NAVEX WhistleB

User Manual

for the WhistleB Case Management Tool

Last updated 8.11.2023

Contents

1. Dashboard

The **Dashboard** is where you can get a top-level view of your WhistleB account.

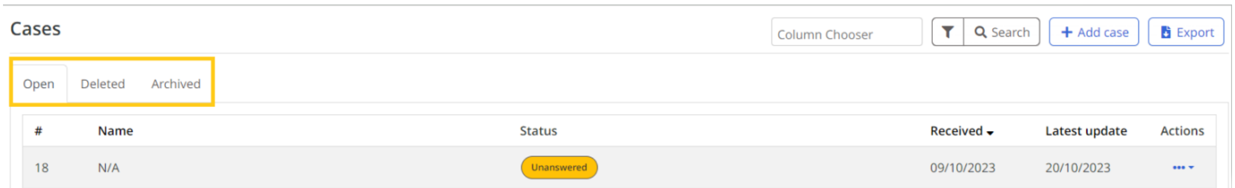
The Dashboard gives you an overview of new messages received as well as brief statistics. You can also upload useful files, such as whistleblowing guidelines and other instructions. The uploaded files will be visible to all users of your account. The secondary password is needed to open the files.

More details can be found by clicking on the individual sections:

- Statistics
- Cases
- Security
- Settings
- Resources

2. Cases

The Cases page gives you an overview of all your cases. Cases are grouped in tabs by status: **Open**, **Deleted** or **Archived**.



2.1 Open Cases

Open cases are cases currently being investigated or worked on, or cases that are marked as passive. For more information on passive cases please go to 3.3 General and categories.

2.2 Deleted Cases

Deleted cases are those that have been permanently deleted or are scheduled for deletion. For more information on case deletion please click here.

2.3 Archived Cases

Archived cases are cases you wish to save securely in the Case management tool. For more information on archiving cases please click here.

2.4 Understanding the Columns

The default columns in the case view are CASE NUMBER, NAME, STATUS, RECEIVED, LATEST UPDATE and ACTION. Please note that you can configure your own setup by using the **Column Chooser** feature.

CASE NUMBER

All received cases will automatically be assigned a case number, indicated with #.

NAME

The name of the case is set in the individual case management view, select the case to access and set the name. New messages have a placeholder name "N/A" ("Not Applicable") until they are named.

Please Note: Avoid including personal data in the name, as the case name will be shown even after the case has been permanently deleted.

CATEGORIES

This column lists all the categories currently set for each case. It is recommended that cases be categorised for efficient follow-up and clear statistics. It is a useful way to help sort cases. You can read more about categories under Settings.

TEAMS

Assign a case to a team (optional). If your account plan includes the **Assign to team** feature, you can see which team you have assigned the case to for further management. Read more about Teams in paragraph 5.3.

RECEIVED

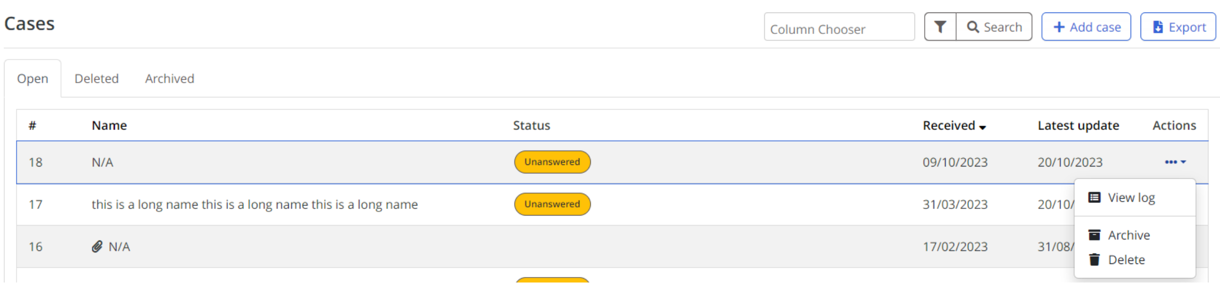
The date the message was submitted via the Reporting Channel. For security reasons an exact time stamp is not shown.

LAST UPDATE

The date the case was last updated.

ACTIONS

Actions allow you to change the status of a case, for example deleting or archiving a report.



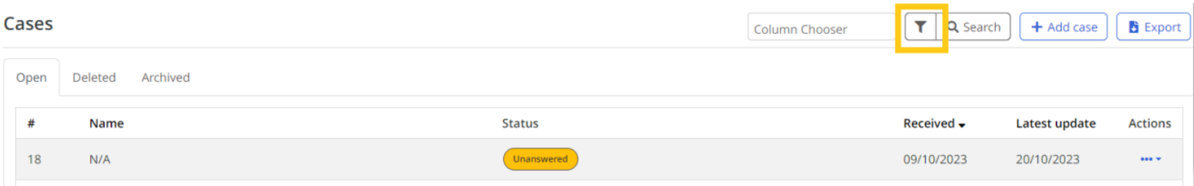
Select **Delete** if you wish to permanently delete the contents of the case. For more information on case deletion please click here.

Select **Archive** if you wish to save the case. For more information on archiving cases please click here.

View log: actions taken by a user are logged by time, activity and username. This allows for efficient follow up on managing each case. The case log is available even if a case has been deleted.

FILTER

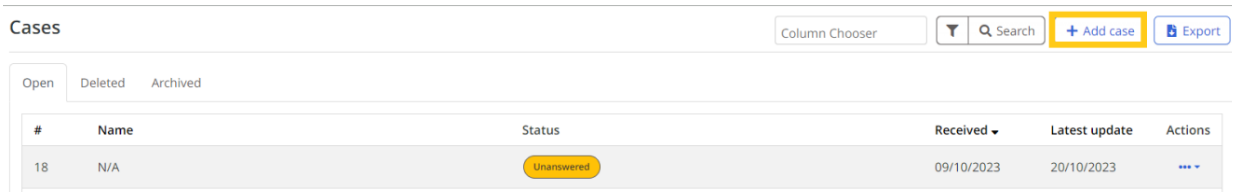
You can filter your list of cases based on status, category, teams, received date or latest update. Click on the filter icon and make your selection. You can hide the filter section by clicking on the arrow in the top right corner.



ADD CASE

It is also possible to add cases manually to the Case Management Tool. This is usually done when you want to include cases obtained from sources beside the Reporting Channel.

To add a new case, click on **Add Case** and fill in the relevant information.

