

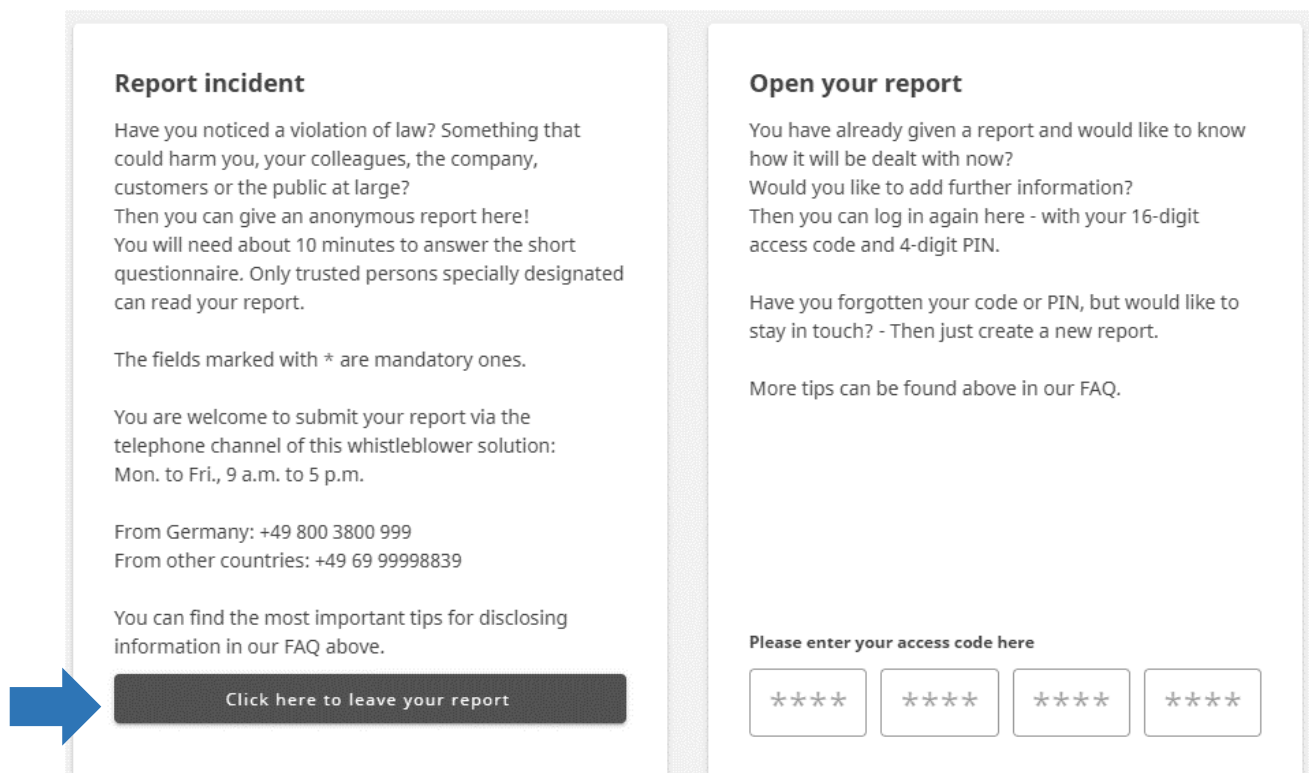
## **Report an incident and stay informed about the processing**

### **Step-by-step guide**

*In this guide, we will be using a fictional example to show how you can use our whistleblower solution for reporting an incident and how you can remain in contact with the case manager afterwards and find out about all the steps taken – completely anonymously.*

#### **1. This is how you get to the questionnaire:**

- To report an incident, click on the blue button.
- You will remain anonymous and creating a report only takes about 10 minutes.

