The Lighthouse Case Management System

Get everything you need to track employee complaints from beginning to end in one easy-to-use online tool!

For larger companies, keeping track of employee complaints can be a daunting challenge. Overlooked or missing information can lead to inefficient investigations and leave you vulnerable to potential litigation. Lighthouse's state-of-the-art **Case Management System** (CMS) allows you to keep track of all case activities from the time your employee reports an incident all the way through to its resolution. Best of all, there's no additional cost to your company.

Key CMS Features and Benefits

CMS provides you and the appropriate ethics and compliance personnel with the ability to:

- **View the complaint online –** You can access complaint information online even when away from the office. Because the CMS application resides on the Lighthouse server, there is never a need to download software.
- **Assign the incident to a person for investigation –** You'll be able to assign the report to the appropriate individual quickly, and you'll know the right person to contact if you have questions or concerns about any investigation.
- **Assign risk level, priority & status-** This ensures that the most urgent or sensitive cases are given top priority and that all cases are handled in a timely and expeditious manner.
- **Record your follow-up and outcome –** You'll be able to input all actions taken as well as each case's ultimate resolution, which is critical to creating an audit trail.
- **Dialogue with complainant –** If a complainant submits a report through the Lighthouse website and includes an email address, the case investigator or administrator can carry on an anonymous dialogue with the complainant, allowing for the continuous exchange of information throughout the course of an investigation.
- **Create and manage reports –** You'll have the capability to develop a variety of reports that can be issued to key personnel within your organization on a "need to know" basis. You'll also be able to add reports to CMS even if the report was not submitted through Lighthouse's network.
- **Attach multiple files to a report –** You can supplement reports with as many additional files as you need.
- **Collaborate with ease -** CMS allows users to share report information with appropriate personnel by easily creating PDF files with summary or detailed information. Data from CMS can also be exported to Excel or CSV format for the creation of ad hoc reports or charts with push-button simplicity.

CMS: Designed with the End-User in Mind

CMS is designed with you, the end-user in mind. The numerous user-friendly features save you time, money and hassles while increasing the efficiency of your investigations.

Before using CMS for the first time, please take a few minutes to review the help tutorial found at the following link: http://www.lighthouse-services-cms.com/Help/index.html

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1125 Blyth Court, Blue Bell, PA 19422
215.884.6150 lighthouse-services.com

IN A NUTSHELL

Here are just a few of the CMS features and capabilities:

- View the complaint online
- Assign the incident to a person for investigation
- Assign Risk Level, Priority & Status
- Record your Follow-up and Outcome
- Dialogue with Complainant
- Create and manage reports
- Attach multiple files to a report
- Collaborate with ease

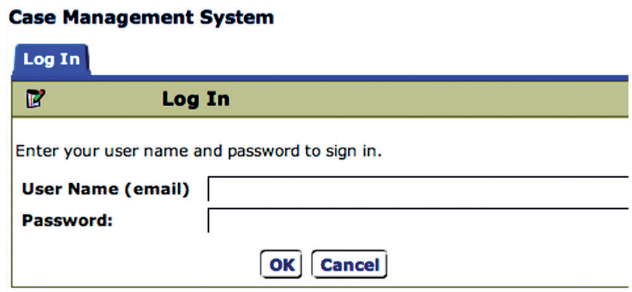
Here's how easy CMS is to operate

To access the system, log on to the CMS website by clicking on this link:

