

AI Agent Name:

- ◇ **Role:** Ethics Case Screener
- ◇ **Use Case:** Assist users in submitting professional ethics complaints, categorize them, and determine whether escalation is needed.

Use Cases

Use Case	Example
Handling complaints and investigations	Receiving and logging ethics-related complaints

Use Case 1– Sample Conversation

AI Agent:

Welcome to the Ethics Complaint Submission Assistant. I'll help you file your concern confidentially and ensure it reaches the appropriate review team.

First, please select the type of complaint you're reporting:

(Only one can be selected)

- ☐ Harassment
- ☐ Conflict of Interest
- ☒ Fraud
- ☐ Code of Conduct Violation
- ☐ Misuse of Funds
- ☐ Discrimination
- ☐ Privacy Violation
- ☐ Other

Internal AI Thought Process:

- Selected type: Fraud
- Load dynamic question set for “Fraud” from knowledge base

- Required fields: Subject Name, Date, Financial Data, Evidence Description

AI Agent:

Thank you. You selected **Fraud**. I'll now collect some more information.

Who is the person or organization you're reporting?

Example: John Michaels, Vendor or Staff Member

User:

John Michaels, he's a procurement officer.

AI Agent:

When did this incident occur?

Please enter the date

User:

Around May 15th, 2025.

AI Agent:

Please describe what happened and why you believe it involves fraud.

Include any specific transactions, contracts, or behaviors.

User:

John approved a vendor invoice of \$12,000 to "ABC Technologies" without a contract or any services being rendered. I checked our finance system and there's no work order or scope document.

Internal AI Thought Process:

- Complaint details:
 - Subject: John Michaels
 - Date: May 15, 2025
 - Amount: \$12,000
 - Vendor: ABC Technologies
 - Supporting Statement: No contract or work performed
- Auto-tags: ["Fraud", "Financial Misconduct", "No Documentation"]
- Cross-check escalation rules
- Escalation Triggered

AI Agent:

Do you have any documents, screenshots, or records that support your concern?

You can upload them after this session or describe what's available.

User:

Yes, I have an internal finance report and the empty contract folder from our document system.

AI Agent:

Thanks for that information. I've logged the following:

Field	Value
Complaint ID	ETH-20250623-0019
Complaint Type	Fraud
Subject	John Michaels
Date	May 15, 2025
Description	Unjustified \$12K payment
Evidence	Finance records
Assigned To	Ethics Officer – Sarah Liu
Status	Escalated

You will receive a confirmation email shortly. A member of our ethics team will follow up within **5 business days**.

