

CERTIFICATE IN WHISTLEBLOWING STANDARDS & POLICY IMPLEMENTATION

Effective implementation of whistleblowing policies to enhance organisational transparency and good governance taking into consideration risks and dilemmas

 **3-WEEK** ONLINE COURSE  **2 HOURS** PER WEEK

28 FEBRUARY – 20 MARCH 2021
6 – 26 JUNE 2021

Key Benefits of Attending:

- Understand Whistleblowing process
- Learn how to implement an effective Whistleblowing policy
- Recognise the concerns of a whistleblower
- Understand the international standards and regulation regarding Whistleblowing
- Understand the Whistleblowing investigation and reporting process
- Learn how to apply a Whistleblowing code of practice



Afroditi Boura

Senior Manager,
Capital Advantage



Syed Farooq Shah

Senior Compliance
Manager & MLRO,
Capital Advantage

OVERVIEW

“Blowing the whistle” is an obligation for the employees that allows the organisations to promptly detect any wrongdoing in terms of safety, ethics, compliance, good governance and financial crime. The significance of whistleblowing policies has been recognised by countries and regulatory authorities and we have noticed important amendments of the legislations in order to empower whistle blowers to speak up and promote transparency.

This course focuses on understanding the philosophy and mechanism of the whistleblowing policy and at the same time on assessing the difficulties, concerns and dilemmas during the implementation phase. We will present and analyse how to encourage employees to report wrong-doing and protect them when they become whistleblowers. This course will help the participants to understand the concept of retaliation and its negative impact on overall employee morale.

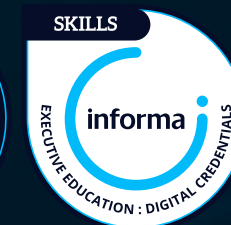
During the course we shall also present and discuss the bad practices of the whistleblowing policies, the causes, the risks and concerns and how organizations should deal with these cases that have caused significant damage to their reputation.

Finally, this course will enhance the understanding of local and international laws and regulatory frameworks, which influence significantly the implementation of the whistleblowing policy and affect the whistleblowers accordingly.

WHO SHOULD ATTEND

- Board of Directors
- Senior Management
- Auditors and Audit Committee Members
- Risk Managers
- Compliance Managers and Compliance team
- COO and Operations Executives
- Securities Analysts
- Chief Finance Officers
- HR and Quality Control Managers
- Risk Managers and Chief Risk Officer

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TARGETED COMPETENCIES

- Understanding the company's regulatory obligation to be proactive to deter fraud and misconduct
- Recognition of aspects of the laws and regulations for which staff are personally responsible
- Development of an effective whistleblowing policy/reporting mechanism and constantly monitoring and evaluating the existing system
- Taking measures to protect individuals from victimisation when they expose corruption and unethical practices
- Understanding the role of internal auditors in ensuring that the organisation has appropriate and effective policies and procedures that enable success of the whistleblower programme

ASSOCIATION



Established in 1996, The CPD Certification Service is the independent CPD accreditation centre working across all sectors, disciplines and further learning applications and supports policies of institutional and professional organisations globally.

CPD is the term used to describe the learning activities professionals engage in to develop and enhance their abilities and keep skills and knowledge up to date. This course is an accredited Continuing Professional Development (CPD) training which means it meets CPD standards and benchmarks. The learning value has been scrutinised to ensure integrity and quality.

COURSE REQUIREMENTS AND CERTIFICATES

Delegates must meet two criteria to be eligible for an Informa/CDP Certificate of Completion:

- Successful completion of all modules of the 3-week online course
- Pass all module online assessments with a score of at least 70%

Module One: Understanding Whistleblowing

- The importance of the Whistleblowing policy and its relation to Corporate Governance and Compliance
- The purpose of the Whistleblowing policy
 - Scope
 - Associated laws
- Role of whistle blower
 - Who can be a whistleblower?
- Types of whistleblowers
 - Internal
 - External
- International approach to whistleblowing
 - Guidance notes
 - Legal treatment across difference countries
 - Protections
 - Penalties for breaches
- How to create a successful Whistleblowing Policy
 - Principles of a Whistleblowing policy
 - Whistleblowing reporting line
 - Types of whistleblowing reporting
 - Types of communication with the Whistleblowers
 - Types of collection routes
 - Retaliation vs. false reporting
 - Legal aspects – investigation, court cases, regulatory reporting
 - Rewards and penalties
- Cases Studies

Module Two: Successful implementation of Whistleblowing policy

- Concerns of a Whistleblower
 - Anonymity
 - Protection
 - Legal
 - Compensation
- How to communicate the Whistleblowing policy successfully
 - Senior management
 - All employees
 - Third parties
 - The public

- Ownership of the Whistleblowing policy and the challenges
 - The Board of Directors
 - A Board Committee
 - Internal Auditors
 - Whistleblowing officer
 - Outsourced Provider
 - Others – audit, HR, company secretary
- Implementing the policy
 - Communication channels
 - Records
- Cases Studies

Module Three: Whistleblowing Investigation and Reporting Process

- Investigation action plan
 - Whistleblower protection
 - Questions to be asked to the whistleblowers
 - Legal cases and Regulators
 - Internal Controls
 - Follow up
 - Retention and destruction
- Effective Whistleblowing policy
- Investigation action plan
 - Internal investigation
 - External investigation
 - Corroborating Evidence
- Whistleblowing Dilemmas
 - To Tell or Not to Tell?
 - Loyalty vs. Transparency
 - Consequences for the Whistleblowers and others
 - Moral hazards
- A mean to combat economic crimes
- Whistleblowing code of practice
- Cases Studies
- Timed Assessment

ONLINE PROGRAMMES

100% Online – Upskill with online courses and certifications from internationally renowned associations delivered by subject matter experts

Designed for busy professionals to learn on their own schedule, these digital, interactive and engaging educational experiences employ a variety of interactive learning techniques, including short high-impact videos, case studies, assessments, downloadable tools and templates, relevant articles and blogs, in addition to on-going trainer support.