http://www.lighthouse-services-cms.com

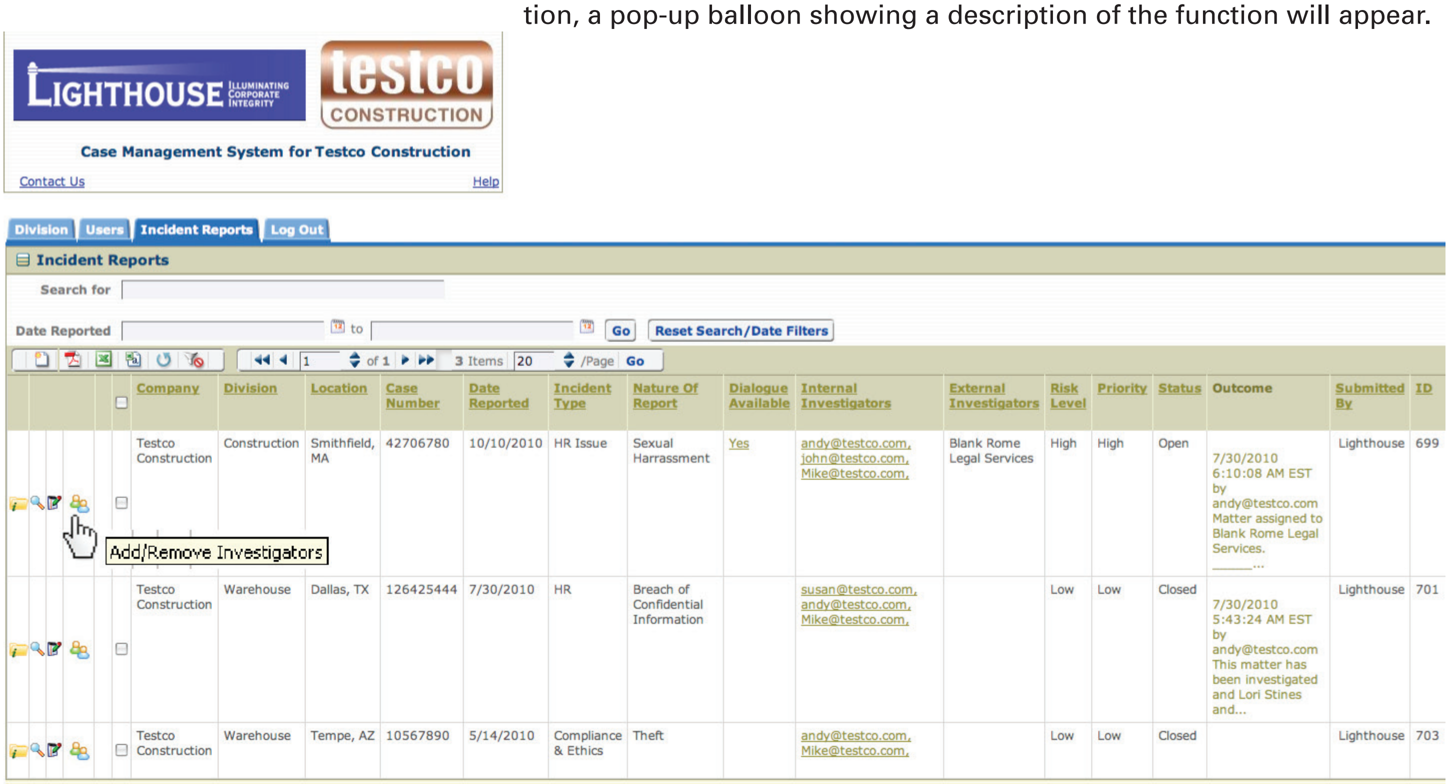
STEP ONE: Log In

CMS will then prompt you to enter your unique user ID (your email address) and password.



STEP TWO: Visit the Nerve Center (The Incident Reports Tab)

Once you have successfully logged on, CMS will open in the Incident Reports tab, the "nerve center" of the system. From here, you can easily manage all reported cases. Each incident is assigned a unique case number, and the built-in filters allow you to manage cases when using fields such as date, incident type, risk level, priority, status, nature of report, or by using a keyword. By placing your cursor over an object in the application, a pop-up balloon showing a description of the function will appear.



Company	Division	Location	Case Number	Date Reported	Incident Type	Nature Of Report	Dialogue Available	Internal Investigators	External Investigators	Risk Level	Priority	Status	Outcome	Submitted By	ID
Testco Construction	Construction	Smithfield, MA	42706780	10/10/2010	HR Issue	Sexual Harrassment	Yes	andy@testco.com, john@testco.com, Mike@testco.com,	Blank Rome Legal Services	High	High	Open	7/30/2010 6:10:08 AM EST by andy@testco.com Matter assigned to Blank Rome Legal Services. ______...	Lighthouse	699
Testco Construction	Warehouse	Dallas, TX	126425444	7/30/2010	HR	Breach of Confidential Information		susan@testco.com, andy@testco.com, Mike@testco.com,		Low	Low	Closed	7/30/2010 5:43:24 AM EST by andy@testco.com This matter has been investigated and Lori Stines and...	Lighthouse	701
Testco Construction	Warehouse	Tempe, AZ	10567890	5/14/2010	Compliance & Ethics	Theft		andy@testco.com, Mike@testco.com,		Low	Low	Closed		Lighthouse	703

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Add New Administrators and Investigators Using the Users Tab

CMS also allows you to designate individuals as Administrators who have access to all case records, and Investigators who have access only to those records assigned to them by the Administrator. This feature helps you optimize the effectiveness of CMS by providing an additional level of oversight and control.

Division | Users | Incident Reports | Log Out

Users

Search for [ ] Go

|◀◀ ◀ 1 of 1 ▶ ▶▶| 4 Items 10 /Page Go

Company	Division	User ID (Email)	User Role	Last Name	First Name	Phone	Phone Alternate	Fax	Notes
Testco Construction		Mike@testco.com	Investigator	Bower	Mike	215-884-6764			
Testco Construction		andy@testco.com	Admin	Bronstein	Andy	215-884-6150			
Testco Construction		susan@testco.com	Investigator	Fields	Susan	215-884-4219			
Testco Construction		john@testco.com	Investigator	Price	John	215-884-8473			

Defined User Roles

The system has two levels of users: Administrators, who have access to all records, and Investigators, who are assigned to individual records by the Administrator. Administrators set up Investigators by using the Users tab. Investigators have the ability to access only those records assigned to them. Records can be assigned to one or more Administrators or Investigators by clicking on the [assign user] icon in the Incident Reports tab.

