

A Mouse's Tale of a Whistleblower: Best Practices for Whistleblower Protection & Non-retaliation Policies

Ian Moolman, Compliance Manager, EV Cargo

Paula Davis, Director, Waypoint GRC



Introductions



Paula Davis,
Director, Waypoint GRC



Ian Moolman
Compliance Manager, EV
Cargo

Agenda


The Mouse's tale

Retaliation – the facts


The truth shall prevail: strategies for full
commitment to non-retaliation

Q&A




The Mouse's Tale

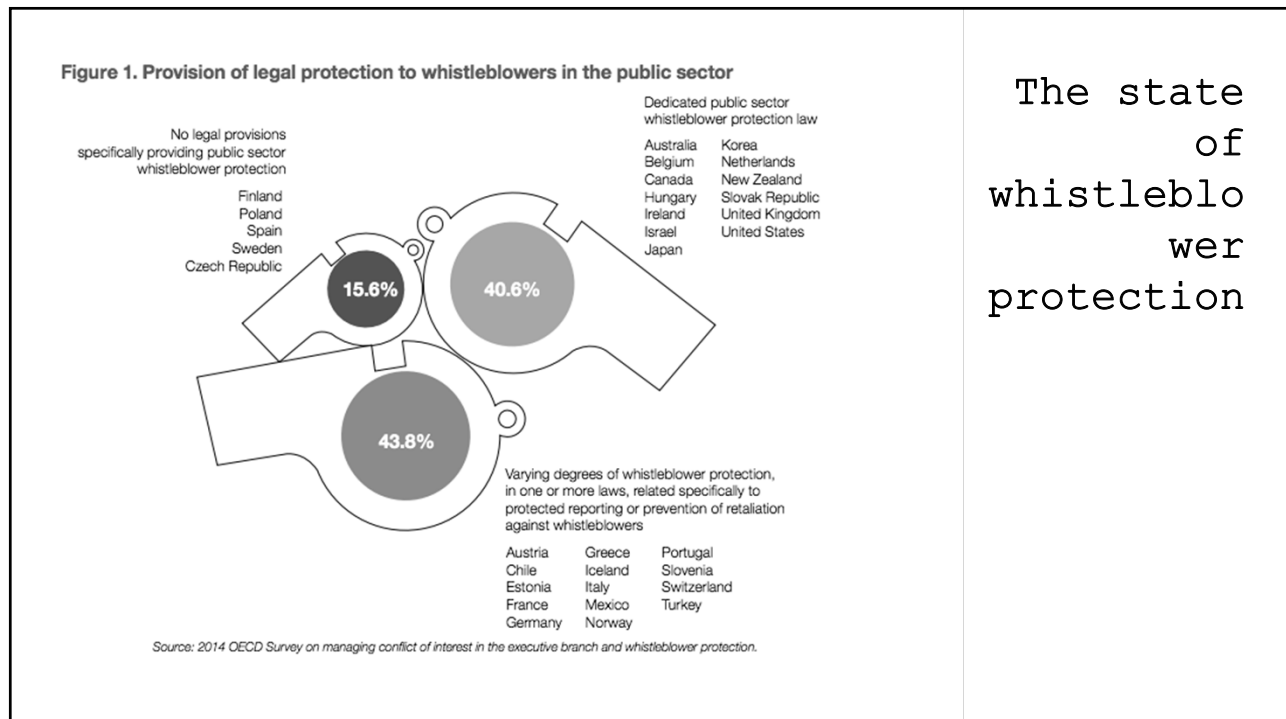


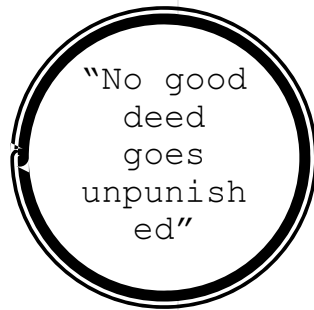
A Mouse's tale of a Whistleblower – Part 2

 **Ian Moolman MBA, et al.**
Published on LinkedIn

The mouse was a level headed mouse. He started doing research within other companies. He read everything he could find published by whistleblowers. He questioned people he deemed knowledgeable in various situations. He queried his own thoughts, data, analysis, procedures everything he could possibly do to be 100% sure the knowledge was correct. The mouse decided to confide in a senior member of the organization.