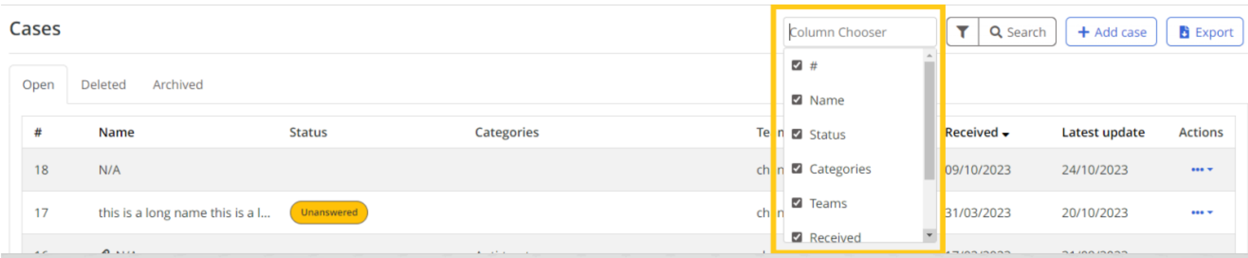


The case will be assigned to the default team of your selected Reporting Channel.

COLUMN CHOOSER

You can add prefixed columns into the case management tool in order to filter the data of the case further. The options that you will have are:

- # (Case Number)
- Name
- Status
- Categories
- Teams
- Received
- Latest Update
- Actions

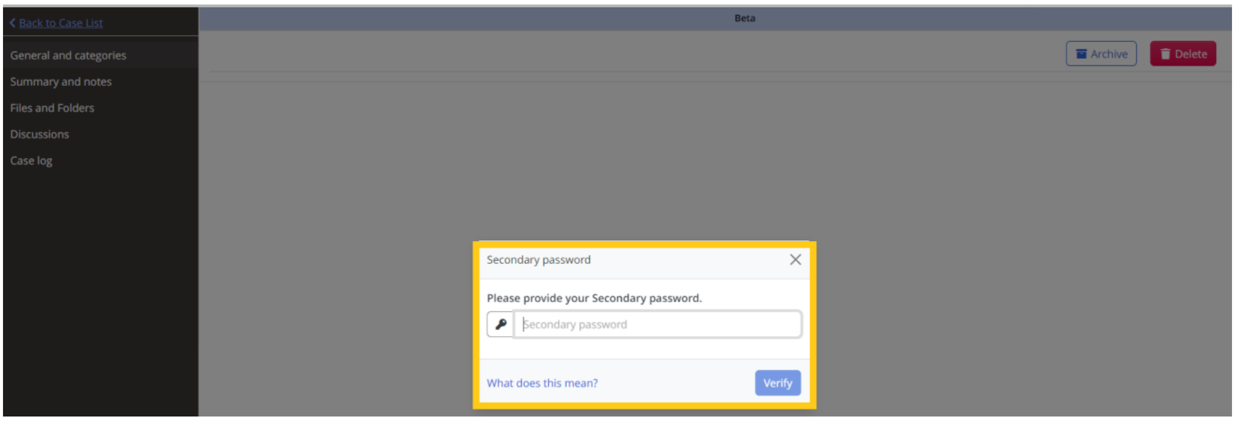


3. Case Management

This section helps you understand the **Case Management** view for handling individual cases.

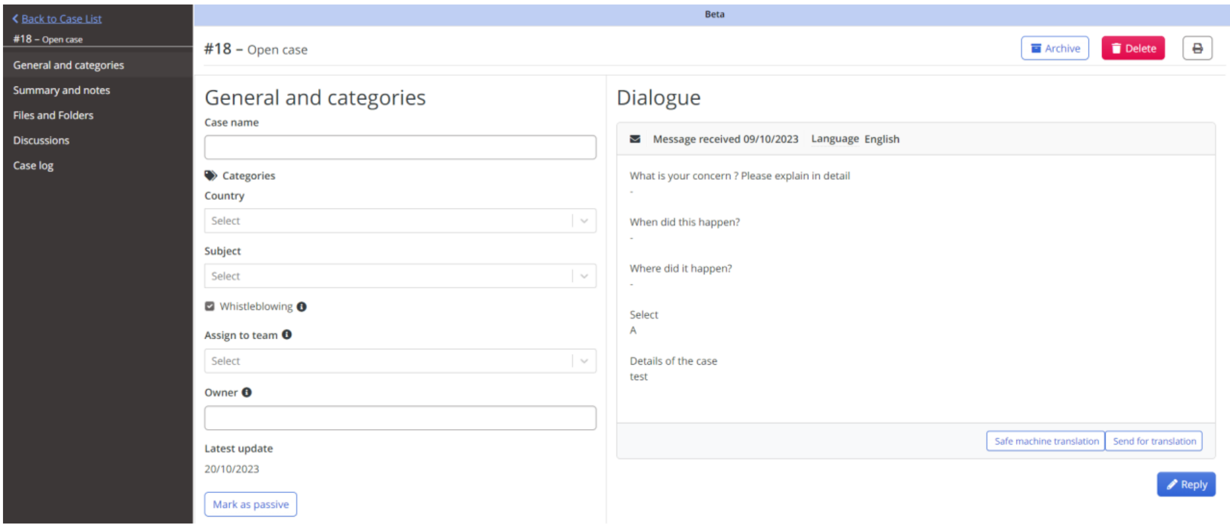
3.1 How to Access a Case

Select the case you wish to view and manage from the list. You will be asked to enter the **Secondary Password** to decrypt and access it. After entering the Secondary Password, you will be able to review and manage the case.



Encrypted data includes: all messages, files and notes added to the case.

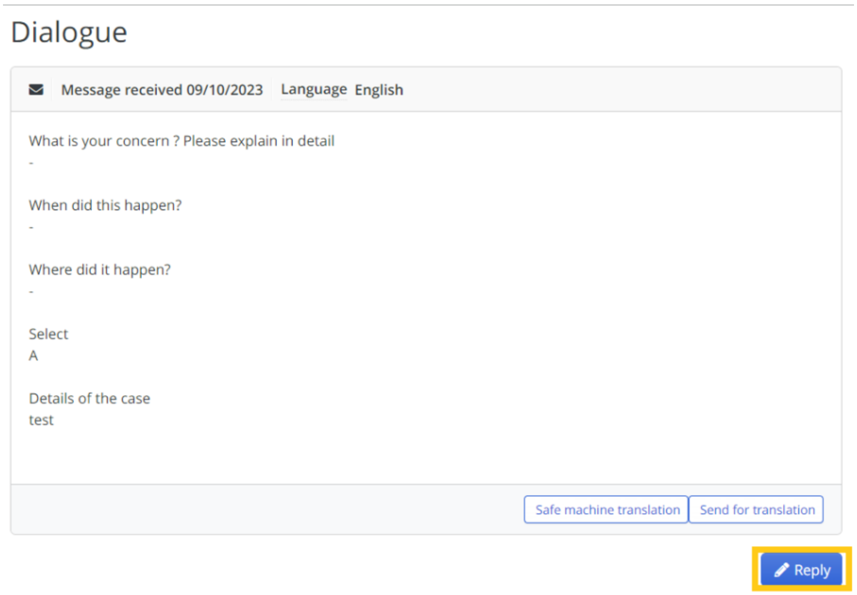
If you do not have the Secondary Password, contact another member in your team to obtain it.



