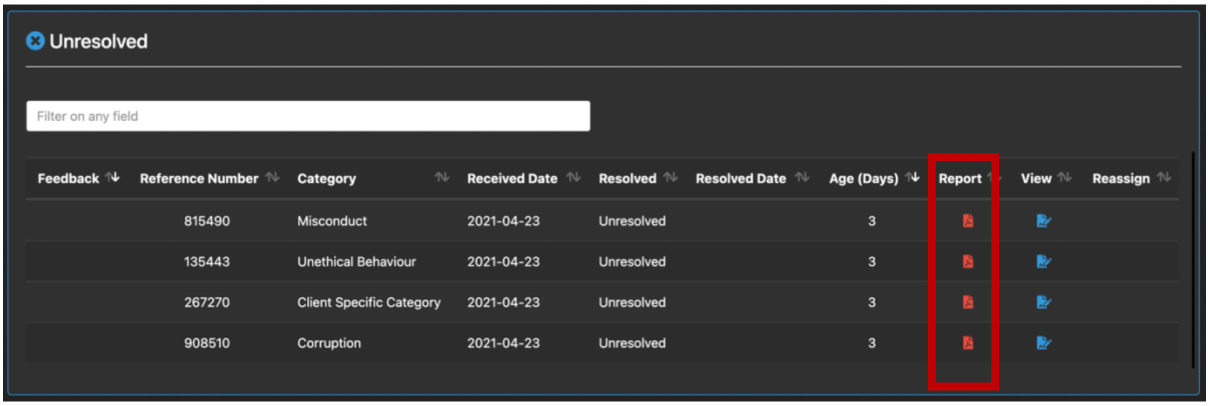
As soon as the disclosure has been resolved, it will move from the Unresolved section to the Resolved section on the Client Recipient Dashboard.



4.5 Downloading a Disclosure Report

To download a Disclosure Report, navigate to the disclosure using the reference number and search bar. This can be done in the Unresolved or Resolved section on the Client Recipient Dashboard.

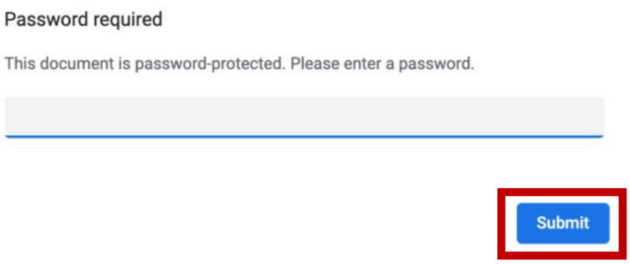
Once the disclosure has been located, click the PDF report button to download the Disclosure Report.



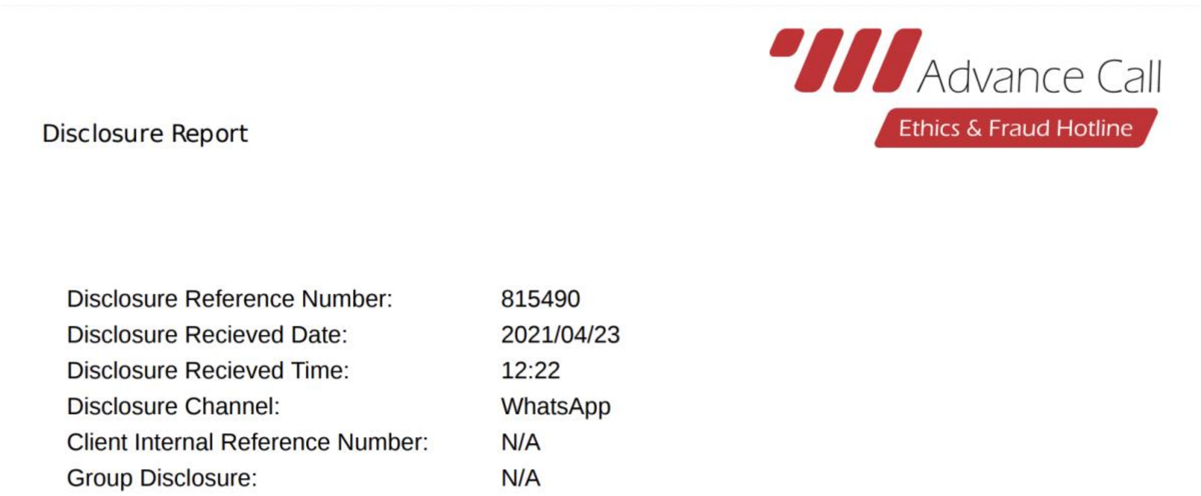
Unresolved

Filter on any field

Feedback	Reference Number	Category	Received Date	Resolved	Resolved Date	Age (Days)	Report	View	Reassign
	815490	Misconduct	2021-04-23	Unresolved		3			
	135443	Unethical Behaviour	2021-04-23	Unresolved		3			
	267270	Client Specific Category	2021-04-23	Unresolved		3			
	908510	Corruption	2021-04-23	Unresolved		3			



The Disclosure Report is encrypted with a password. To open the Disclosure Report, enter the 6-digit reference number of the disclosure and click on the *Submit* button.



Advance Call

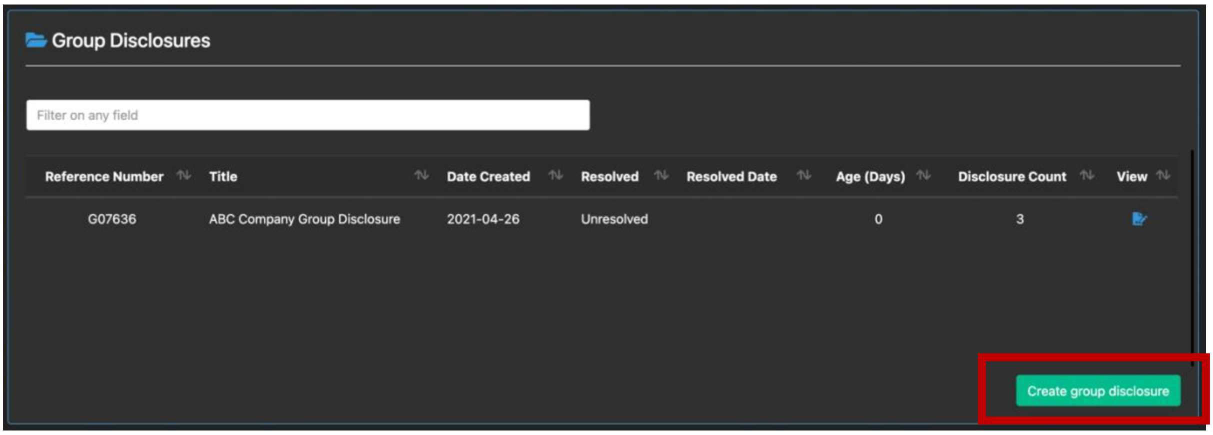
Ethics & Fraud Hotline

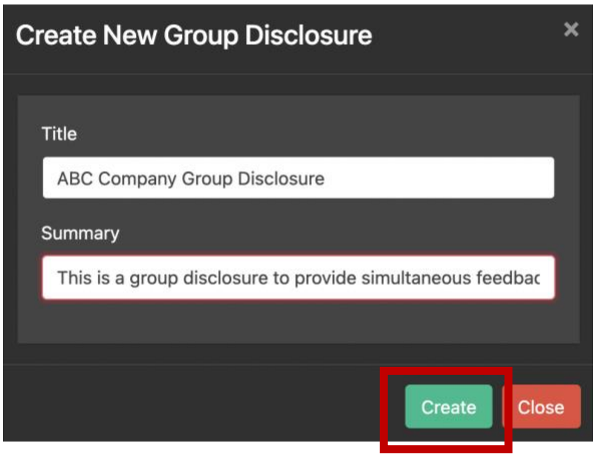
Disclosure Report

Disclosure Reference Number:	815490
Disclosure Recieved Date:	2021/04/23
Disclosure Recieved Time:	12:22
Disclosure Channel:	WhatsApp
Client Internal Reference Number:	N/A
Group Disclosure:	N/A

4.6 Group Disclosure

To create a Group Disclosure (from the Client Recipient dashboard), click on the *Create group disclosure* button.