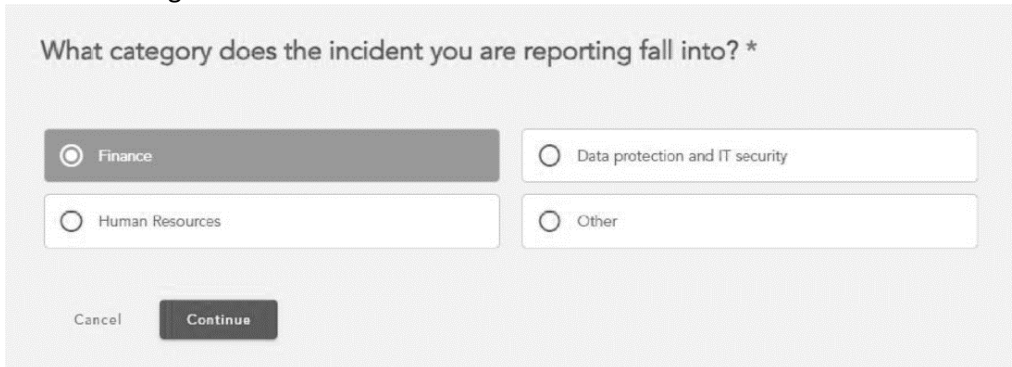


The screenshot shows a two-column interface for reporting an incident. The left column is titled 'Report incident' and contains text explaining the process, including a note that fields marked with an asterisk are mandatory. It also provides contact information for Germany (+49 800 3800 999) and other countries (+49 69 99998839). At the bottom of this column is a blue button labeled 'Click here to leave your report', which is highlighted by a large blue arrow pointing to it from the left. The right column is titled 'Open your report' and explains how to check the status of a report or add further information using a 16-digit access code and a 4-digit PIN. It also mentions a FAQ for forgotten codes. At the bottom of this column is a section titled 'Please enter your access code here' with four input boxes, each containing five asterisks (\*\*\*\*\*).

#### **2. The questionnaire**

- To handle your report, it is important to know which category the incident falls into. Select an appropriate option or select "Other" if none of the options seem appropriate for you.

- Clicking "Continue" will always take you to the next question. At the end, you can check all the information again.



What category does the incident you are reporting fall into? \*

☒ Finance

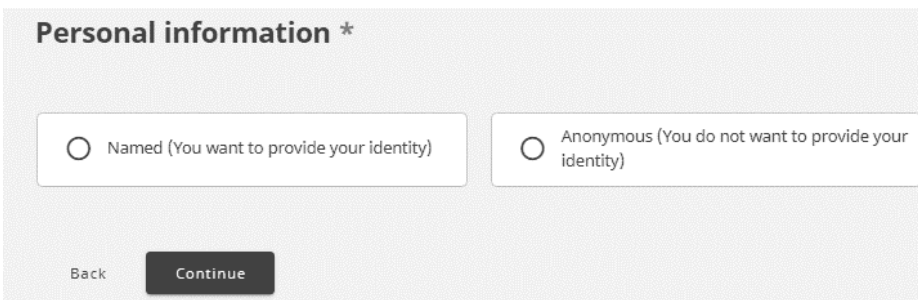
☐ Data protection and IT security

☐ Human Resources

☐ Other

Cancel Continue

- You can now choose whether you want to make the report stating your identity or whether you want to remain anonymous.



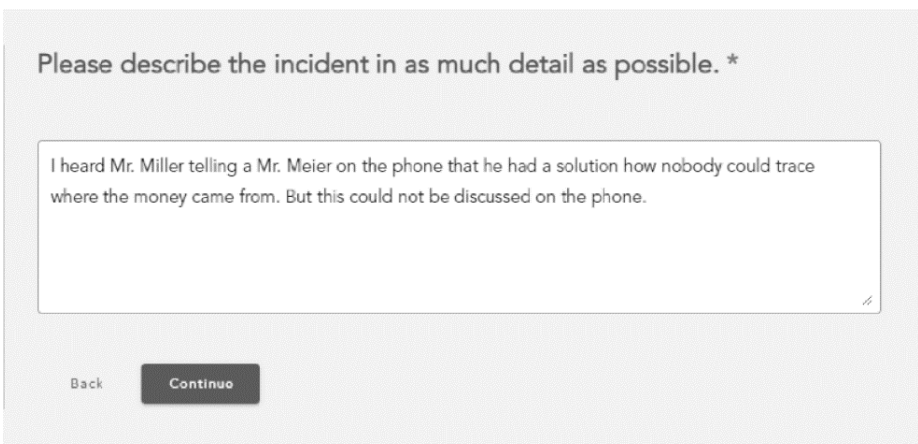
Personal information \*

☐ Named (You want to provide your identity)