3.2 Dialogue

HOW TO SEND A REPLY

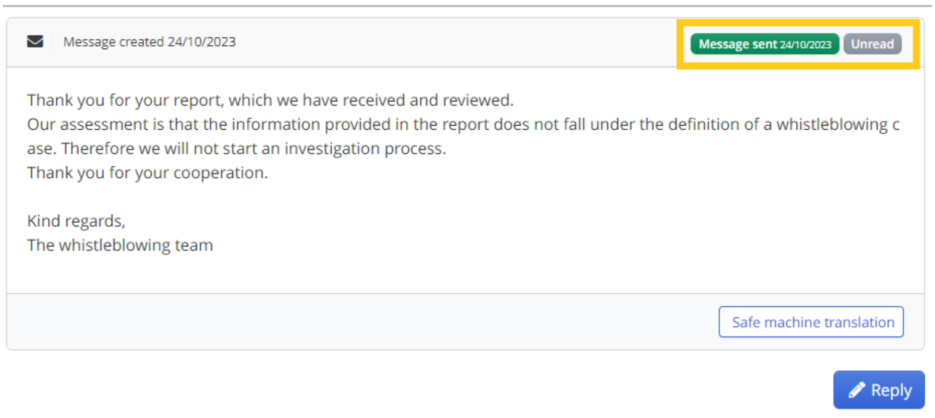
Select **Reply** just below the received message.



Write a custom reply or select one of the Default Messages.* **Save** the answer. You may now edit or translate the message if needed.

Select **Send message** when the answer is ready. In the confirmation pop-up you can indicate whether the reporter may add attachments to their reply.

The status text on the top right of the reply shows if your message has been read or not. (see screenshot)



*You can write and manage **Default Messages** in **Settings**.

SAFE MACHINE TRANSLATION

This feature instantly translates messages using Microsoft Translator. The service is GDPR compliant.

Click on **Safe Machine Translation** and select the language of the original message. Then select the target language for the translation and click on **Translate**.

Safe Machine Translation is an optional feature. If you want to activate this feature, please contact WhistleB.

PROFESSIONAL TRANSLATION

You can translate messages confidentially by using the **Send for translation** button. Translations are made by professional translators.

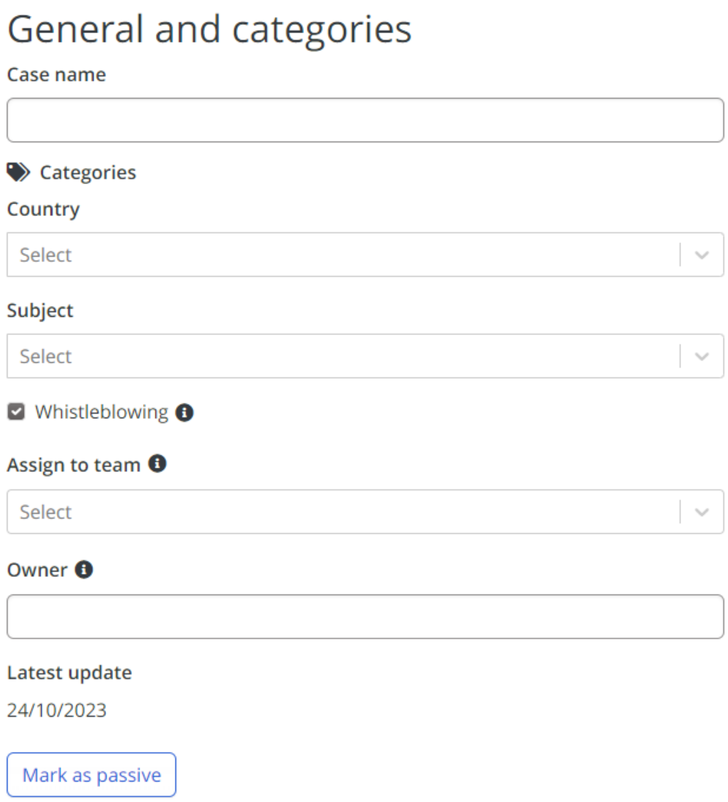
The translator will only receive the message and not the name of your organisation. The translated message will become available in the Case Management Tool as a separate message. The original message will remain.

Translation requests for messages of up to 1,500 words will be translated and delivered to your account within 24 hours (on business days), **as long as the message is to be translated to or from English**. The price for translations from a local language to English or vice versa is shown on the screen.

Translations are invoiced in accordance with your agreement with WhistleB.

Professional Translation is an optional feature. If you want to activate this feature, please contact WhistleB.

3.3 General and Categories



CASE NAME

The Case name allows you to set a descriptive name. Specific care must be taken to ensure that the case name does not contain any personal data.

SETTING A CATEGORY

Categories and subcategories are set to help categorise the cases for efficient follow up. New categories can be added from the **Settings** tab. Categories can be seen throughout the Case Management Tool: in the Cases list as well as in the Statistics charts.

WHISTLEBLOWING TICK BOX

The whistleblowing tick box makes it easy to indicate and keep track of whether a case is a whistleblowing case or not. This will also be reflected in your statistics.

ASSIGN TO TEAM

Here you can assign the case to another team for further management. Read more about Teams in [paragraph 5.3](#).

OWNER

A way to indicate to other case managers that the case is under management by a certain case manager.

LATEST UPDATE

This is the date when the case was last updated. An update may for example be an answer to the sender, a status change or the addition of a category.

MARK AS PASSIVE

This action can be done when an investigation is preliminarily closed. The case can be kept open but in a passive mode, as long as there is a legitimate reason for doing so. Once there is no longer a reason to keep the case open in passive mode, the EU GDPR requires companies to delete or archive the case, thereby also deleting the personal data.

3.4 Summary and Notes

The **Notes** text field allows you to maintain notes on an individual case basis. All notes added to a case will be visible to all case managers that have access to the case.

3.5 Files and Folders

You can upload files needed to manage the case directly in the sidebar. The uploaded files will be accessible to all case managers with access to the case. All files are encrypted and stored securely.

Select **Add file** and select the file to be uploaded. The file upload may take a few minutes, but you are free to leave the page while the file is uploading. To remove a file, use the delete button

To create folders for your files, select **Add Folder**, give it a name and press *Enter*. To rename or delete the folder, choose the folder by clicking on it and click on the **Rename** or **Delete** button.