Flexibility

You can access our content from just about anywhere. All videos are transcribed, which means you can search inside the videos, make notes and rank content. You will only need to dedicate 2 hours/week towards your training.



Lowered Costs

Prices for online programmes are cost effective as usual logistical burdens are waved.



On-going Trainer Support

You can ask questions to the trainer about any challenges you are facing via the forum.



Interactive Learning Forum

You can share learning experiences and knowledge with your fellow peers. You can ask questions, search and find additional useful information.



Global Network of Peers

Our online programmes create a forum for you to meet other professionals and interact with subject matter experts.



Re-visit Material

You will have unlimited access to all course materials and the learning forum for an additional 1 month after course completion.

COURSE DIRECTORS



Afroditi Boura

Senior Manager
Capital Advantage

Afroditi Boura is a member of the Association of Professionals of Regulatory Compliance of Greece, member of the Economic Chamber of Greece and a certified Compliance and Risk Manager from the EU. Afroditi holds a BA from University of Piraeus in Greece and certification for ISO31000:2018 as Risk Professional and as Trainer.

Afroditi has been registered as an Authorised Individual by the DFSA since 2017 and by the CMA in Kuwait since 2019 and has worked with a broad range of regulated entities in Middle East and Europe including insurance and reinsurance, healthcare, oil and energy, food and beverage, pharmaceutical, wholesale, brokerages, financial institutions, construction, telecommunication and automobile.

Afroditi also has wide experience at senior management level with government owned enterprises in the GCC and Europe.



Syed Farooq Shah

Senior Compliance Manage & MLRO
Capital Advantage

Farooq is a compliance professional with an MPA degree specializing in Public Finance and Project Management, as well as an MBA and BSc. Honours Degree in Information Technology with specialization in MIS & Database. Farooq is a member of International Institute of Certification for ISO (IIC) and member of GCC Board of Directors Institute UAE.

Farooq is experienced in working with Commercial Banks, Investment Banks, Currency Exchange Houses, Asset Managers, Public Funds, Fintech, Real Estate and Money Services Providers in both retail and wholesale environments, dealing with all levels including board executives and audit committees. His wider experience includes managing relations with the Regulators including CBUAE, SCA, FSA, FSRA, CBUAE Treasury, DMCCA and DFSA, as well as advising on Governance Risk, Conduct Risk, Financial Crime, Regulatory Permissions and Authorisation, Regulatory Risk and Correspondent Banking Risks. Farooq has worked both as an outside consultant as well as taking interim positions in firms when required. He is experienced in working as a controlled function or nominated officer.

Farooq has been registered as an Authorised Individual by the DFSA since 2011, FSRA since 2019 and CBUAE for firms across a broad spectrum and complexity of licences, including non-deposit taking credit institutions, fund and asset managers and advisory clients. He advises clients on the requirements to set up a FinTech business in both the DIFC and the ADGM, prepare them for meetings with the relevant regulator, and assist them with the development of their compliance framework.



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Date	Book before 20 December 2020	Book before 24 January 2021	Final Fee
28 February – 20 March 2021 (VL158)	US\$ 900	US\$ 1000	US\$ 1,125

Date	Book before 28 March 2021	Book before 2 May 2021	Final Fee
6 – 26 June 2021 (VL191)	US\$ 900	US\$ 1000	US\$ 1,125

Pricing excludes 5% VAT, charged where applicable.

Delegate Details

First Name	Last Name
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Offers are valid on full price final fee registration only | Not applicable in conjunction with corporate discounts | Payment to be settled before start of the course to avail the offer

Participants who attend all sessions and successfully complete an assessment, will receive an Informa Certificate of Completion.

All registrations are subject to our terms and conditions which are available at www.informa-mea.com/terms. Please read them as they include important information. By submitting your registration, you agree to be bound by the terms and conditions in full.

PAYMENTS

A confirmation letter and invoice will be sent upon receipt of your registration. Please note that full payment must be received prior to the event. Only those participants whose fees have been paid in full will be admitted to the event.

CANCELLATION

If you are unable to attend and you cancel your registration 5 days prior to the course start date, a replacement participant will be welcomed in your place, or a 20% charge will be applied in case the participant is a no-show.

Cancellation within 5 days of the course start date or if you fail to attend the event will be 100% payable. All cancellations must be sent by email to register-mea@informa.com marked for the attention of Customer Services Cancellation.

Due to unforeseen circumstances, Informa reserves the right to cancel the course, change the programme, alter the venue, speaker or topics.

All registrations are subject to acceptance by Informa Middle East which will be confirmed to you in writing.

For full details, please visit www.informa-mea.com

VL158/VL191 | JS/LA | AUDIT, RISK & GOVERNANCE

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