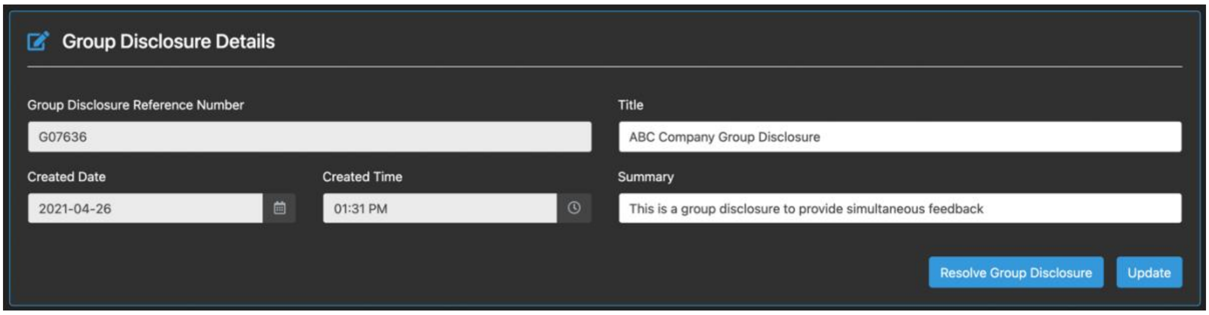




Create a *Title* and *Summary* for the Group Disclosure and click on the *Create* button.

4.6.1 Group Disclosure Sections

Group Disclosure Details



The *Group Disclosure Details* section provides technical information on the Group Disclosure.

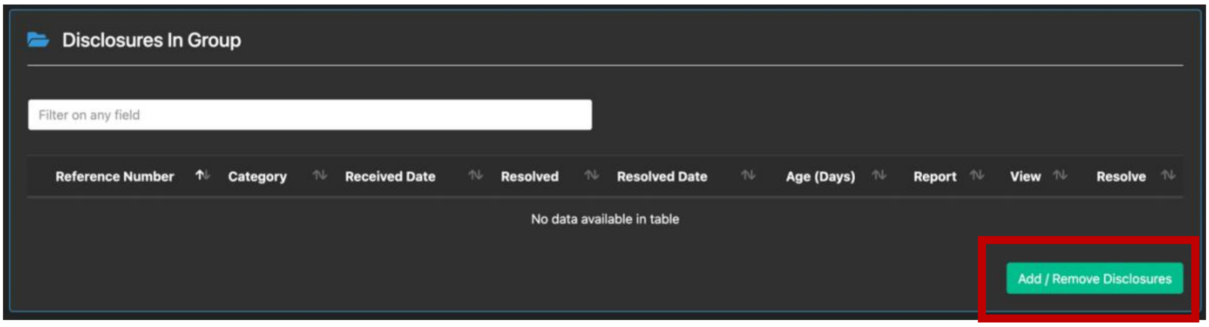
- *Group Disclosure Reference Number*: This is the unique 6-digit number that is randomly generated and assigned to each group disclosure.

- *Title*: This field displays the group disclosure title, as created by the Client Recipient.
- *Created Date*: This field displays the date when the group disclosure was created by the Client Recipient.
- *Created Time*: This field displays the time when the group disclosure was created by the Client Recipient.
- *Created time*: This field displays the time that the disclosure was received at the *Ethics & Fraud Hotline*.
- *Summary*: This field displays a summary of the group disclosure, as created by the Client Recipient.

These details can be updated by changing the various fields and clicking on the *Update* button.

The Group Disclosure can also be resolved (closed) under this section, by clicking on the *Resolve Group Disclosure* button.

Disclosures In Group



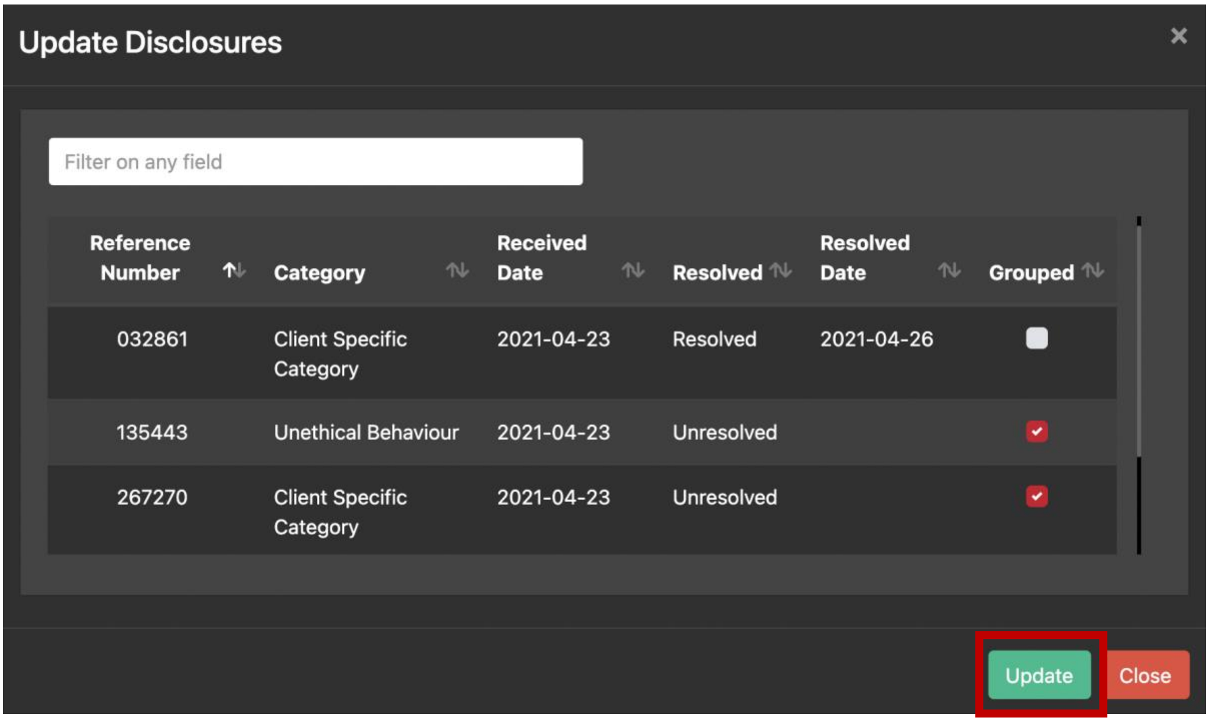
The *Disclosures in Group* section displays all the disclosures that is added to the Group Disclosure.

The following fields are displayed in the *Disclosures In Group* section:

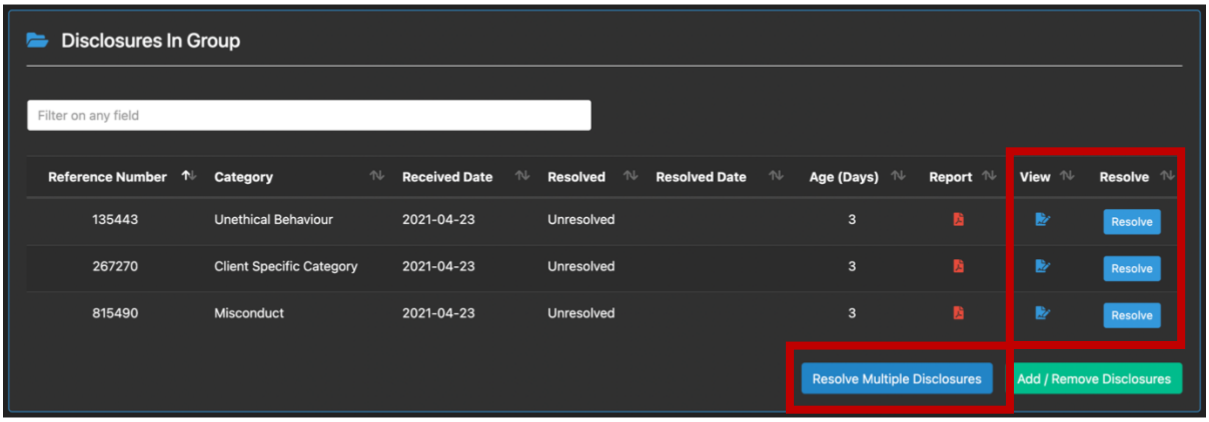
- *Reference Number*: This is the unique 6-digit number that is randomly generated and assigned to each disclosure.
- *Category*: This is the selected disclosure category.
- *Received Date*: This field displays the date when the disclosure was received at the *Ethics & Fraud Hotline*.
- *Resolved*: This field indicates whether or not the disclosure has been resolved.
- *Resolved Date*: This field displays the date when the disclosure was marked as resolved, if applicable.