3.6 Discussions

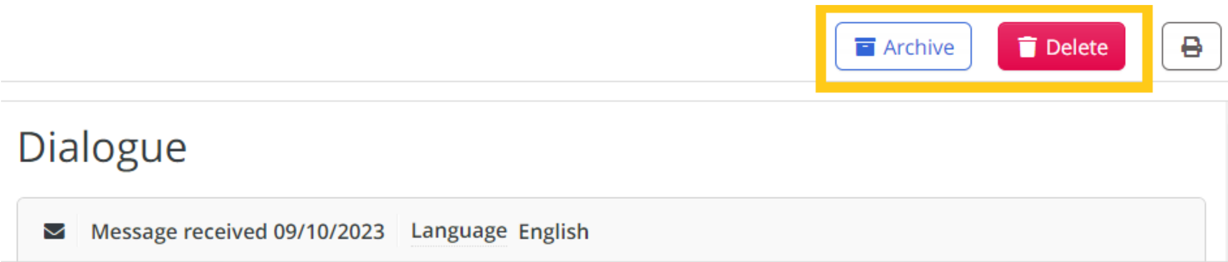
With the Discussions feature you have the possibility to hold discussions about received cases with your team members, within the encrypted tool.

Click **Add discussions**, and then save a title for the discussion. Write your message and notify the users you want to communicate with. The users are notified by e-mail and can log in and read your message and continue the discussion.

3.7 Case Log

The case log shows actions taken by a user. Time, activity and the e-mail address of the user are all included. This allows for efficient follow up on managing each case. The case log is available even if a case has been deleted.

3.8 Deleting and Archiving a Case



DELETE A CASE

Select **Delete** if you wish to permanently delete the contents of the case. For a period of 30 days, you can undo the deletion and reopen the case. After 30 days, the case will be permanently deleted. Under the tab **Profile - Notifications** you can choose to receive notification via e-mail 5 days before a case is permanently deleted.

All team members will be notified when a case is scheduled for deletion.

If deleting a *permanently archived case* (see more information below), the case will be permanently deleted. This action cannot be cancelled.

Statistics and logs will remain for deleted cases.

ARCHIVE A CASE

Select **Archive** if you want to save the case. After choosing to archive a case you can edit it for a period of 30 days. During this period, you can choose to undo the archiving and restore the original case. After 30 days, the case will be permanently archived and can no longer be edited. A notification will be sent 5 days before the case is permanently archived.

Data controllers in EU countries: Note that personal data must be removed before permanent archiving. **Open** the case to edit. Remove direct and indirect personal data from the case.

To remove the personal data, edit texts in **Messages** and/or in **Notes**, and press **Save**.

If you wish to archive a file attached in a case or in the **Files** section, you need to download the file to your computer, edit the file if necessary, and upload to **Files**.

Please note: Files, which have been sent by the reporter (and are not uploaded to **Files** by a case manager before the case is permanently archived), will be deleted after 30 days to ensure no personal data is stored.

4. Statistics

Use **Statistics** to get a top-level view of your team's case management performance. Please note that if you have multiple channels you only have access to statistical information for the Channel team your user is included in. To gain full access to all statistical data associated with your organisation your user needs to be included in all Channel teams.

4.1 Charts

PERFORMANCE INDICATORS

Gives you an overview of key performance indicators such as number of cases received and handling time.

TOTAL NUMBER OF CASES LAST 12 MONTHS

This chart shows the total number of cases, both received and closed, during the last 12 months. Closed cases are the total of deleted and archived cases.

CATEGORIES

All categories in the Case Management Tool are represented in this chart, allowing users to follow up on volume over time as well as track the volume of different categories.

Each category chart may be modified to hide or show subcategories. You can select or deselect subcategories by clicking on the name of the subcategory beneath the chart.

The date picker fields allow the generation of charts for custom time periods.

TEAMS

The teams chart shows you how the cases are distributed and assigned between teams as well as how many cases are unassigned.

The date picker fields allow the generation of charts for custom time periods.

All charts on the page update in real-time.

4.2 Download data or Generate a Report

Download data creates a Microsoft Excel spreadsheet (.xlsx) with data for further analysis. The Excel sheet includes additional information such as the receiving dates, dates for closing a case and reasons for closing.

Generate a report by clicking on the **Generate report** button in the top right corner. Start by selecting a date range then indicate which tables or charts you would like to include by selecting or deselecting them from the list. Click OK to generate the report.

TIME ZONE

All statistical data is based on UTC time for both received dates and closed dates.

5. Settings

Under settings users can access the tabs Organisational details, Users, Teams, Categories, Default messages and Reporting channels.

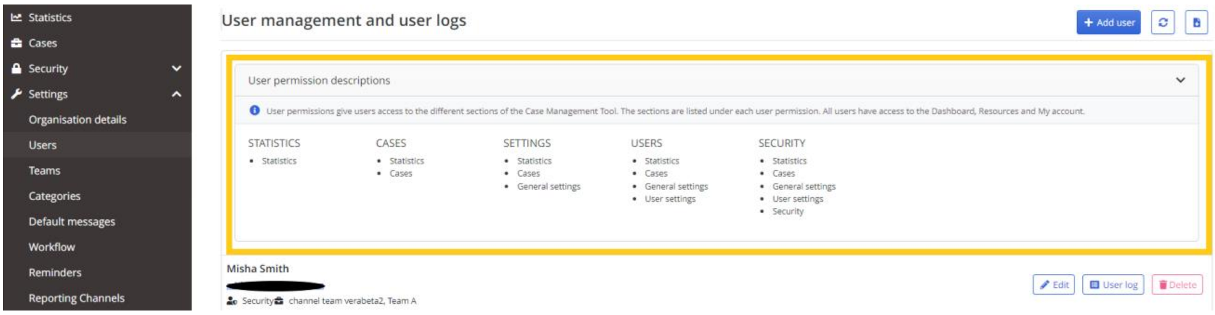
With the **Settings** permissions a user can access and edit the tabs Organisational details, Categories, Default messages and Reporting Channels. With **Users** permissions a user has access to all the Settings tabs mentioned above. Users with **Security** permissions have full access to the whole system.

5.1 Organisation details

In this section you can fill in your organisation's contact- and invoicing details.

5.2 Users

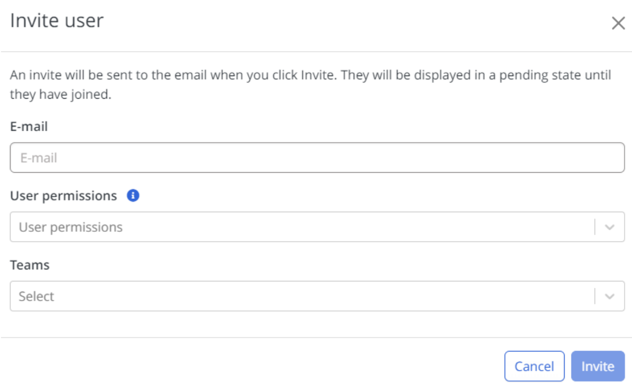
Under this section users with **Users** and **Security** permissions can **add**, **edit**, or **delete** users in the Case Management Tool. The section also gives you easy access to individual user logs.