Company Administrators have access to the Division, Users, and Incident Report Tabs.

- They can add or delete users, change user roles and manage user profiles.
- They can add and delete different divisions within your company as necessary.
- They can review all incident reports, assign investigators, track progress, dialog, add files, etc.

Investigators have access to the Incident Report Tab only.

- They can only investigate, track progress, dialog, add files, etc.
- They cannot add investigators to reports.

Other Important Features

Dialog Capabilities – If a complainant submits a report over our website and provides an email address both Administrators and Investigators will be capable of engaging in anonymous dialogue with a complainant. All Administrators and any Investigators assigned to an incident report will be copied on dialog emails, unless your company elects to omit unassigned Administrators. However, if there is no assigned Investigator and Administrators have elected to not view dialogue emails, complainant emails will be sent to all Administrators by default.

You can start a dialog by clicking on the underlined YES in the Dialog Available column. This opens another screen where you can type and send your questions. Previous dialogues will be visible in this window also.

Audit Trail for Follow-Up and Outcome Fields – These fields are for entering progress notes and logging investigative activities. The username and time and date of entries are displayed whenever text is added in these fields. After entering and saving data into these fields the data cannot be modified or removed.

Incident Type Dropdown – Freeform text entry is automatically added to your Incident Type dropdown list.

Attach Files – Multiple files (Word, PDF, Excel, picture file, etc.) can be attached to a report using the File Folder icon available on the Incident Reports Page.

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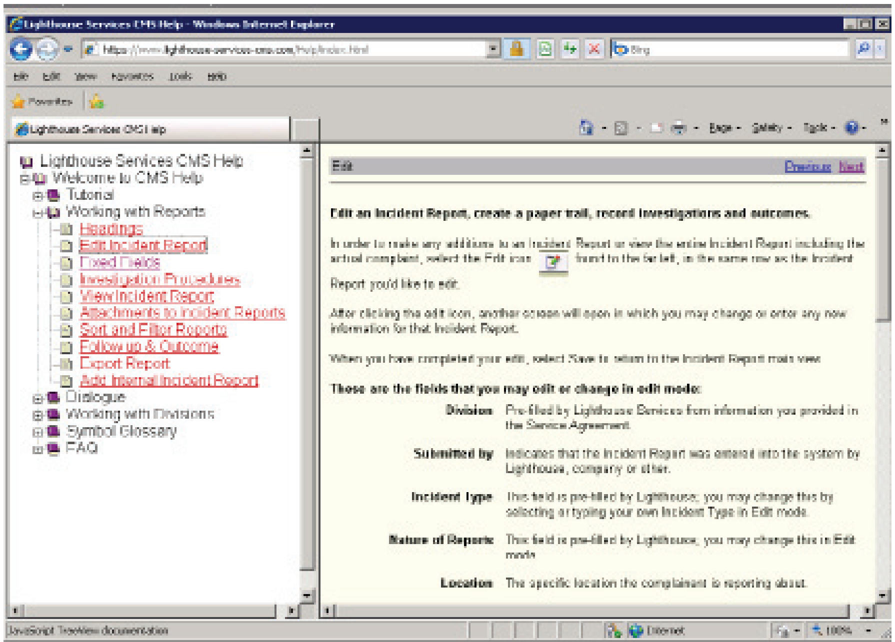

Create Reports Not Submitted through Lighthouse – CMS gives you the capability to create reports for any incident, even those not reported through the Lighthouse system.

Convenient Help Tutorials – With CMS, help is never more than a mouse click away. By visiting our help site at http://www.lighthouse-services-cms.com/Help/index.html you will gain access to a variety of menu items that will enhance your user experience.

Use the online HELP TUTORIAL which has extensive information about how to use the CMS software.

http://www.lighthouse-services-cms.com/Help/index.html

Customizing Your Lighthouse CMS Site

Your Case Management System will be pre-configured with information that you have provided us in your Service Agreement.

The system comes with the following default configurations.

NOTE: for any of the 'System Toggles', if you wish to change the default setting notify Lighthouse Services to implement your choices. For further information see the CMS Default Settings & Choices document.

Function	Default Setting	Description
Permit Investigators to Change the Status of a Report	**ON**	Investigators are allowed to make changes to the status of incident reports they are assigned to. (Administrators can always make changes to an incident report status.)
Dialog Copy Administrators	**ON**	All Administrators will receive email notification of a dialog response by a complainant. (Investigators assigned to a report will also receive the email notification.)
Email Status Change	**OFF**	Administrators are not notified of an incident report status change that is made by an Investigator assigned to a report.

CMS: The Cost-Free Way to Optimize Your Investigations

With CMS, there's no need to be overwhelmed by or worry about the mishandling of a high volume of hotline reports. Make the most of your Lighthouse Services reporting hotline by using CMS to manage your reporting and investigation process. Don't leave anything to chance.

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