☐ Anonymous (You do not want to provide your identity)

Back Continue

- Please describe the incident as precisely as possible in the following free text boxes. Please write everything that could be important for the clarification of the incident.
- Make sure that your description does not allow any direct conclusions to be drawn about you as a person.
- You can correct your information at any time using the "Back" button.

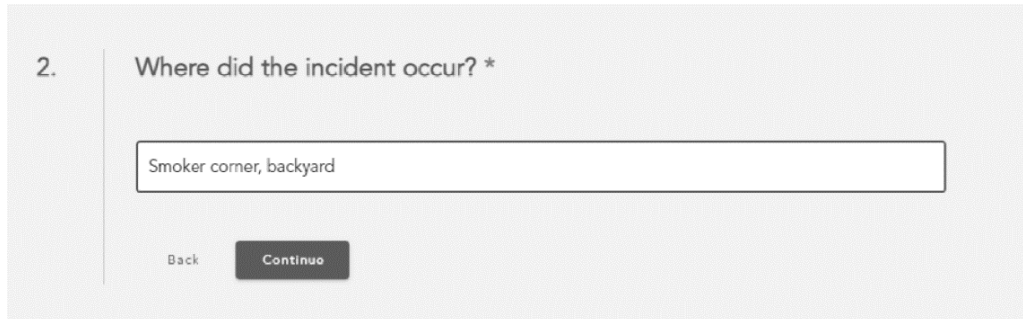


Please describe the incident in as much detail as possible. \*

I heard Mr. Miller telling a Mr. Meier on the phone that he had a solution how nobody could trace where the money came from. But this could not be discussed on the phone.

Back Continue

- In order to clarify the incident, it is important to know as precisely as possible where it happened. For example, you can name the room, the floor or the department or at which location of the company it happened.

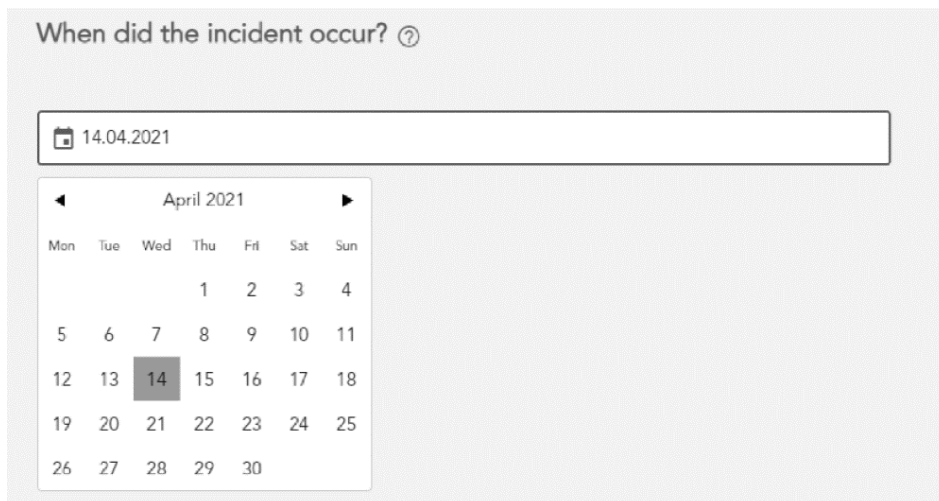


2. Where did the incident occur? \*

Smoker corner, backyard

Back Continue

- You can specify the date via the calendar icon. If the incident has been repeated several times or has occurred over a longer period of time, you can add this in a later free text box.