ADD A NEW USER

Only users with the **Users** or **Security** permissions have the authority to manage user settings. Click the button **Add user** in the upper right corner and fill out the fields in the following order:

- **E-mail**: The e-mail address of the user to be invited.
- **User Permissions**: Select the user role for the new user
- **Teams** (optional): If your WhistleB account has Teams activated, you can select which team(s) the new user should belong to.



An invitation e-mail will be sent when you click on **Invite**. The user will be displayed in a pending state until they have accepted the invite and joined.

Note: New users should be given the Secondary Password to be able to decrypt and work on cases.

EDIT A USER

Find the user you want to edit in the list and look for the **Edit** button to the right. Edit any fields necessary and then select **Save**.

NB! For security reasons the email address cannot be changed. If a user's email address needs to be changed, please create a new user, and delete the old one.

DELETE A USER

Find the user you want to remove and select **Delete**.* You will need to confirm this action.

* There must always be a user on the account, and you cannot delete your own account.

USER PERMISSIONS

Users may be assigned different user permissions to limit the sections they have access to. All users have access to the Dashboard and My account.

- **Statistics:** Access to the following sections: Statistics.
- **Cases:** Access to the following sections: Statistics, Cases.
- **Settings:** Access to the following sections: Statistics, Cases, General Settings
- **Users:** Access to the following sections: Statistics, Cases, General Settings, User Settings
- **Security:** Access to the following sections: Statistics, Cases, General Settings, User Settings, Security

5.3 Teams

Case managers can be grouped in Teams, and you may assign a case to a team.

A team may include one or more users. If you work with different Reporting Channels, you can associate a team with a specific channel.

There are two types of teams: **Channel teams** and **Teams to assign to**. Case managers of the Channel Team receive all messages submitted to this channel. They have the authority to assign cases to users of other teams. The **Teams to assign to** will only have access to the cases that have been assigned to them. No other cases will be visible to them.

Teams is an optional feature. If you want to activate this feature, please contact WhistleB.

CREATE A NEW TEAM

Choose **Create new team**. Give the team a name, then choose **Create**. Your new team will appear, and you can now add existing users by clicking **Edit** on the correct team and then **Add user to team**, or by creating a new user under **Users** and choosing the correct team in the drop-down.

EDIT OR REMOVE A TEAM

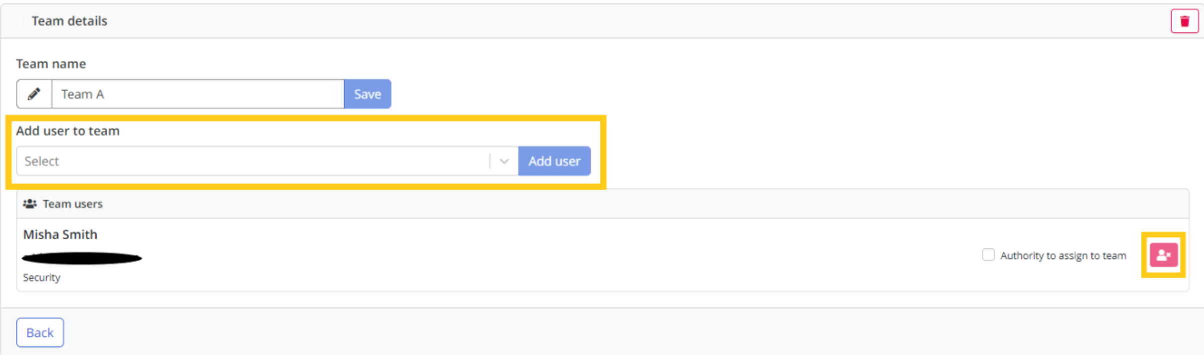
Choose **Edit** or **Delete** next to the team name to change the name of the team or remove it.

ADD A USER TO A TEAM

Find the team you want to add a user to and click **Edit,** go to the section **Add user to team** and open the dropdown. By selecting the user in the dropdown, then clicking **Add user**, you add the user to the team (see screenshot below).

REMOVE A USER FROM A TEAM

Find the team you want to remove the user from and select the **Remove user from team** – symbol next to the user.



<u>NB! Due to security reasons users cannot add themselves to teams, nor can they remove themselves from a team.</u>

5.4 Categories

Categories and **subcategories** allow cases to be categorised efficiently throughout the Case Management Tool. The different categories can be used to filter cases in the Case view or generate charts in Statistics.

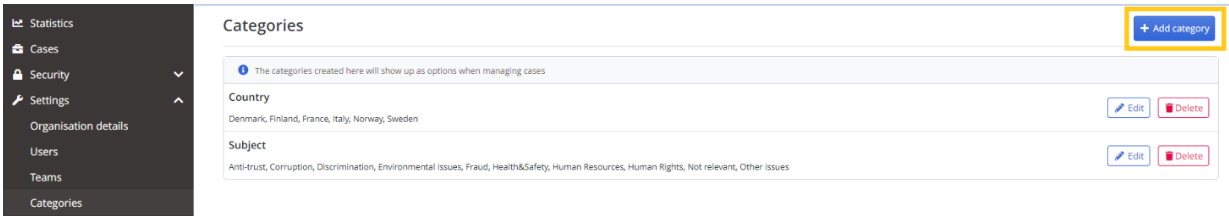
Categories are useful to sort and follow up cases. New accounts have one predefined category with subcategories, which can be modified or deleted.

To assign categories to a specific case, select the case in **Cases** and then select the category in the sidebar.

ADDING NEW CATEGORIES

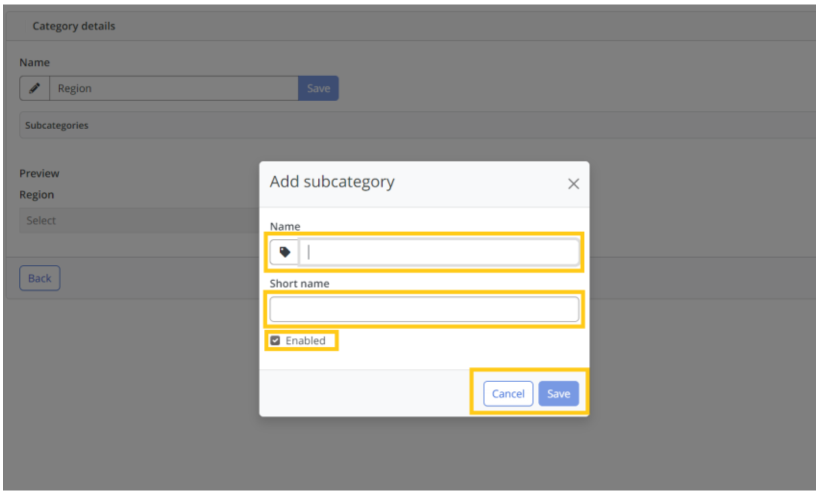
You may find that you need to add more categories to better describe incoming messages.

