



CASE MANAGEMENT SYSTEM

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

For most organizations, keeping track of hotline reports can be a daunting challenge. Overlooked or missing information can lead to inefficient investigations and leave you vulnerable to potential litigation.



CMS: The Cost-Free Way to Optimize Your Investigations

For companies with high call-volume, tracking and analyzing hotline reports can be complicated, not to mention highly labor-intensive.

Lighthouse can save you time and labor costs by including our powerful and efficient Case Management System (CMS) at no additional cost. The CMS is a secure, web-based tool that allows you to manage and collaborate on all your hotline reports and investigations.

With our CMS, you can track every issue from a report's receipt through its resolution, allowing you to optimize investigations, reduce administrative oversight, ensure due diligence and create an audit trail.

Key CMS Features and Benefits

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

- 1: View the Report Online** - You can access report 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.
- 2: Assign the Incident to a Person for Investigation** - You'll be able to assign the report automatically to the appropriate individual quickly, and you'll know the right person to contact if you have questions or concerns about any investigation.
- 3: Assign Risk Level, Priority & Status** - This ensures that the most urgent or sensitive cases are given top priority and that all reports are handled in a timely and expeditious manner.
- 4: Record Your Follow-Up and Outcome** - You'll be able to input all actions taken as well as each report's ultimate resolution, which is critical to creating an audit trail.
- 5: Dialog with Reporter** - Under most circumstances, the case investigator or administrator can carry on an anonymous dialog with the reporter, allowing for the continuous exchange of information throughout the course of an investigation.
- 6: Create and Manage Reports** – 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. Templates can be created and scheduled for commonly used reports. Your CMS comes equipped with an advanced analytics dashboard with a view to all key metrics and trends and the ability to drill down to details using a comprehensive and easy to understand set of user controls.
- 7: Attach Multiple Files to a Report** – You can supplement reports by uploading additional files as needed.
- 8: Collaborate With Ease** – CMS allows users to share either detailed or summary information about a report with appropriate personnel or outside parties. Data from CMS is exportable with push-button simplicity. Our message board feature communicates client messages to system users. Information links allow easy access to company policies and forms relevant to your investigation activity.
- 9: Link Reports** – You can add a Link ID to associate a report with other previously received reports you identify as having similar issues.

Operating the CMS

To access the system, log on to the CMS website by clicking on this link:
<http://www.lighthouse-services-cms.com>

1: LOG-IN

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



Sign in

Enter your user name and password to sign in. The user name must be a valid/active email address.

User Name (email)

Password

[Forgot Password?](#)

Before using CMS for the first time, please take a few minutes to review the tutorial video found here
https://www.lighthouse-services.com/Video/EthicsHotlineTraining/CMS_Tutorial_Administrator/

2: 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 report 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.

Case Number	Date Reported	Division	Location	Source	Incident Type	Nature Of Report	Reporter Known to	Dialog Available with Reporter	Internal Investigators	External Investigators	Risk Level	Priority	Status	Submitted By	Link ID	Follow Up	Outcome	Last Modified by Company	Last Modified by Lighthouse	La Me by Ra
42706780	5/16/2020	Sales	Dallas, TX	Phone	HR	Sexual Harassment	Lighthouse	Yes	dster@example.com jack@example.com jgle@example.com	Maverick Worldwide Solutions	Medium	Medium	Pending	Lighthouse	Greg	05/19/2020 3:24:33 PM ET by andy@example.com The VP of Human Resources has scheduled a me...		8/18/2020 1:25 PM (ET)	5/12/2020 8:41 AM (ET)	6/11 (ET)
126425444	4/30/2020	Sales	Dallas, TX	Web	Fraud	False Expense Reports		No	jack@example.com	Baker & McKenzie	Medium	Medium	Open	Lighthouse		05/14/2020 12:20:21 PM ET by andy@example.com Matter assigned to Joe Smith for investigat...	05/25/2020 5:43:24 AM ET by andy@example.com This matter has been investigated and Lon S...	5/25/2020 5:43 AM (ET)	4/30/2020 4:47 PM (ET)	
463251025	4/6/2020	Construction	Plano, TX	Web	Compliance & Ethics	Theft of Property	Company	No	jack@example.com qam@example.com		High	High	Pending	Internal		04/18/2020 8:00:44 AM EST by jack@example.com Annette was taken into custody for theft. T...	04/25/2020 8:00:44 AM EST by jack@example.com Annette was taken into custody for theft. T...	4/25/2020 8:00 AM (ET)	4/6/2020 4:46 PM (ET)	
12345678	3/16/2020	SIRHC	Trenton, NJ	Phone	Compliance & Ethics	Unsafe Working Conditions	Lighthouse	Yes	jack@example.com qam@example.com		Low	Low	Closed	Lighthouse		03/18/2020 8:00:44 AM EST by pam@example.com The forklift is scheduled for	03/20/2020 10:41:10 AM EST by pam@example.com The lift has been	3/20/2020 10:41 AM (ET)	3/16/2020 5:15 PM (ET)	

3: ADD NEW ADMINISTRATORS AND INVESTIGATORS/ NON-ADMINISTRATORS USING THE USERS TAB

CMS also allows you to designate individuals as Administrators who have access to all case records, and Investigators/non-Administrators 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.