When did the incident occur? ?

14.04.2021

April 2021

Mon	Tue	Wed	Thu	Fri	Sat	Sun
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30		

- Please also specify who was involved in the incident.



Who were the people involved? \*

Mr. Miller and a Mr. Meier

Back Continue

- The company must only follow up on tips concerning persons who have some connection to the company, be it as an employee, temporary worker, trainee, or similar; or also as a service provider, supplier or customer. Please indicate here whether such a connection exists.

The Whistleblower program is administered by ABC Law. Does this report refer to persons currently working with or for ABC Law? \*

☒ Yes ☐ No

[Back](#) [Continue](#)

- Indicate your own relationship to the company. Only whistleblowers who have a business relationship with the company are protected. If you do not belong to this group of persons, please take special care not to provide any direct references to your person.

What is your relationship with ABC Law? \*

☒ Employee/ Freelancer ☐ Supplier / service provider

☐ Customer ☐ Other

[Back](#) [Continue](#)

- Here now another field for further information.

Is there anything else you would like to tell us? ?

I think, it was not the first time.

[Back](#) [Continue](#)

- If you have documents<sup>1</sup> that could serve as evidence, you can upload them here. All meta data<sup>2</sup> will be removed automatically. This way you remain anonymous.
- You can upload the documents via the upload button or drag and drop them from another folder into the field.

<sup>1</sup> Supported formats are: jpg., png., doc., dox., pdf., xls.,xlsx., csv. and txt.

<sup>2</sup> This is additional data, such as geocoordinates, author, IP address, etc.

Upload the supporting documentation ?

Drop your files here or click here to upload them

Back Continue

### 3. Check all the information and send the report

- When you have finished completing the questionnaire, you can check all the information you have given.
- To make changes, click on the pencil icon next to the text. This reactivates the input field and you can change and complete your entries.
- Now you can send the report. If you are not sure, you could alternatively delete all entries here and discard the report. Nothing is saved.
- When you send the report, it is received by the person who has been appointed by the company to handle the information. This can be, for example, a trusted person within the company or an external partner.

## Review and submit

Please check your answers to the questions carefully before submitting your report.

What category does the incident you are reporting fall into?

Finance

1. Please describe the incident in as much detail as possible. ✎

I heard Mr. Miller telling a Mr. Meier on the phone that he had a solution how nobody could trace where the money came from. But this could not be discussed on the phone.

2. Where did the incident occur? ✎

Smoker corner, backyard

3. When did the incident occur? ✎

14.04.2021

4. Who were the people involved? ✎

Mr. Miller and a Mr. Meier

5. The Whistleblower program is administered by ABC Law. Does this report refer to persons currently working with or for ABC Law? ✎

Yes

6. What is your relationship with ABC Law? ✎

Employee/ Freelancer

7. Is there anything else you would like to tell us? ✎

I think, it was not the first time.