- *Age (Days):* This field displays the number of days that the disclosure has been unresolved. If this disclosure age goes over 21 days and feedback has not yet been provided to the Whistleblower, it will be highlighted in red.
- *Report:* Click on the button to download the disclosure report in PDF format.
- *View*: Click on the button to view and edit the disclosure with feedback, additional documentation, etc.
- *Resolve*: Click on the button to resolve the disclosure.

To add or remove disclosures to the Group Disclosure, click on the *Add/Remove Disclosures* button.

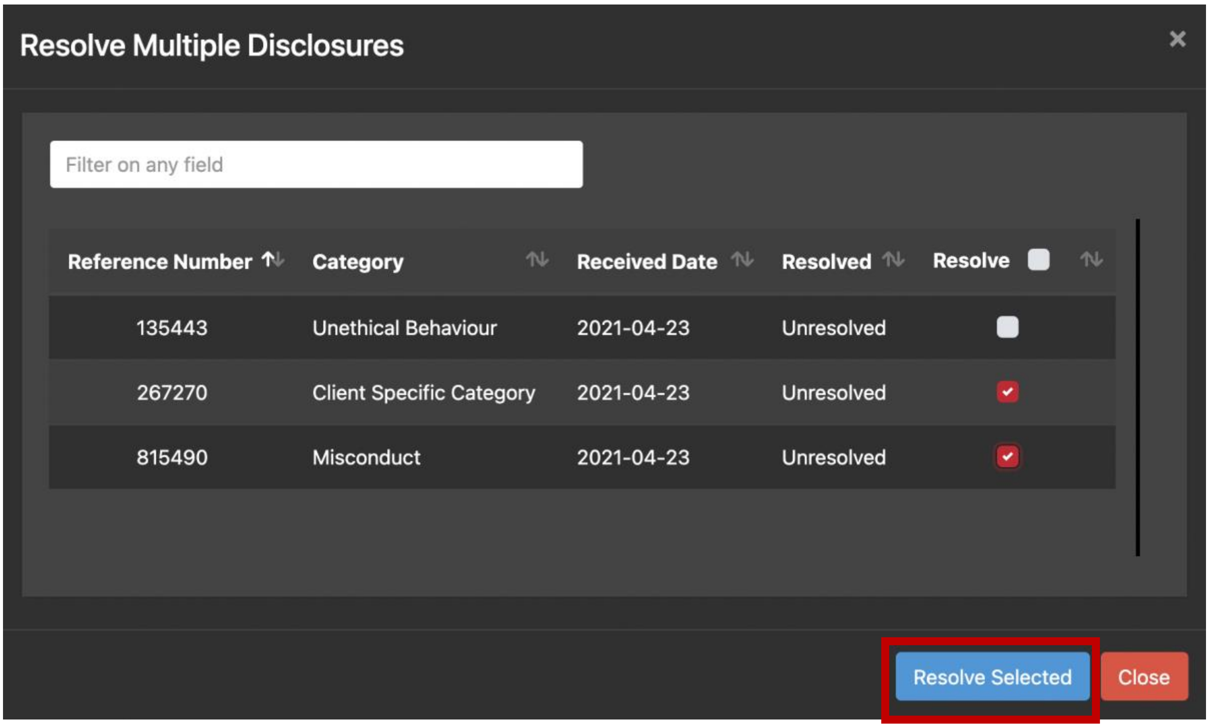


This will open a window with all the disclosures that have been assigned to the Client Recipient (including all unresolved and resolved disclosures). The Client Recipient can select all the disclosures that should be added to the Group Disclosure and click on the *Update* button.



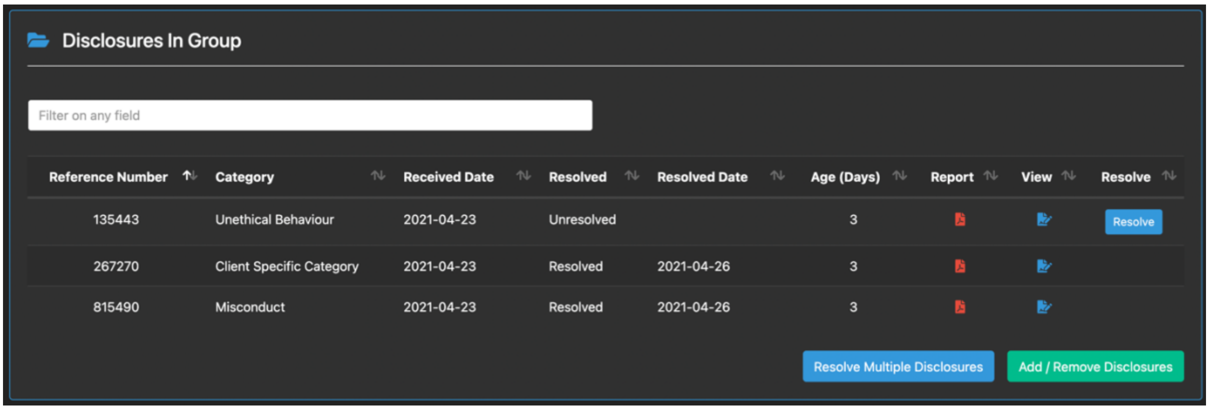
All selected disclosures will then be listed in the *Disclosures In Group* section. Each individual disclosure can be viewed here, by clicking on the *View* button or resolved, by clicking on the *Resolve* button.

To resolve multiple disclosures simultaneously, click on the *Resolve Multiple Disclosures* button.



This will open a window with all the unresolved disclosures that have been added to the Group Disclosure. The Client Recipient can select all the disclosures that should be resolved and click on the *Resolve Selected* button to resolve the selected disclosures.

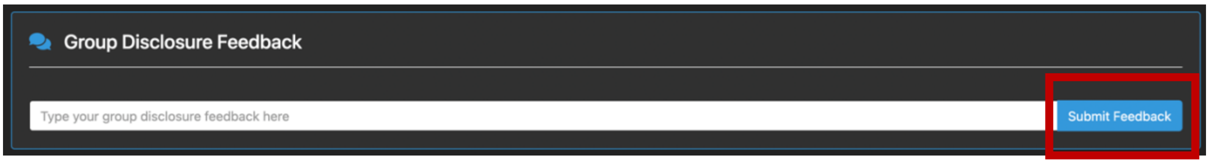
A select all function is also available in this window, if all disclosures should be resolved simultaneously.



The disclosures will still appear in the *Disclosures In Group* section, but will be shown as resolved.

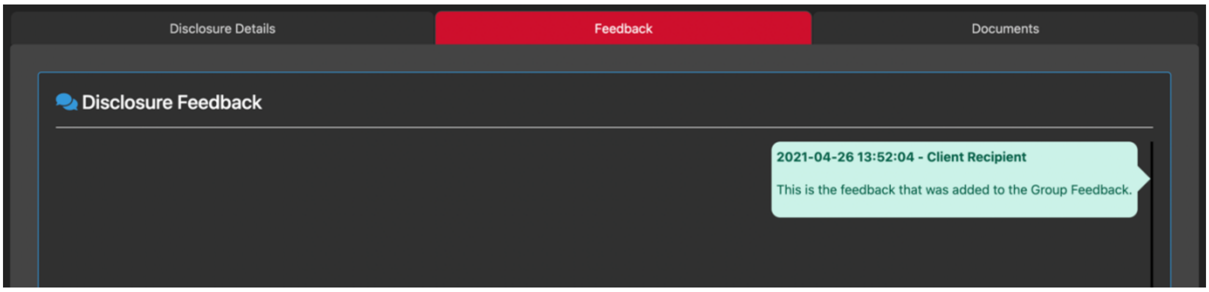
Group Disclosure Feedback

In order to provide feedback to all disclosures in the Group Disclosure simultaneously, the Client Recipient will navigate to the *Group Disclosure Feedback* section.