Go to **Settings – Categories**, select **Add category** in the upper right corner of the **Categories** view. Give the new category a name and then select **Save** to finish adding the category.



Select **Add subcategory** to add a subcategory to the current category.

The first field is the subcategory **name**. The second field is a shorthand label (optional). The Enabled tick box should only be unticked if the subcategory should no longer be used. A disabled subcategory will remain for statistics, including all cases previously categorised in this subcategory.



Select **Save** to finish creating the subcategory.

5.5 Default Messages

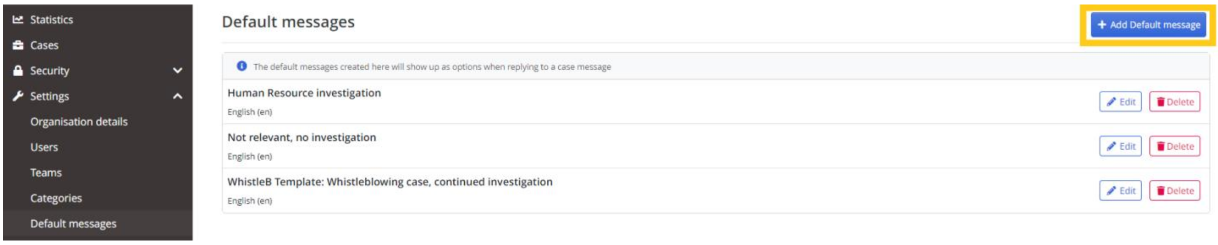
A **Default message** is a predefined answer. These answers are ready-made templates to help save time when responding to messages.

For your support there are three default messages in your account. You can modify or delete these to get started. You can create new default messages in any language.

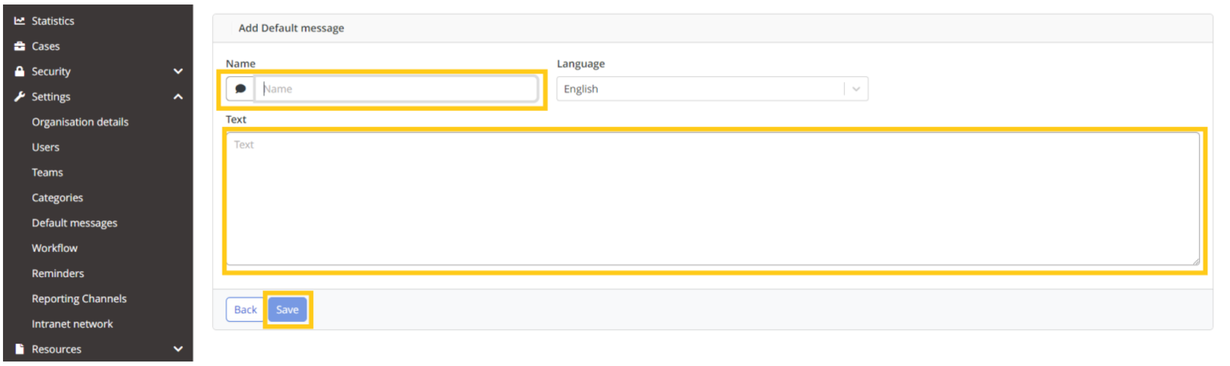
ADD A NEW DEFAULT MESSAGE

Go to **Settings** and select **Default message** in the sidebar.

Select **Add default message** in the upper right corner (see below).



Enter an internal name for this answer and write the text to be used. Note the language used for the answer.



Finally **Save**.

5.6 Workflow

Workflows can be created to keep track of the case management process. The steps added here will show up in the case view for your case managers. The case managers can follow the workflow and select the completion date for each step.

Please use drag and drop to arrange the steps in the order you would like them to be completed. You also have the option to **add**, **remove** or **edit** steps.

5.7 Reminders

The follow up reminder allows you to activate a reminder for case managers to follow up on open cases.

Please enter the number of days (after the case has been received) for when the notification should be sent. You can choose between 1-90 days, as the EU-directive stipulates that feedback is to be provided within three months from the acknowledgment of receipt.

This will affect all case managers on this account.

5.8 Reporting Channel

You may invite different target groups to communicate, i.e. have multiple Reporting Channels to your account. Find the channel you want to update in the list and select **Edit.**

- **Name**: Your internal name of the channel, used in your Case management tool.
- **URL**: The URL where you invite individuals to submit messages. Should you need to update your URL, please contact WhistleB
- **Language:** The languages selected for your Reporting Channel
- **Fallback language:** The fallback language of your Reporting Channel can be set here. The language of the Reporting Channel (landing page and questionnaire) is automatically set based on the browser language used. Should the browser language not be included in the languages selected by your organisation, the landing page will default to your fallback language.

DISPLAY NAME (REPORTING CHANNEL)

Here you can edit the name that is visible to the reporter in your questionnaire. Edit the name by modifying the text in the textbox and clicking **Save**.

6. Security

6.1 Security information

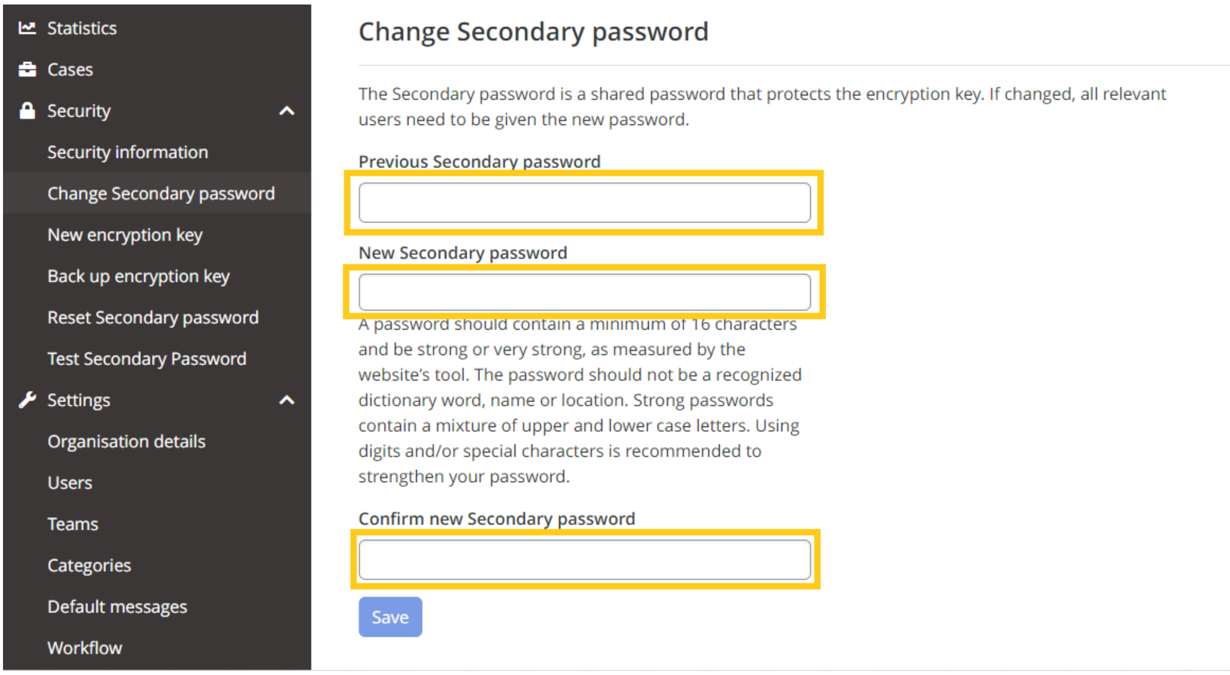
This section provides some general information on the tools available to control and manage encrypted data. Only users with Security permissions have the authority to view and manage the Security section.

6.2 Change Secondary Password

The **Secondary password** protects the encryption key and is shared by case managers. The Secondary Password should never be changed without notice in advance to all case managers.

The Secondary Password must contain at least 16 characters, including a mix of upper- and lowercase letters, numbers and special characters. The Secondary Password cannot contain a dictionary word, name or location.

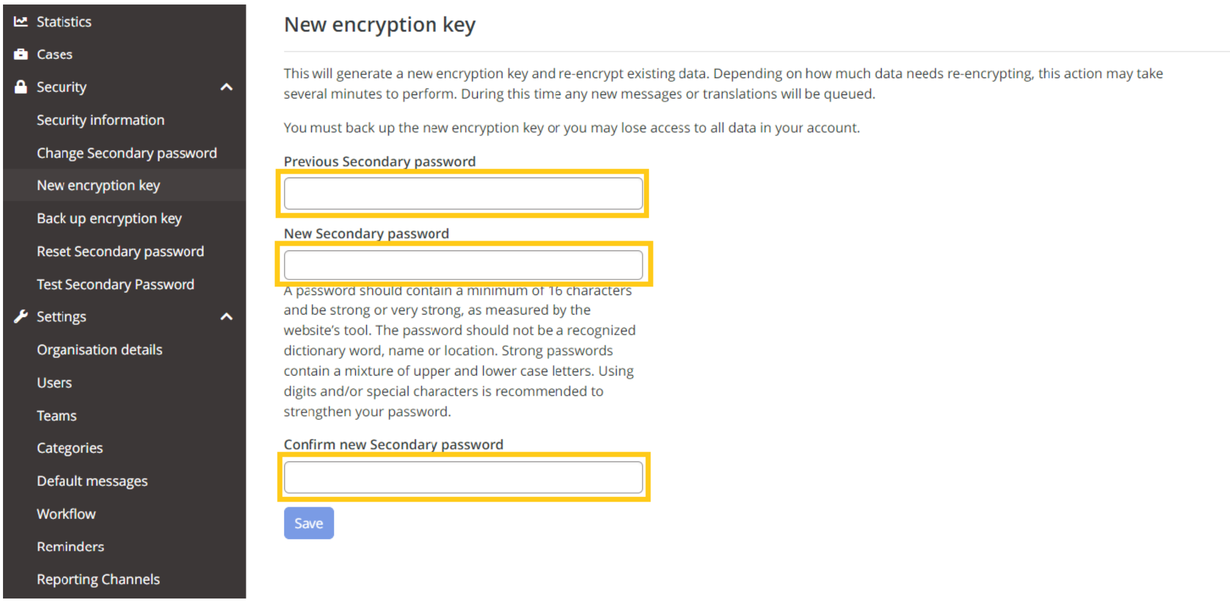
<u>Remember to store the Secondary password safely!</u>



6.3 New encryption key

It is possible to generate a **New encryption key** as a security measure. This will generate a new encryption key and re-encrypt all data. You must create a new Secondary password when you create a new encryption key. Once generated, remember to download the new encryption key: Backup encryption key.

Please note: Depending on how much data needs re-encrypting, this action may take several minutes to perform. During this time any new messages or translations will be queued.

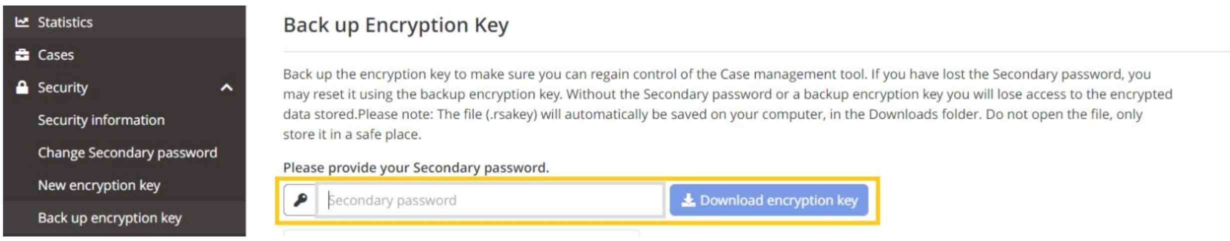


6.4 Back up encryption key

Back up the encryption key to make sure you can regain control of the Case management tool. Without the Secondary password or a backup encryption key you will lose access to the encrypted data stored.

Please note: The file (.rsakey) will automatically be saved on your computer, in the Downloads folder. Do not open the file, only store it in a safe place.