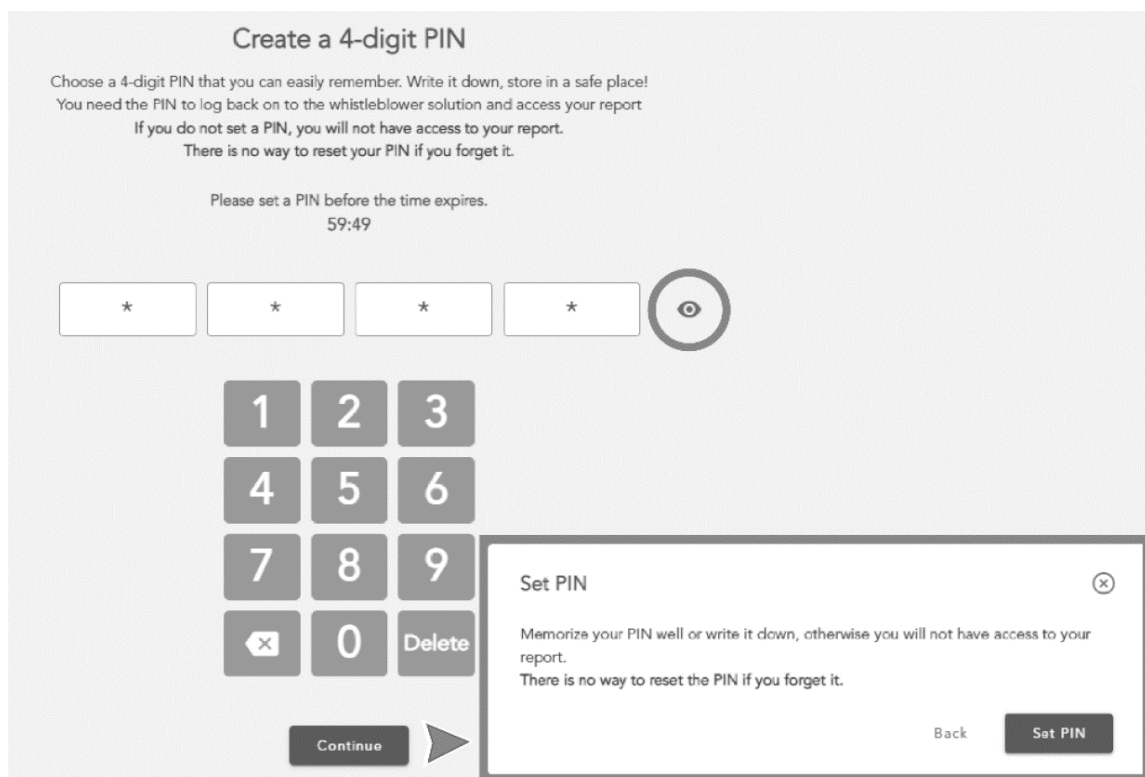
8. Upload the supporting documentation ✎

(not specified)