The Client Recipient can add feedback in the field and click on the Submit Feedback button.

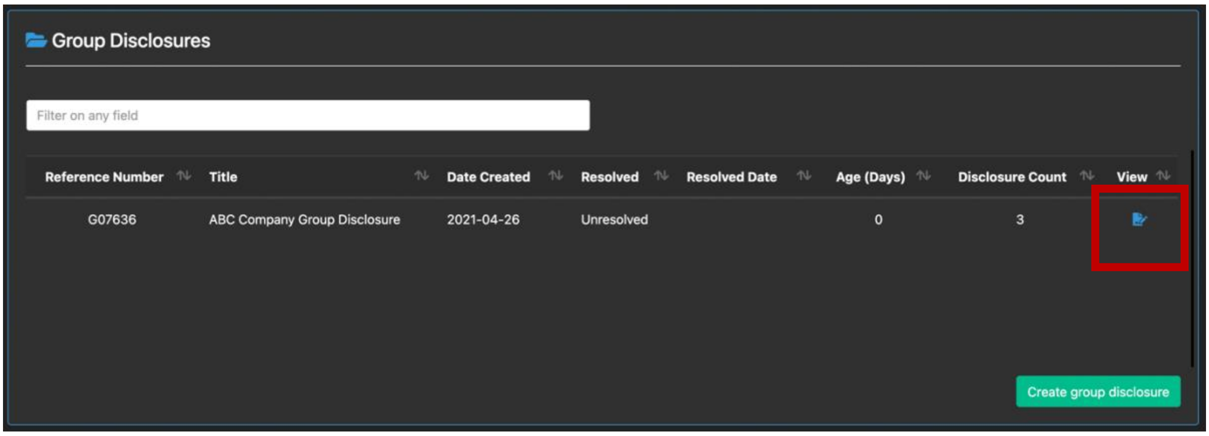
Any feedback that was captured in this field will be displayed in the individual disclosure's feedback tab.



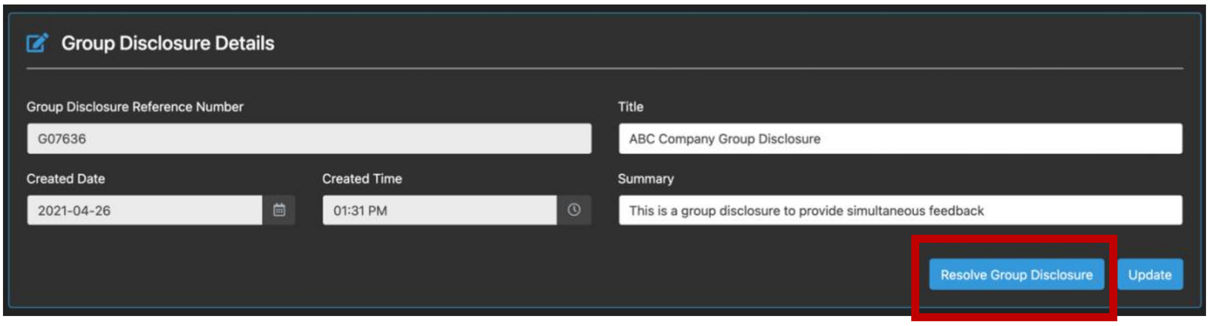
It is important to note that feedback captured in the Group Disclosure Feedback section will only be sent to unresolved disclosures in the Group Disclosure. Even though resolved disclosures can form part of a Group Disclosure, they will not receive the Group Disclosure feedback, unless they have been marked as unresolved (if this is the case and a disclosure should be changed from resolved to unresolved, kindly contact the *Ethics & Fraud Hotline* Call Centre Manager).

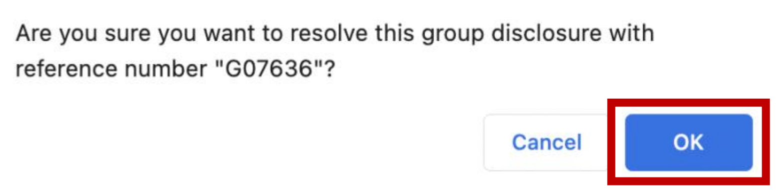
4.6.2 Resolving a Group Disclosure

To resolve a Group Disclosure, the Client Recipient should navigate to the *Group Disclosures* section on the Client Recipient Dashboard and click on the *View* button to open the Group Disclosure.



Under the *Group Disclosure Details* section, the Client Recipient should then click on the *Resolve Group Disclosure* button.

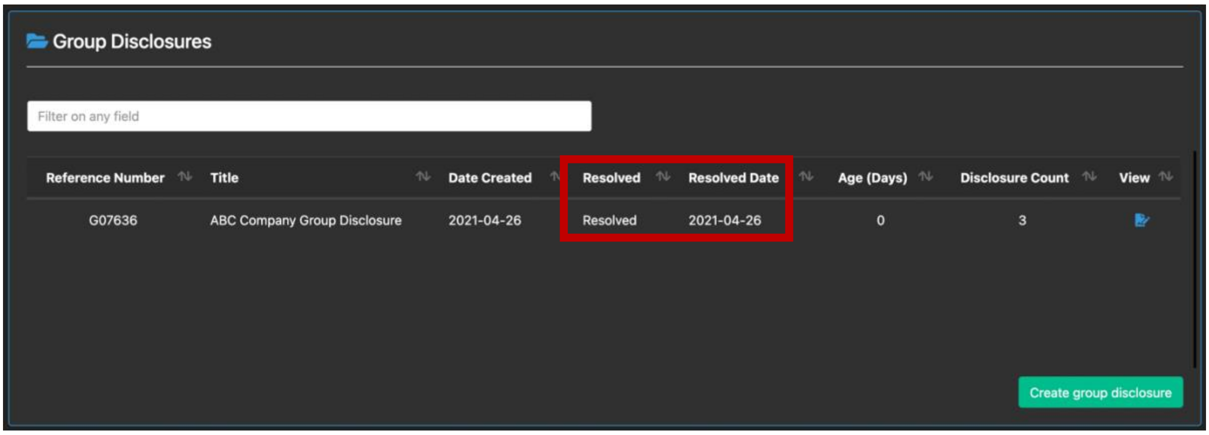




A notification will pop-up, asking the Client Recipient if he/she is sure that the Group Disclosure should be resolved. To resolve the Group Disclosure, click on the *OK* button.

It is important to note that a Group Disclosure can only be resolved once all individual disclosures in the Group Disclosure have been resolved.

One the Group Disclosure has been resolved it will appear as resolved in the *Group Disclosures* section on the Client Recipient Dashboard.

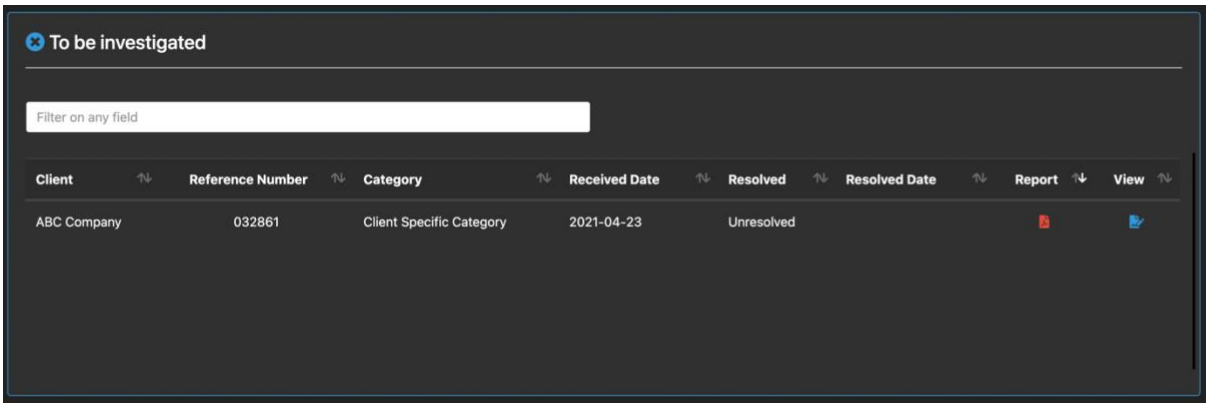


The Group Disclosure details can still be viewed by clicking on the *View* button, but no additional information can be added to the Group Disclosure. The Client Recipient will also no longer be able to send feedback to the individual disclosures when the group disclosure has been resolved.

If a Group Disclosure has been incorrectly resolved, kindly contact the *Ethics & Fraud Hotline* Call Centre Manager.

5. INVESTIGATOR DASHBOARD

The Client Investigator Dashboard consists of a single section, namely *To be investigated*.



The *To be investigated* section lists all disclosure that have been assigned to the Client Investigator for investigation.

The search function at the top of the section can be used to search on any information within the table (dynamic search function) and will filter the disclosures for applicable information.

The following fields are displayed for each disclosure:

- *Client*: This field displays the name of the organisation for which the disclosure has been captured (this is displayed because a single Investigator can be assigned disclosures from multiple organisations).
- *Reference Number*: This is the unique 6-digit number that is randomly generated and assigned to each disclosure.
- *Category*: This field displays the selected disclosure category.
- *Received Date*: This field displays the date when the disclosure was received at the *Ethics & Fraud Hotline*.
- *Resolved*: This field indicates whether or not the disclosure has been resolved.
- *Resolved Date*: This field displays the date when the disclosure was marked as resolved, if applicable.
- *Report*: Click on the button to download the disclosure report in PDF format.
- *View*: Click on the button to view and edit the disclosure.

5.1 Notification of Disclosure

When a disclosure has been assigned to a Client Investigator, the Client Investigator will receive a notification as per preferred method of communication (SMS/Email/None).

Dear John Doe,

Disclosure 032861 captured on 2021/04/23 12:18:41 PM has been sent to you for investigation.

You are asked to pay special attention to the information and material contained in the disclosure. Please keep in mind that Whistleblowers often expose themselves to high personal risks in the interest of the public and therefore the material provided within this disclosure should be considered to be of high importance.

The disclosure can be accessed by following the link:

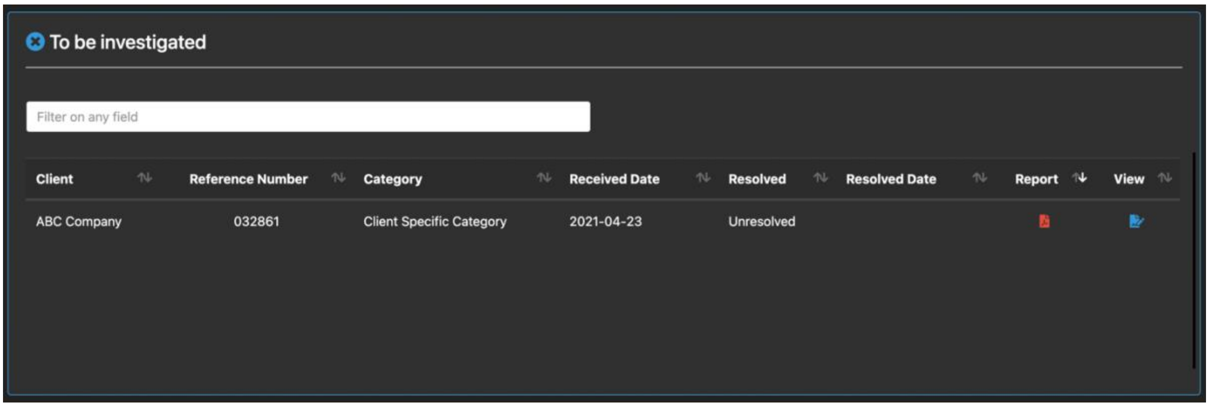
Feedback on the disclosure

Kind regards,

The Ethics & Fraud Hotline.

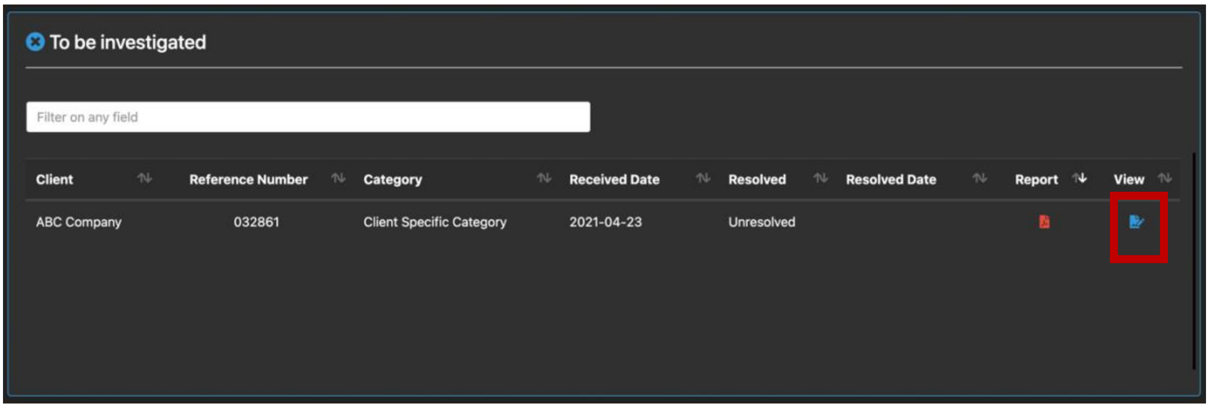
In order to log into the *Ethics & Fraud Hotline Solution Software* to view and start investigating the disclosure, click on the *Feedback on the disclosure* button and log in using your Username, Password and Two-factor Authentication Code.

Once logged in, the disclosures assigned to you will be displayed on the Client Investigator Dashboard under the *To be investigated* section.

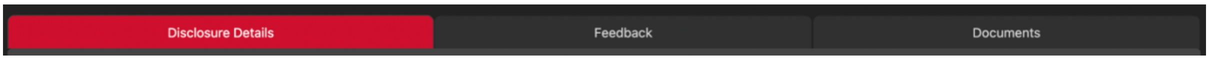


5.2 Disclosure Feedback and Tabs

In order to view and provide feedback on a disclosure, click on the *View* button to open the disclosure.



Once the disclosure has been opened, there are three tabs where information will be displayed, namely:



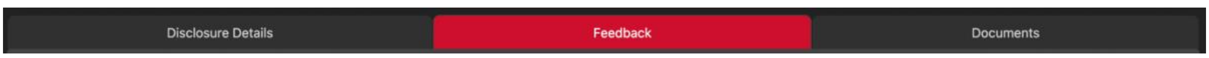
- *Disclosure Details*: this tab displays all the details of the disclosure and is read-only to the Client Investigator.
- *Feedback*: this is where feedback from all parties can be viewed (Consultant, Recipient, Investigator, Whistleblower, etc.) and additional feedback can be captured.
- *Documents*: this is where the documents (evidence) can be viewed and where additional documents can be added.

5.2.1 Disclosure Details Tab

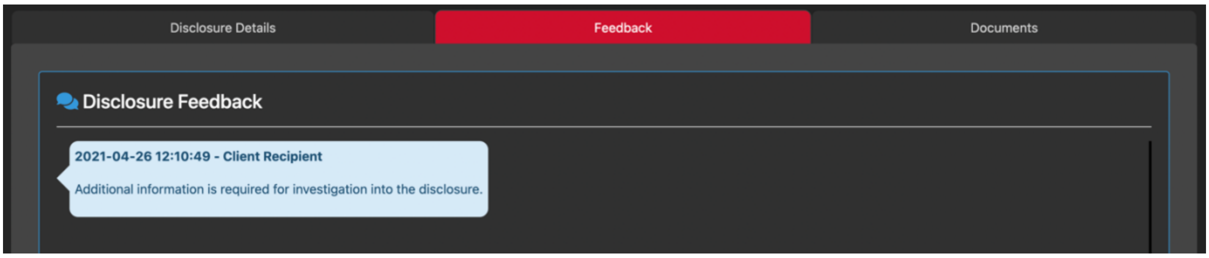
On the Disclosure Details Tab, the Client Investigator will be able to view all the information that was captured for the disclosure. All the fields will be in read-only format and the Client Investigator will not be able to edit any of the details captured.

Refer to section 4.3.1 for a detailed description on all the fields that will be displayed in this section.

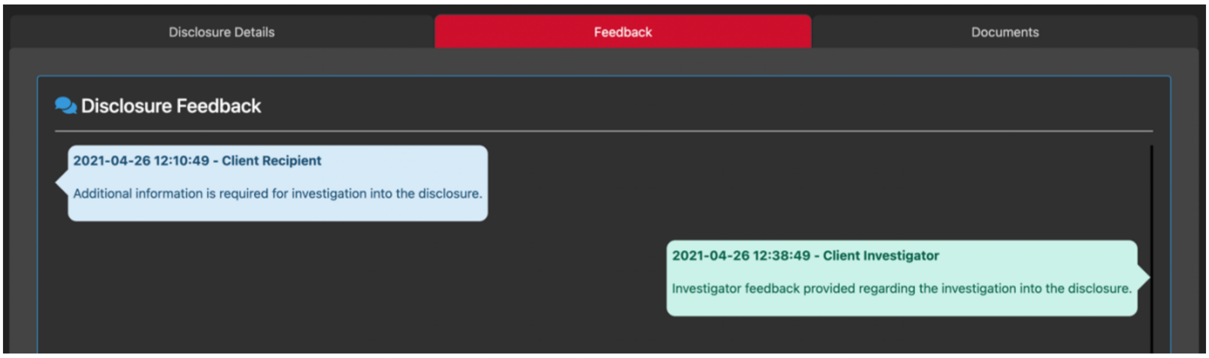
5.2.2 Feedback Tab



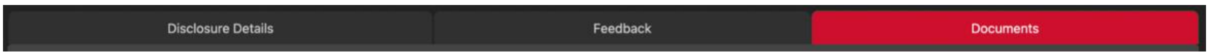
On the Feedback Tab, the Client Investigator will be able to view feedback that all users have provided on the disclosure (in chronological order).



The Client Investigator will also be able to add feedback to the disclosure, for example an update of the investigation into the disclosure. Feedback can be added by typing it into the feedback bar and clicking on the *Submit Feedback* button.

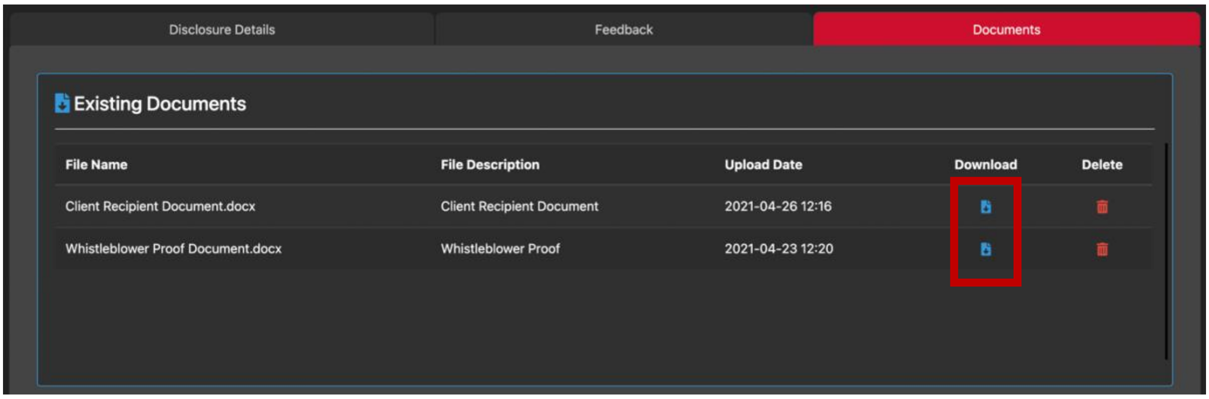


5.2.3 Documents Tab



The documents tab contains all documents that have been added by all users (Whistleblower, Client Recipient, Client Investigator, etc.) as proof/evidence of the disclosure.

Existing Documents



All existing documents can be viewed and downloaded under the Existing Documents sub-section.

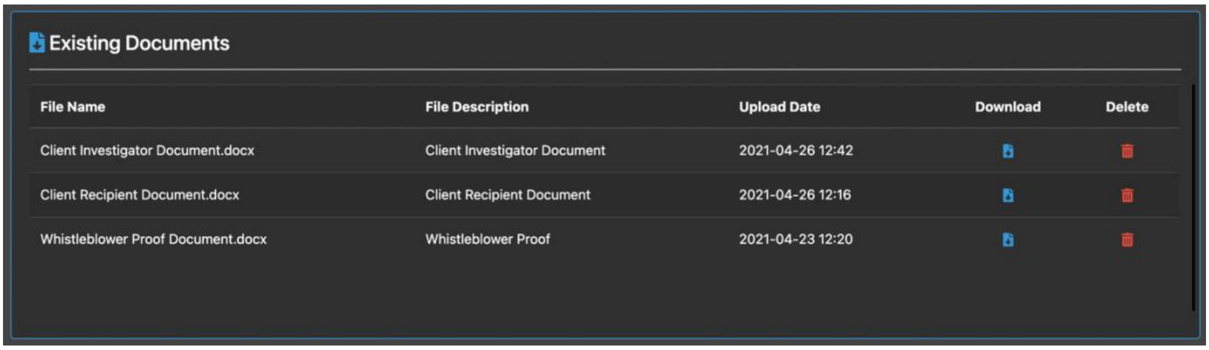
Upload Document

The Client Investigator will also be able to add documents to the disclosure (for all other users to have access to). This could for example be an investigation report or any other information that you would like to add to the disclosure.

To upload a document, follow these steps:

- Click on "Choose File", navigate to the document/s that you would like to upload and click upload.
- Provide a document description
- Click on "Upload Document".

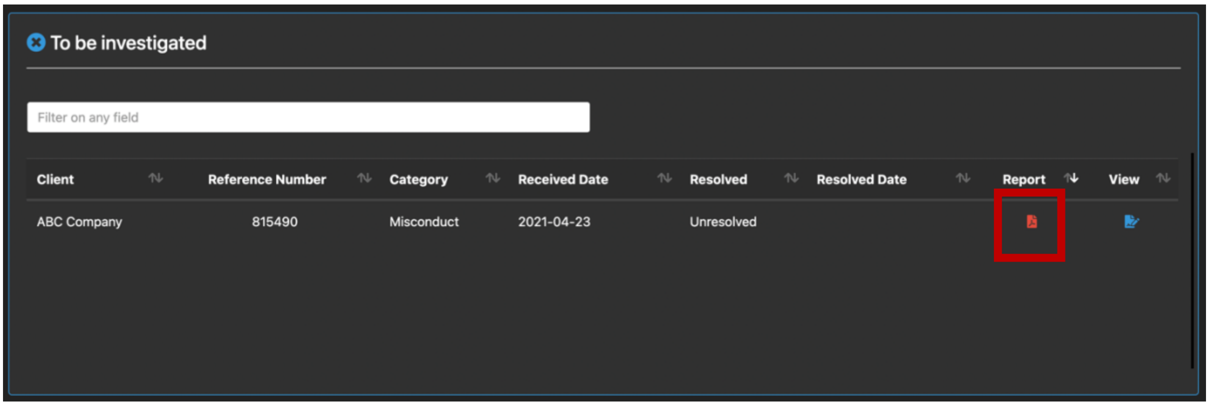
As soon as the documents have successfully been uploaded, they will appear in the Existing Documents sub-section.

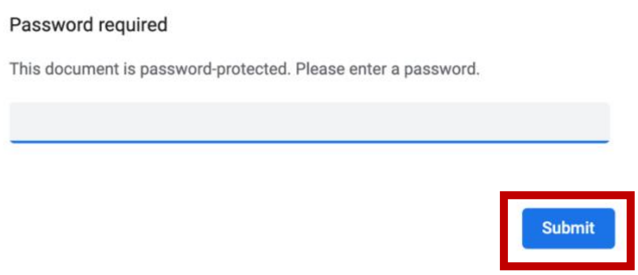


5.3 Downloading a Disclosure Report

To download a Disclosure Report, navigate to the disclosure using the reference number and search bar.

Once the disclosure has been located, click the PDF report button to download the Disclosure Report.





The Disclosure Report is encrypted with a password. To open the Disclosure Report, enter the 6-digit reference number of the disclosure and click on the *Submit* button.