 Like
 Comment
 Share





Powerful admiral punishes suspected whistleblowers, still gets promotion



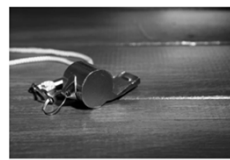
The Navy is poised to promote the admiral in charge of its elite SEAL teams and other commandos with one caveat: Pentagon investigators determined that he deeply violated against and mistreated who he routinely suspected were whistleblowers.

Rear Adm. Brian L. Lavelle was investigated for abuse by the Defense Department's inspector general after whistleblowers complained that he had wrongly fired, demoted or punished them during a conflict in Afghanistan based on the premise he had incorrectly suspected them for a minor troop policy violation, according to documents obtained by The Washington Post.

Not Even Your Grandpa Believes You

November 23, 2018 by SCOR - 10 comments

Share This Post! 10 Shares



By Adam Tarantula
adam.tarantula@reporterscivilians.org

The Theranos scandal has been in and out of the news. In a nutshell, the blood testing company with what was touted as an innovative approach to diagnostics has been accused of delivering far less accurate results than it promised.

Barclays boss used bank's security team to hunt for whistleblower

Jes Staley's bonus to be "very significantly cut" after he apologized for breach of rules in what Barclays admits is a serious offence



Chief executive Jes Staley has apologized for involving himself in an attempt to find sources of anonymous letters, *Financial Times* reports.

The chief executive of Barclays is being investigated by financial regulators and faces a significant cut to his pay after admitting trying to unmask a whistleblower who made allegations about a long-term associate he had brought to the bank.

Interview: Michael Woodford: the man who blew whistle on £1bn fraud

REPORT: James
 Former Olympus chief executive tells of risks he ran in exposing fraud scandal at the digital camera company



Michael Woodford, the former Olympus chief executive, is the man who blew the whistle on a £1 billion fraud scandal at the digital camera company.

"This is humbling. It's a long way from a private jet," Michael Woodford shouts out as he changes across five lanes of traffic and into the underground at Euston Square.

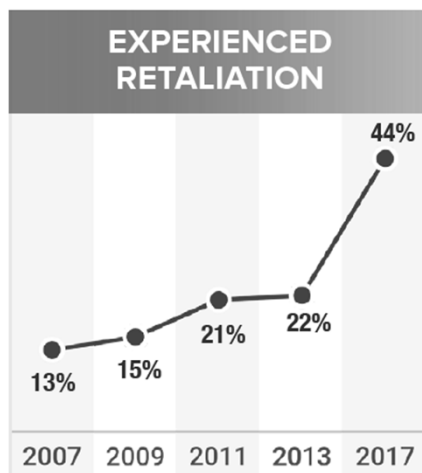
In a previous life as the boss of one of Japan's biggest companies, Woodford was used to being served champagne at £1,000 a glass as a reward for past glories on his floor. But that was a very different life again from the one Woodford was born into, in a "slab estate in Liverpool".

Audience Poll

Does your organisation have an explicit non-retaliation policy?

- A. Yes, it is incorporated in our whistleblowing policy
- B. Yes, it is a stand alone policy
- C. No, we don't have an explicit non-retaliation policy

Retaliation: The Facts



ECI Global Business Ethics Survey 2018

- Rates of retaliation have doubled since 2013
- Rates of retaliation have risen significantly more than rates of reporting

The consequences



Fraud Magazine: "Be prepared before you blow the whistle"; Patricia A. Patrick, Ph.D., CFE, CPA, CGFM



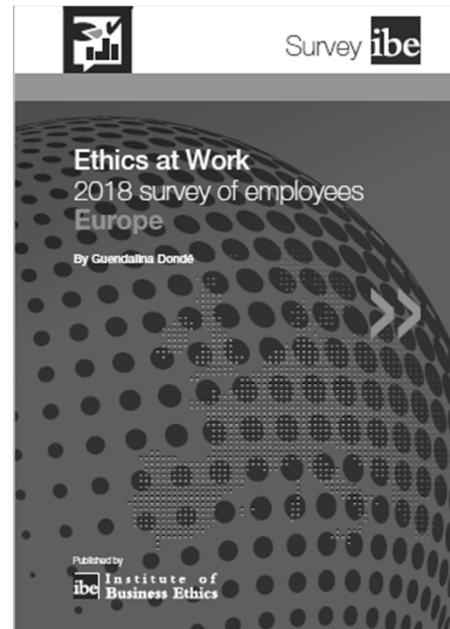
- 83%** Accepting Gifts/Kickbacks or Bribing Public Officials
- 62%** Improper Political Contributions
- 56%** Retaliation against a Reporter