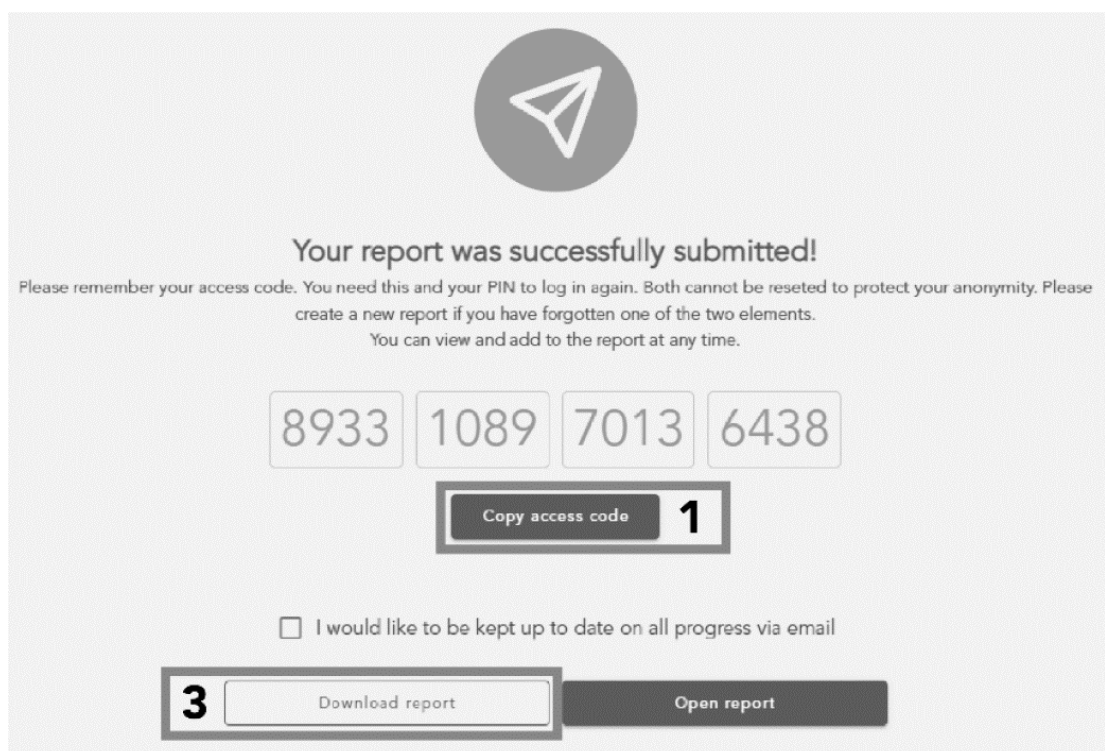
#### 4. PIN and Access Code

- After submitting the report, you will be asked to enter a 4-digit PIN. Later on, the system will also generate a 16-digit access code. Please remember both. You will need the PIN and code to log in again.
- Why should you log in again? Often the company still has questions regarding the incident. When you log in again, you will see your report and have access to a chat. This will allow you to communicate with the company and provide you with information on the status of your report.
- Please choose a PIN that you can remember. You can also take a photo of the PIN with your private mobile phone, for example. To do so, click on the eye symbol - your PIN will now be visible.




The screenshot shows a web interface for creating a 4-digit PIN. At the top, the title 'Create a 4-digit PIN' is displayed. Below it, instructions state: 'Choose a 4-digit PIN that you can easily remember. Write it down, store in a safe place! You need the PIN to log back on to the whistleblower solution and access your report. If you do not set a PIN, you will not have access to your report. There is no way to reset your PIN if you forget it.' A timer indicates 'Please set a PIN before the time expires. 59:49'. The input area consists of four boxes, each containing an asterisk, followed by an eye icon in a circle. Below this is a numeric keypad with digits 1-9, 0, a backspace icon, and a 'Delete' button. A 'Continue' button with a right arrow is at the bottom left. On the right side, a modal window titled 'Set PIN' is open, containing the same instructions as the main screen and 'Back' and 'Set PIN' buttons.

- A 16-digit access code is created. You should also keep this safe for yourself - there are various ways to do this:
1. You can copy the code via the "Copy access code" button and then paste it into an email that you send to yourself.
  2. Alternatively, you can take a picture with your private mobile phone.
  3. Or you can save the report on a private end device (laptop, smartphone) via the button "Download report". The code is visible in the report.



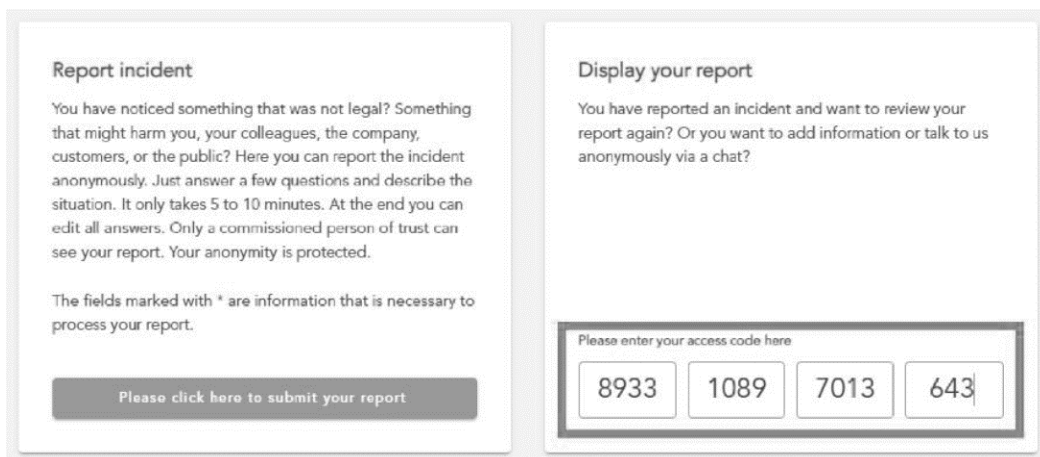


4. If you wish, you can also leave your email address here. You would then be informed by mail about the processing of your report. But beware: with this step you would no longer be anonymous!
5. Important: You can also receive all the information via the anonymous portal. So there is no need to give up your anonymity! This is only one option.