<u>It is critical to maintain the confidentiality of the encryption key.</u>

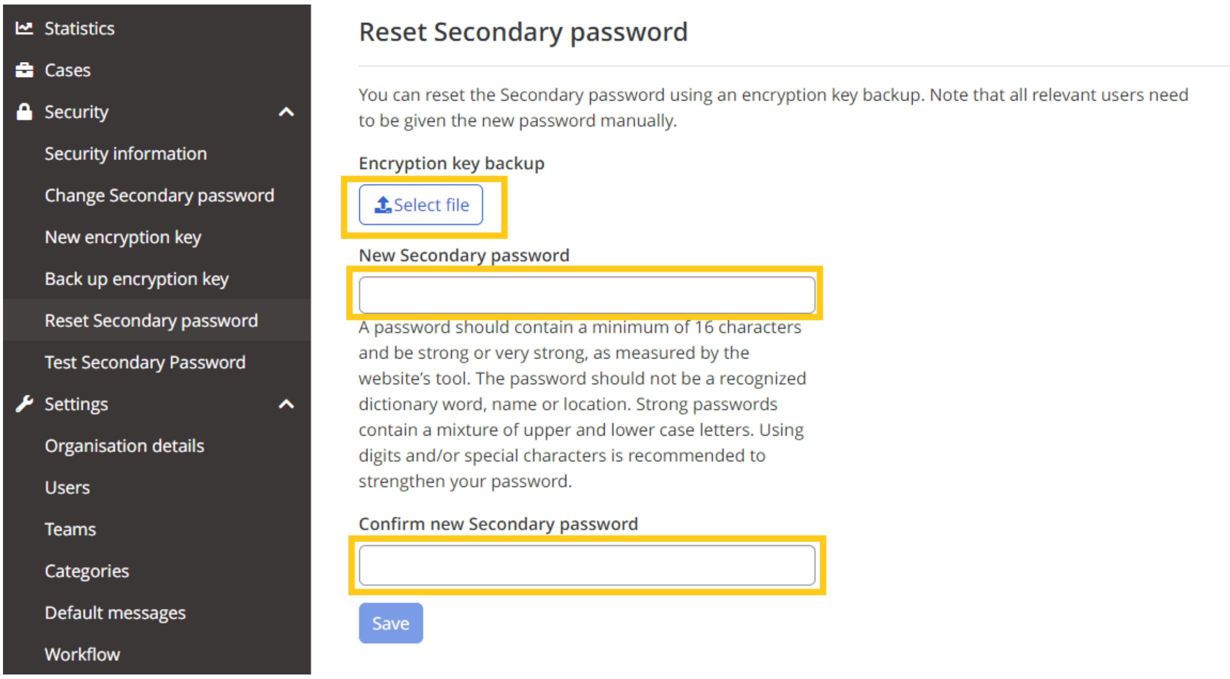


6.5 Reset Secondary Password

If you have lost the Secondary Password, you may reset it here using the backup encryption key*. **Upload** the backup encryption key file, set the new Secondary Password, and select **Save**.

Remember to inform all case managers of the changed password and store the new Secondary Password securely.

**If the backup encryption key was never downloaded or has been lost, there is unfortunately no way to reset the Secondary Password. Please [contact WhistleB]() to perform a full reset of your account.*



6.6 Test Secondary Password

By clicking **Test Secondary Password** you can verify that you have the correct password to access the reports.

7. Resources

7.1 Resource Centre

This section provides a quick introduction to the **Resources** sections below.

7.1 Implementation

In this section of Resources, we provide you with documents and templates containing everything you need for an efficient and successful implementation and launch of your whistleblowing system.

Start by reading through the Step-by-step implementation guide, and then check out the ready-to-use templates.

7.2 User support

In this section you will find support for case management. The Quick Start Guide contains all the basic information needed to start using the Case management tool. For more detailed information on the various features and settings in the tool, check this User Manual.

7.3 EU Directive

In this section, you can find a brief overview of the different national legislations compared to minimum requirements set by the EU Directive.

8. Profile

8.1 My account

Change personal details, update notification settings, and secure your account.

MY ACCOUNT

In **My Account** you can update your account information.

The **Name** field allows you to change your personal display name in the Case management tool. This changes how you are shown in Case logs and in notification e-mails.

Add your **Mobile phone number** to enable additional notification delivery options via SMS in the Notifications screen.

To change the **Language** of the Case Management Tool, select another language from the dropdown list. This setting only affects you and your account, other users of the Case Management Tool may use other languages.

NOTIFICATIONS

You can get notifications through e-mail and/or SMS (once you have added a valid mobile phone under My account). By checking/unchecking the boxes, you can configure your personalized notifications.

CHANGE PERSONAL LOGIN PASSWORD

Go to **Profile – My Account** and the **Change login password** tab.

Fill in your current password, your new password and finally select **Save**.

To **Change login password**, you must first enter your current password. The new password must be at least 12 characters long and contain both upper- and lowercase letters, as well as numbers or special characters. The password must not be a dictionary word, name, or location.

Tip! You can always change your login password by choosing "**Forgot your password?**" on the Login page of the Case management tool. You will receive an e-mail through which you can change your login password.

For extra security, add two-factor authentication – see below.

LOGIN HISTORY

Review your **Login history** occasionally to make sure your account is secure and that there are no unrecognised logins or login attempts. If you see such suspicious activity, please change your password immediately and consider enabling Two-factor authentication.

ADD TWO-FACTOR AUTHENTICATION

To enable **Two-factor authentication** you must have an Authenticator app on your smartphone or tablet. Follow the instructions on the screen to download the Authenticator app and set up two-factor authentication.

When enabled, you will be asked to confirm each log in attempt with a pin code generated on your Authenticator app. To activate, go to the **Two-factor authentication** tab under **Profile – My Account.**

Follow the on-screen instructions to set up and verify your two-factor authentication security layer.

Important! You must store the generated backup pin codes somewhere secure. Without them you will not be able to regain access to your account should your mobile phone get stolen. To get a set of 10 new backup pin codes, select **Generate new backup pin codes**.

ENFORCED TWO-FACTOR AUTHENTICATION

It is possible for a security manager to enforce two-factor authentication for all users in the organisation. To activate this feature, go to **Settings** and **Organisation details** and tick the box for **Enforce two-factor authentication**.

If the feature is activated, all users will be required to install two-factor authentication prior to logging in.

Enforced two-factor authentication is an optional feature. For more information, please contact WhistleB.

REMOVE TWO-FACTOR AUTHENTICATION

Go to **Profile – My Account** and the **Two-factor authentication** tab.

Choose **Remove two-factor authentication** if you want to log in to the Case management tool using only your login password. Enter the pin code from your Authenticator app and select **Submit** to remove two-factor authentication.

8.2 My organisations

It is also possible for a user to manage multiple accounts, using the same login information. If you manage multiple accounts a new section, **My Organisations**, will show up in your Case Management Tool.

When you log in to the Case Management Tool, click on **Profile – My Organisations**. You will get an overview of all your organisations. Select the one you want to manage by clicking **Open** next to the organisation name. You can now proceed with the case management for that specific organisation. The current organisation name is always shown in the upper-left corner.

Please note: The Secondary Password may differ between organisations.

8.3 Contact support

You can select this if you need some support with the functionality or the way the system is working.

8.4 Sign out

Once you are finished, you can select **Profile – Sign out** to exit the Case Management tool.