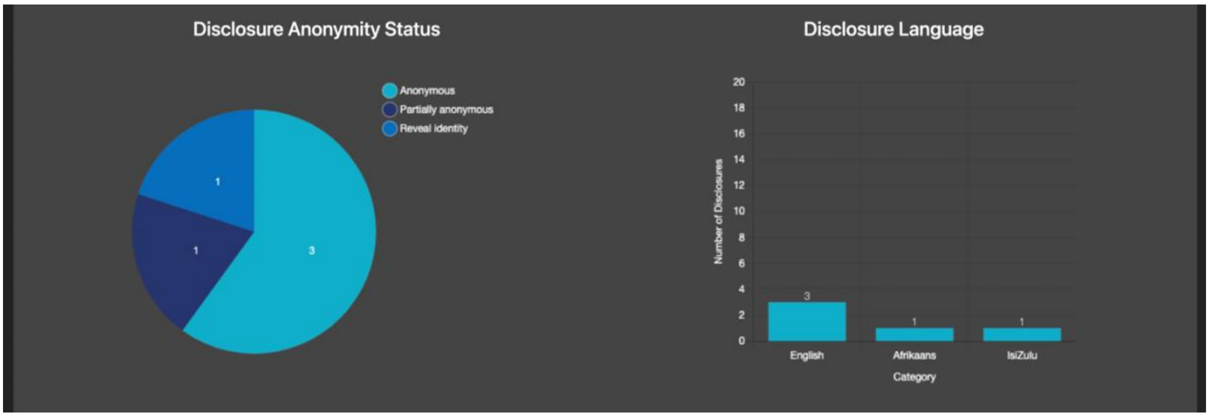
Disclosure Report

Disclosure Reference Number:	815490
Disclosure Recieved Date:	2021/04/23
Disclosure Recieved Time:	12:22
Disclosure Channel:	WhatsApp
Client Internal Reference Number:	N/A
Group Disclosure:	N/A

6. REPORTS DASHBOARD

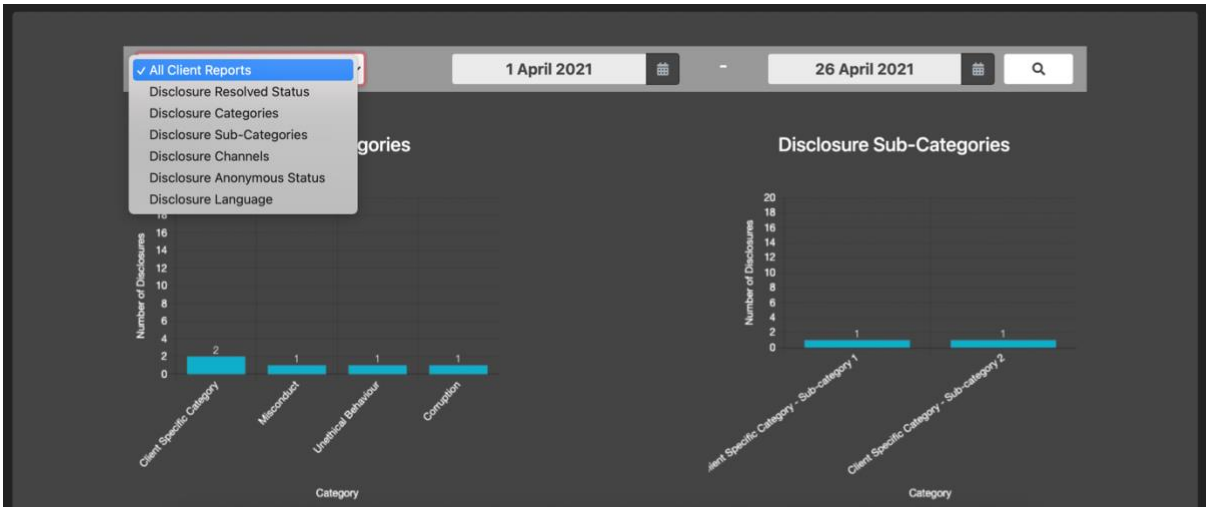
6.1 Dashboard Sections

The reports dashboard will display information on all the disclosures captured for the date range selected as well as the total disclosures to date.



The following reports can be selected and downloaded on the Client Contact Person for Reporting Dashboard:

- Client Report
  - All Client Reports
  - Disclosure Resolved Status
  - Disclosure Categories
  - Disclosure Sub-categories
  - Disclosure Channels
  - Disclosure Anonymous Status
  - Disclosure Language.



- Disclosure Summary Report (PDF and Excel).

6.2 Client Report

The Client Report will display all details filtered on the Reporting Dashboard. The Client Report could be for all details or selected details (for example only for the Disclosure Categories).

A Client Report can be downloaded by clicking on the *Download Client Report* button.

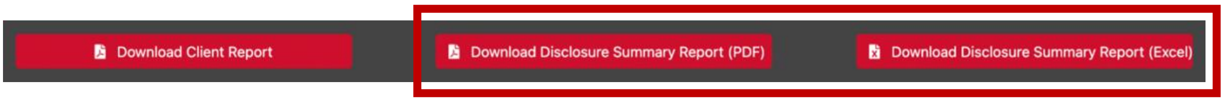
An example of a Client Report follows.

6.3 Disclosure Summary Report

The Disclosure Summary Report will display a summary of all disclosures captured for the selected date range and will include into the following fields:

- Disclosure Received Date
- Reference Number
- Internal Reference Number
- Group Disclosure
- Category
- Sub-category
- Status (Resolved / Unresolved)
- Date Resolved
- Days Taken to Resolve.

A Disclosure Summary Report can be generated and downloaded in PDF and/or Excel by clicking on the various *Download Disclosure Summary Report* buttons.



An example of a Disclosure Summary Report follows.