ECI Global Business Ethics Survey 2018

Misconduct with the highest rates of retaliation for reporting

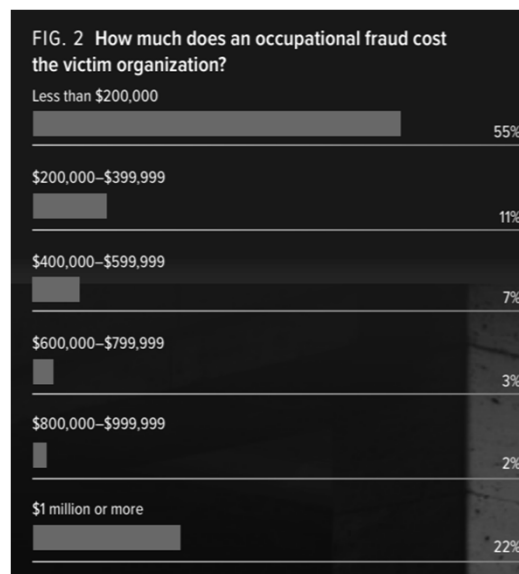
46%

of employees that observe misconduct do not report it.



The cost

"The total loss caused by the cases in our study exceeded **USD 7.1 billion**... it is safe to assume that the 2,690 cases included ... represent only a tiny fraction of the frauds committed against organizations worldwide during that time... while staggering on its own-[this] does not come close to representing the total amount lost ...



Association of Certified Fraud Examiners: Report to the Nations 2018

Why we need
whistleblow
ers

TIPS are by far the most common
initial detection method



Association of Certified Fraud Examiners: Report to the Nations 2018

Audience Poll

How many reports do you receive per year as a percentage of your overall population?

- A. Less than 1%
- B. 1 – 5%
- C. More than 5%

The Truth Shall Prevail:

Strategies for full commitment to non-retaliation

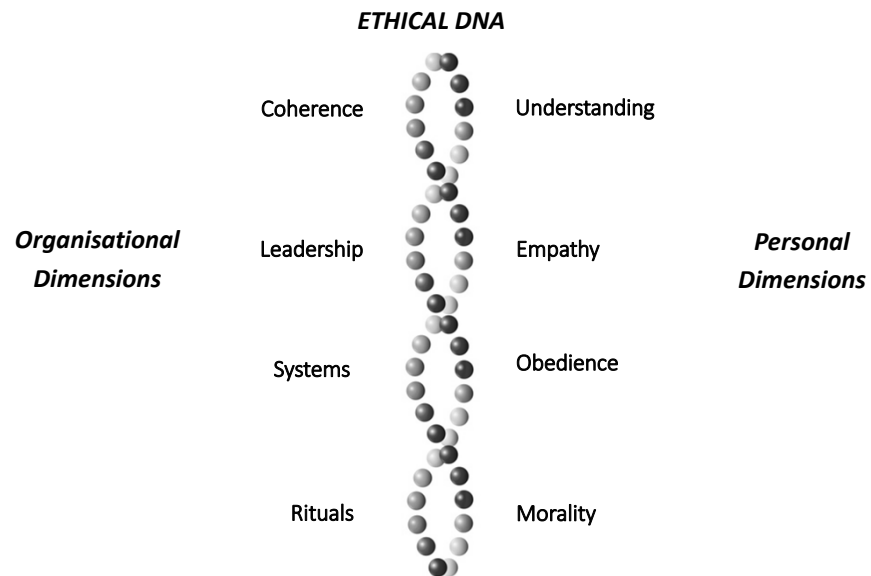
1

Build decisive policies and procedures

- Build a meaningful policy - understand the business
- External and internal factors
- Communication tools
- Don't bury the policy
- How easy is it to report?
- Tackle anonymity

2

Build a speak-up culture



3

Implement practices that work

- Provide clear expectations
- Measure your performance
 - *"You can't manage what you can't measure"* Peter Drucker
- Assurance
 - Show me
- SWOT

Questions and Discussion