TOPIC-SPECIFIC LEARNING JOURNEY

COURSE PACKAGE:

"MISCONDUCT AT WORK"



ENTRIMA's Learning Platform lists a wide range of courses, all related to markets & trading. Some of these courses have been bundled to form a course package, as they all concerns the same field of expertise.

The Course Package "**Misconduct at work**" consists of the following courses:

		page
1.	Concepts – Conduct versus Misconduct	3
2.	Concepts – Morality, ethics & integrity	4
3.	Ethics in the workplace – Discrimination	5
4.	Ethics in the workplace – Harassment	6
5.	Ethics in the workplace – Sexual intimidation	7
6.	Governance – Conflicts of interests & moral dilemmas	8
7.	Governance – Rules & codes	9
8.	Governance – KYC	10
9.	Governance – Whistleblowing policy	11
10.	Governance – Anti-retaliation policy	12
11.	Culture – Corporate climate	13
12.	Culture – Remuneration	14

Each of these courses ends with an exam. Upon passing the exam the learner will be certified instantly. The contents, duration and level of each course is set out in the pages hereafter.

Duration

Total duration*) of all twelve (**12**) courses together: **300** minutes

- **Study hours:** 5
- **CPD points:** 5

*) *Excluding examination*

COURSE:

CONCEPTS – **CONDUCT VERSUS MISCONDUCT**

This training covers the concept 'conduct' and sets out what it concerns. It touches on the basics of conduct and misconduct. Examples of misbehavior are provided and it is explained what consequences misconduct can have.

This training includes the following topics:

- Conduct
  - What does it concern?
  - Explanation of the concept
- Misconduct at work
  - Examples
  - Listing of different types of misconduct
- Behaviour versus misbehaviour
  - Often a clear distinction
  - Sometimes a thin line
- Consequences of misconduct
  - Personal
  - Organisation
- Conduct risk management
  - Conduct
  - Conduct risk
  - Conduct risk management

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
CONCEPTS – **MORALITY, ETHICS & INTEGRITY**

This training covers the concept 'morality'. It touches on the basics of ethics and integrity. During the training course it is explained what a moral dilemmas is and how one can encounter it. Furthermore, it is explained what .

This training includes the following topics:

- Morality
  - What is it?
  - Moral dilemmas
  - Moral cognition
- Ethics
  - What does it concern?
  - Types
    - Normative ethics
    - Descriptive ethics
- Integrity
  - What is it?
  - Binary state or dimension?
  - Subjective or objective concept?
- Types of evil
  - Natural evil
  - Social evil
  - Moral evil

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
ETHICS IN THE WORKPLACE – **DISCRIMINATION**

This training covers the fundamentals of discrimination. It includes both negative and positive discimination. During the course various types of discrimination are described; examples are provided of various types of inequality.

This training includes the following topics:

- Human rights
  - Respect
  - Enforcement by law
- A hostile work environment
  - Inequality
  - Improper judgement
  - Disrespect
  - Lack of dignity
- Embracing diversity
  - Individual versus group
  - Everyone is unique
- Forms of discrimination
  - Ethnical
  - Religious
  - Gender
  - Age
- Social consequences
  - Fear
  - Unhappy
  - Social isolation
- Positive discrimination
  - Sounds better, but also a form of misconduct
  - Examples of positive discrimination

❖ Level:	Basic	No prerequisites
❖ Intensity:	25 minutes	Excluding examination
❖ Language:	Voice & text	English
❖ Including:	Examination	Certification upon passing

COURSE:
ETHICS IN THE WORKPLACE – **HARASSMENT**

This training covers the fundamentals of harassment. It touches on the basics of the topic. Forms of harassment are set out in a nutshell and it is explained what the consequences of this form of misconduct can be.

This training includes the following topics:

- Harassment
  - What does it concern?
  - Psychological hazzards
    - Depreciation
    - Detraction
    - Minifying
    - Overbearing supervision
    - Overkill of criticism
- Bullying
  - Mistreatment by colleague(s)
- Cyberbullying
  - Email
  - Social media
- Victims
  - Stress
  - Health problems
  - Feeling unsafe
    - Mentally
    - Physically

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:

ETHICS IN THE WORKPLACE **- SEXUAL INTIMIDATION**

This training covers the fundamentals of intimidation in the broadest sense, and sexual intimidation in particular. It sets out how a position of power can be abused and why this should not take place. Examples are provided to make it clear which kind of behavior is unacceptable and what criteria are of relevance.