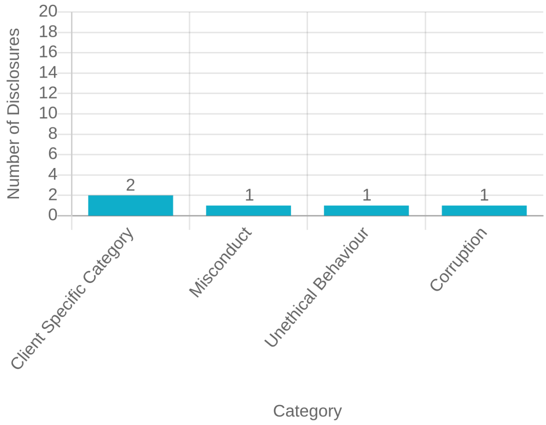
Client Report
ABC Company

ABC Company Ethics & Fraud Hotline
Client Report

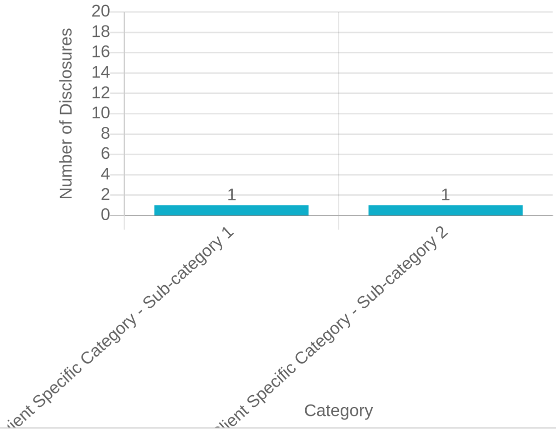
Advance Call
Ethics & Fraud Hotline

1 April 2021 - 26 April 2021

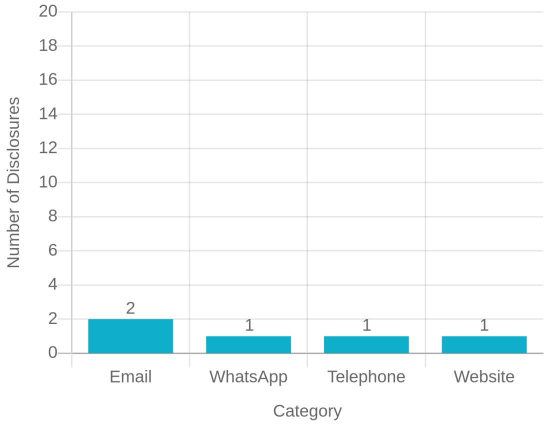
Disclosure Categories



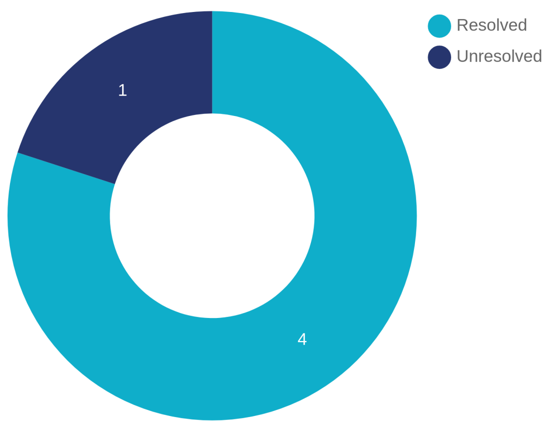
Disclosure Sub-Categories



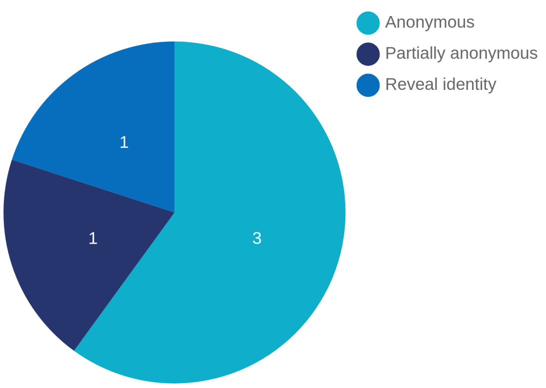
Disclosure Channels



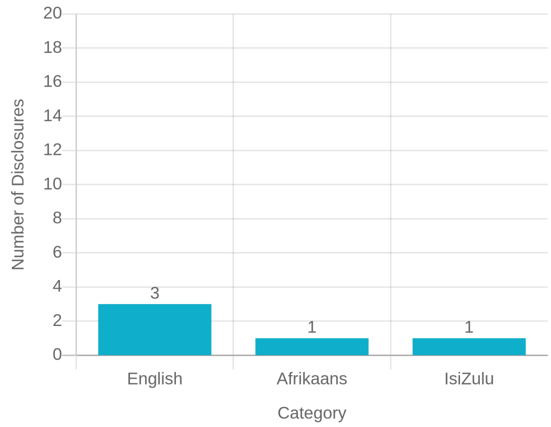
Disclosure Status



Disclosure Anonymity Status



Disclosure Language

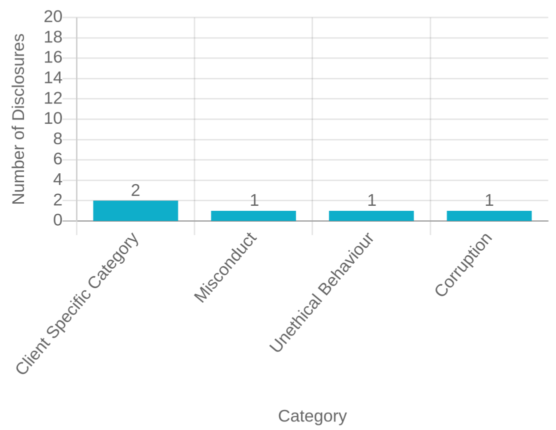


PO Box 1730, Brooklyn Square, 0075 | +27 12 452 0587 | www.advancecall.co.za

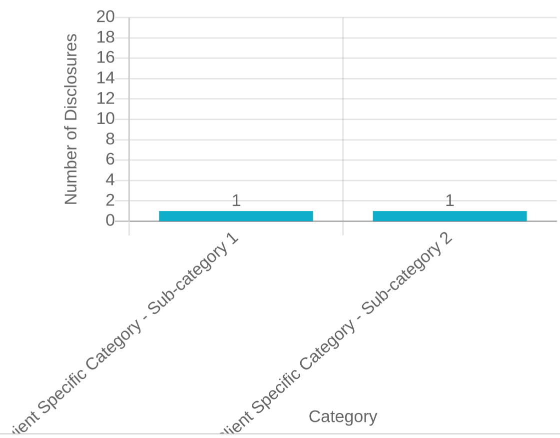
Advance Call
Ethics & Fraud Hotline

Total To Date

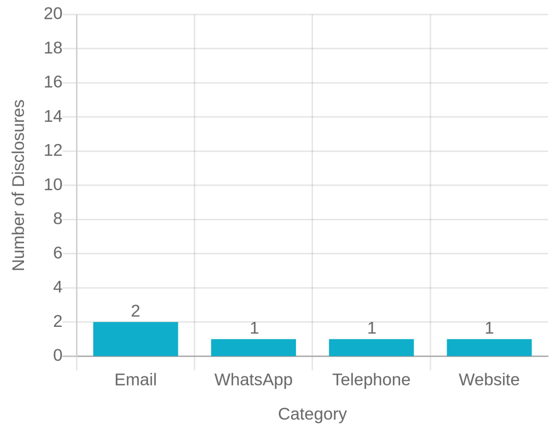
Disclosure Categories



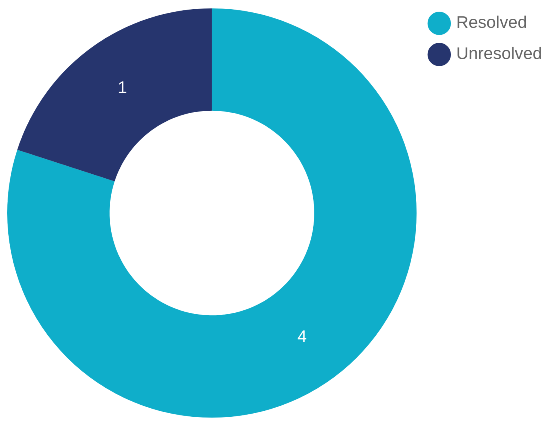
Disclosure Sub-Categories



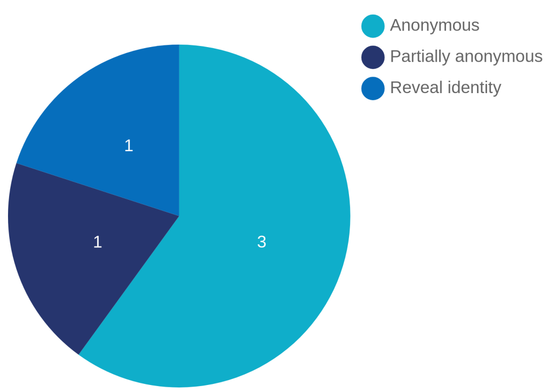
Disclosure Channels



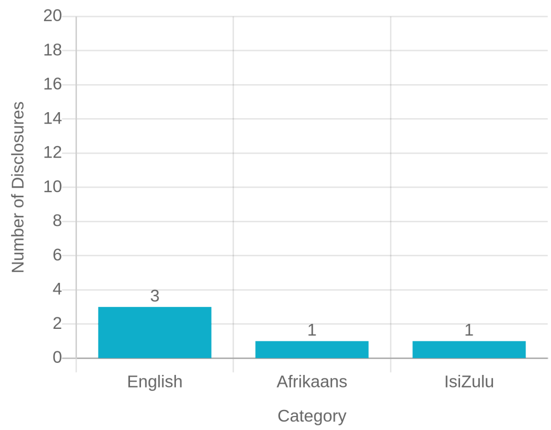
Disclosure Status



Disclosure Anonymity Status



Disclosure Language



Disclosure Summary Report
ABC Company

ABC Company Ethics & Fraud Hotline

Disclosure Summary Report

Disclosure Received Date	Reference Number	Internal Reference Number	Group Disclosure	Category	Sub-Category	Status	Date Resolved	Days Taken to Resolve
2021/04/23	135443	N/A	G07636	Unethical Behaviour	N/A	Resolved	2021/04/26	4
2021/04/23	032861	N/A	N/A	Client Specific Category	Sub-category 1	Resolved	2021/04/26	4
2021/04/23	908510	N/A	N/A	Corruption	N/A	Unresolved	NA	NA
2021/04/23	815490	I200426	G07636	Misconduct	N/A	Resolved	2021/04/26	4
2021/04/23	267270	N/A	G07636	Client Specific Category	Sub-category 2	Resolved	2021/04/26	4

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