Users
 Note: Adding or deleting a User in this system does not change your designated recipients for reports. To change report recipients you must send an email to reports@lighthouse-services.com with your requested changes.

Search for:

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	User ID (Email)	User Role	User's Last Sign on Date	User Locked	Can Change Report Status	Receive Reminder Notifications	Last Name	First Name	Title	Phone	Phone Alternate	Fax	Notes
	andy@example.com	Administrator	8/18/2020 1:37 PM	No	Yes	Yes	Smith	Andy	VP, General Counsel	215-643-3500			
	chris@example.com	Administrator		No	Yes	Yes	Jones	Chris	Sales Manager	215-643-3501			
	dieter@example.com	Investigator/non-Administrator	3/29/2017 11:17 AM	No	Yes	Yes	Schmidt	Dieter	Controller	215-884-6202			
	doreen@example.com	Investigator/non-Administrator	3/29/2017 11:17 AM	No	Yes	Yes	Bartlett	Doreen	VP Human Resources	215-884-6265			
	jack@example.com	Investigator/non-Administrator	3/30/2017 12:10 PM	No	Yes	Yes	Gordon	Jack	HR Benefits Administrator	215-884-8473			
	jan@example.com	Administrator	3/29/2017 11:17 AM	No	Yes	Yes	Franklin	Jan	Chief Operating Officer	215-773-5620			
	jolie@example.com	Administrator	8/18/2020 1:22 PM	No	Yes	Yes	Matthews	Jolene					
	mike@example.com	Investigator/non-Administrator	3/29/2017 11:17 AM	No	Yes	Yes	Bower	Mike	Internal Auditor	215-884-6764			
	pam@example.com	Investigator/non-Administrator	3/29/2017 11:17 AM	No	Yes	Yes	Smith	Pam	Executive Assistant	215-884-6380			
	paul@example.com	Investigator/non-Administrator		No	Yes	Yes	Green	Paul	HR Benefits Administrator	215-884-6128			
	ryan@example.com	Administrator	8/18/2020 10:45 AM	No	Yes	Yes	Bronstein	Ryan					

User access permissions can only be changed for Investigator/non-Administrator users

Defined User Roles

The system has two levels of users:

1. Administrators: who have unrestricted access to the database, create new users, assign investigators and can add new internal reports.
2. Investigators/ non-Administrators: who are assigned to individual records by the Administrator.

Investigator/non- Administrator user access can be modified based on the business and individual user's needs. By default, Investigators/non-Administrators 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 Company Administrators have access to the entire system without impediment.

- 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 access all incident reports, assign investigators, track progress, dialog, add files, etc.

Investigators/non-Administrators profiles

are dynamic and can be modified based on a user's needs. However, by default Investigators/non-Administrators only have access to the Incident Report tab.

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

Other Important Features

Dialog Capabilities

Under most circumstances both Administrators and Investigators will be capable of engaging in anonymous dialog with a reporter. All Administrators and any Investigators assigned to an incident report will be copied on dialog emails, unless your organization elects to omit unassigned Administrators. However, if there is no assigned Investigator and Administrators have elected to not view dialog emails, reporter emails will be sent to all Administrators by default.

Manage Custom Fields

CMS allows an administrator to define up to three client defined fields for a report. These custom fields will appear on the Add/Edit/Show Incident Report pages and will be included in exports of incident report data. The following types of custom fields are available:

- Numeric - Integer
- Number - Decimal
- Numeric - Currency
- Date
- Text (maximum 255 characters)
- Dropdown List

Audit Trail

The CMS provides you with fields for your Follow-Up and Outcome notes. These fields are available for entering progress notes and logging investigative activities. Username and time and date of entries are displayed whenever text is added in these fields. After entering and saving data into these fields it cannot be modified or removed. Additionally, the system keeps track of every change to a record via an audit interface.

Drop-Down Usability

For your convenience you can deploy the advantages of drop-down lists by creating your own throughout the system preventing users from entering erroneous data and allowing for a standardized data structure.

Easily and Quickly Respond to a Reporter

Quick Response Messages are available in the Dialog page. Company users have access to a library of messages that can be quickly sent to/saved for a reporter from the Dialog page. With a few clicks of their mouse, a user can choose which message to send to the reporter.

through Lighthouse

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

Web API Access

With CMS API enabled clients can initiate remote transactions seamlessly between systems to query the CMS and add incident reports.

Investigator Oversight

Reminder notification emails send configurable email messages to CMS users assigned as investigators on a case. When the feature is enabled, users assigned to a case will receive reminder notification emails when the status of an incident report remains unchanged for a specified period of time.

Convenient Help Tutorials

With CMS, help is never more than a mouse click away. We offer easily accessible tutorial and onboarding videos for new users that enhance user experience. Additionally, our customer service representatives are just a phone call or email away.

Customize Your CMS Site

The CMS is highly configurable with multiple setting options allowing you to align the system to meet your program objectives and accommodate user preferences.

<p>Allow Lighthouse Reports to be Deleted <input checked="" type="checkbox"/></p> <p>Allow Internal Reports to be Deleted <input checked="" type="checkbox"/></p> <p>Allow Locations to be Associated with Divisions <input type="checkbox"/></p> <p>Suppress Report/Dialog in Emails <input type="checkbox"/></p> <p>New Incident Report Email Notification <input checked="" type="checkbox"/></p> <p>Dialog Copy Administrators <input checked="" type="checkbox"/></p> <p>Email Status Change to Administrator <input checked="" type="checkbox"/></p> <p>Allow Deletion of Files Uploaded by Company <input type="checkbox"/></p> <p>Populate Sender Field on Emails <input checked="" type="checkbox"/></p> <p>Restrict Access to CMS Via IP Address <input type="checkbox"/> Add IP Address</p> <p>Enforce Lockout On Unsuccessful Login Attempts <input type="checkbox"/></p> <p>Two Factor PIN Authentication Required <input type="checkbox"/></p> <p>Require 'Outcome' to Close Report <input type="checkbox"/></p> <p>'Division' Field Name <input type="text" value="Division"/></p> <p>Automatic Dialog Message <input type="text"/></p> <p>Confidentiality Disclosure on CMS Emails <input type="text"/></p>	<p>Manage Closed Report Notifications</p> <p>Manage Custom Fields</p> <p>Manage Inbox Messages</p> <p>Manage Information Links</p> <p>Manage Nature of Report</p> <p>Manage Quick Response Messages</p> <p>Manage Reminder Notifications</p> <p>Manage Security Settings</p> <p>Manage Status Types</p>
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Your Case Management System will be pre-configured with information that you will provide us in your Service Agreement.

Your Company's Confidentiality and Security is Our Top Priority

The Lighthouse CMS is a cloud-based system that utilizes many levels of security including hardware and software firewalls, secure http access (HTTPS), optional two-factor authentication and IP access restriction, and client-controlled password policies.

The data centers (production and disaster recovery) are located in secure, 24hr-monitored data centers. Our data center provider, SingleHop LLC, is SOC2 compliant and utilizes many security protocols in their data centers including motion sensors, closed circuit video, anti-tailgating measures, security guards at all points of entry, escorting visitors at all times, walls extending from ceiling to floor, and alarms on all exterior windows and doors. Our servers are under a strict maintenance schedule for OS patch and 3rd party software updates.

Our data centers server is co-located in a SOC 2 certified facility that is equipped with proximity security badge access. Our servers are housed in a secure facility and are equipped with:

- Multiple Internet backbone connections
- Automatic fail-over through alternate secure connection
- All servers are protected with RAID drive arrays
- Secure, internally networked, high-speed data transmission between data centers
- 3 independent A/C feeds and robust UPS resources
- Cisco Systems 10G network
- Cisco Guard DDOS protection
- Geographically redundant DNS
- TippingPoint IPS/IDS protection
- Arbor Peakflow traffic analysis
- Arbor Atlas Global Traffic Analyzer
- Automated IP routing and management
- Server to Internet speeds up to 1 Gigabit
- ESET and McAfee Business-Class Anti-Virus

All of our servers are monitored and protected using Alert Logic Intrusion Detection software to identify and eliminate malicious external traffic to our servers. Lighthouse also conducts penetration and vulnerability testing using Veracode software which allow Lighthouse to shore up any system or network deficiencies to protect our clients' data.

Data at rest within our CMS is encrypted using AES 256-bit encryption and data in transit is encrypted using HTTPS. All production database backups are encrypted and stored at a distant, separate data center. Access to our servers by Lighthouse personnel requires VPN access, two-factor authentication and complex credentials. Client access to their CMS requires complex credentials that are client-configured. Clients may also use extended security features of the CMS by enabling two-factor authentication and IP access restriction. User credentials are stored in the CMS using a 256-bit, one-way encryption algorithm. User are also notified of multiple login failures, requests for password changes and notification when their passwords have been changed. Clients may also enable an option to lock out user accounts after multiple login failures. Emails automatically generated from the CMS are encrypted in transit using TLS/SSL.

The following features in the CMS provide our clients with additional security measures:

- Account locking allows Administrator the ability to lock out specific user accounts
- Two-factor authentication requires users provide a randomly generated PIN for each session
- Customizable password requirements including password complexity and expiration rules
- Customizable session timeout rules and email link expiration settings
- Client enabled management of IP addresses with permission to access their CMS
- Enforce lockout on unsuccessful login attempts gives the Administrator the option to lockout a user or require them to respond to a CAPTCHA challenge
- Sign on access log lets users view a history of their previous sessions including IP address.

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.