## 5. After sending: Re-login, processing status & chat

- After you have successfully sent your report, you can log in and view it at any time via the whistleblowing portal (see below "Display your report").
- To do this, copy your access code and paste it in the field provided: Simply click in the first field on the left and paste the code - with "Ctrl V" or via "right mouse button + paste".



- Now enter your PIN and click on "Open message" - and you are logged in again.

**Enter the 4-digit PIN**

If you want to access the report afterwards, you must verify your identity with the pin  
After 10 wrong entries access to your report will be locked irrevocably.  
In order to inform yourself about the processing of your report, please create a new report and refer to the old one.

\*

\*

\*

\*

1

2

3

4

5

6

7

8

9

✕

0

Delete

[Back](#)
[Open report](#)

- You will now see the information you have entered, the processing status of your report, and the chat.
- At the top of the page you will see the processing status. Initially, this is set to "Pending".
- According to the Whistleblower Protection Act, the company is obliged to acknowledge receipt of a report to you within 7 days. This is done via the chat. Here the company can also ask you questions and they can reply completely anonymously. Also here you could still upload documents as evidence.
- The processing status "in progress" means that your report is now being dealt with.

Details			
Access code 8933 1089 7013 6438	Category Finance	Submitted 03.05.2021, 10:58	Last status change 03.05.2021, 11:14
<a href="#" style="text-decoration: none; color: #000;">Change PIN</a>	<a href="#" style="text-decoration: none; color: #000;">Change email address</a>		

In progress

Conversation


Thank you for contacting us. We have received your report and are now processing it. For this purpose we will contact you here if necessary. Therefore, please log in regularly to answer any questions. Many thanks for your support!

03.05.2021, 11:12

- According to the Whistleblower Protection Act, the company is obliged to investigate your report within 3 months and seven days and to inform you of any action taken or planned within this period. The information will be stored for you in the system and you can also respond to it in the chat.
- The corresponding processing status is "Review". During review, you can comment the communicated results if necessary.
- Important: You are not allowed to make the content of your report public! According to the Whistleblower Protection Act, you may only contact the authorities or the public if the company does not contact you within 3 months and seven days or if the misconduct continues.

Details

In progress

Access code 

Category

Submitted

Last status change

8933 1089 7013 6438

Finance

03.05.2021, 10:58

03.05.2021, 11:14

Change PIN

Change email address

Answers to the questionnaire

- Please describe the incident in as much detail as possible.

I heard Mr. Miller telling a Mr. Meier on the phone that he had a solution how nobody could trace where the money came from. But this could not be discussed on the phone.
- Where did the incident occur?

Smoker corner, backyard
- When did the incident occur?

14.04.2021
- Who were the people involved?

Mr. Miller and a Mr. Meier
- The Whistleblower program is administered by ABC Law. Does this report refer to persons currently working with or for ABC Law?

Files 0

Conversation

Thank you for contacting us. We have received your report and are now processing it. For this purpose we will contact you here if necessary. Therefore, please log in regularly to answer any questions. Many thanks for your support!


03.05.2021, 11:12

Thank you very much for your comment. What makes you think it's not the first time?

03.05.2021, 11:15

He said he had good experience with it and that the system had proved its worth.

03.05.2021, 11:15

 He said he had good experience with it and that the system had proved its worth.

## 6. In the end: Download report & logout

- At any time until the process is completed, you can download your report. We recommend that you regularly download a copy of your report after each addition by you or the company and keep it safe for yourself. According to the Whistleblower Protection Act, three years after the report is archived, it will be deleted in a GDPR compliant manner - download it again before that.
- Please remember to log out in the last step.