This training includes the following topics:

- Intimidation
  - Mental pressure
  - Mental manipulation
- Sexual intimidation
  - Sexual harassment
- Abuse of power
  - Role differential
  - A position of power
  - Abusing a situation
    - Colleague
    - Co-worker
    - Manager
  - Management by fear
- Types of sexual misconduct
  - Purchase of sexual services
- Types of sexual intimidation
  - Verbally, visually and physically
  - Stalking

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:

GOVERNANCE – **CONFLICTS OF INTERESTS**

This training covers conflicts of interests. It touches on the basics of the theme and, hence, it includes why conflicts of interest appear and how they should be managed. The training course goes over moral dilemmas and clarifies that moral dilemmas cannot always be avoided; they simply arise due to complexity and opposing interests.

This training includes the following topics:

- Interests
  - Primary interests
  - Secundary interests
- Conflicts of interests
  - Interests
  - Responsibilities
  - Loyalties
- Moral dilemmas
  - Practical cases
  - Ethical debates
  - By nature
- Handling moral dilemmas
  - Interpretation
  - Considering circumstances
  - Practical application

❖ Level:	Basic	No prerequisites
❖ Intensity:	25 minutes	Excluding examination
❖ Language:	Voice & text	English
❖ Including:	Examination	Certification upon passing

COURSE:
GOVERNANCE – **RULES & CODES**

This training covers internal procedures and corporate codes of conduct. It touches on the basic elements of corporate rules and sets out why these are in place. Therefore, it is also explained what the objectives of a code of conduct are.

This training includes the following topics:

- Business integrity
  - Safeguarding the organisations
  - Protection against crooks
- Internal procedures
  - Sign for having taken notice
  - Confirm awareness
- Code of conduct
  - Rules of engagement
  - Responsibilities
  - Accountability
- Effectiveness
  - Corporate action against violations is required
  - Trust & confidence
  - Continuous improvement
  - Training to create awareness

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
GOVERNANCE – **KYC**

This training covers the know-your-customer (KYC) principle. It is explained why it is important and how organisations could embed it in their daily operations. During the training course, reference is made to regulations which require organisations to install KYC procedures.

This training includes the following topics:

- Customer protection
  - Protecting customers
  - Protecting consumers
  - Protecting investors
- Advice / Advise
  - Independent
  - Objectivity & honesty
- Fraud & crime
  - Protect yourself
  - Compliance with regulations
- Due diligence
  - Analysis
  - Getting to know who you are dealing with
- Customer
  - Other stakeholders
    - Counterparty

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:

GOVERNANCE – **WHISTLEBLOWING POLICY**

This training covers the fundamentals of whistleblowing. It touches on the basics of the related topics or themes. The consequences of whistleblowing are set out in a nutshell and it is explained what organisation can do to stimulate employees to dare to speak out and mention misconduct.

This training includes the following topics:

- Whistleblowing
  - Insiders disclosing misconduct
  - Outsiders disclosing misconduct
- Protection
  - Whistleblowers expose themselves to criticism
  - Protection against the people which have performed misconduct
- Rewarding
  - Authorities
  - Paying whistleblowers
- Whistleblowing policy
  - Where?
    - Online portal on corporate website
  - How?
    - Guarantee confidentiality
    - Assure anonymity

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
GOVERNANCE – **NON-RETALIATION POLICY**

This training covers what retaliation concerns and shows the implications of it. The training also sets out what kind of retaliation could take place and how organisations should manage their employees. It is set out how a non-retaliation policy should look like.

This training includes the following topics:

- Retaliation
  - The basic concepts
  - Characteristics
- Examples of retaliation
  - Downgraded appraisel
  - Reduction of compensation
  - Exclusion from meetings or other events
  - Degradation
  - Hindering and blocking promotion
  - Firing someone
- Non-retaliation policy
  - Protecting employees
  - Rewarding whistleblowers
- Regulations
  - The US No Fear Act
  - The US Whistleblowing Protection Enhancement Act

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
CULTURE – **CORPORATE CLIMATE**

This training sets out in what respect a corporate culture impacts the behavior of individuals. It is explained that culture creates the context in which one's decisions are made and one's actions take place.

This training includes the following topics:

- Conduct failings
  - Good culture
  - Bad culture
- Culture
  - What is it?
- The decision-making process
  - Content versus context
  - Ration versus emotions
- Behaviour
  - Culture sets context
  - Environmental factors
- Complexity
  - Homogeneous society versus heterogeneous society
  - Complexisation of the corporate world
    - Globalisation
    - Diversity

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
CULTURE – **REMUNERATION**

This training covers the possible consequences of incentives. It touches on the basics of the related topics or themes. Bonus structures are set out in a nutshell and it is explained which non-financial incentives could be applied by an organisation's management.

This training includes the following topics:

- Moral development
  - Moral stretching
- Targets
  - Realistic versus unrealistic
  - Quantified targets versus
  - Financial targets versus non-financial targets
- Performance-linked pay
  - Stocks
  - Stock options
  - Bonus structure
    - Financial rewards
    - Other motivators
      - Non-financial aspects
- Motivations
  - Compliments
  - Praise
  - Attention from the highest management
  - Recognition

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing