

iTouch Vision

Governance, Risk & Compliance Suite

This document gives an overview of the Governance, Risk & Compliance Suite and discusses the different features and functionality.

For further information, about implementation and pricing please contact us.

www.iTouchVision.com

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Governance, Risk & Compliance Suite Overview

Whistle Blower

What is whistle blower?

Our whistle blower service allows your employees to confidentially report issues while retaining their anonymity.

Whistle blower is one of our suite of compliance applications and services that takes your complex human resource, compliance and risk problems and solves them by devolving these tasks directly to your employees via mobile and web applications.

Our Whistle blower service is committed to maintaining the highest standards of honesty and accountability.

Employees are likely to be the first to know when someone inside the company or connected with the company is acting improperly or illegally

Such wrongdoing, in any form, by any employee, no matter what position he or she occupies and no matter what function he or she performs, poses a potential threat to your reputation as a trusted company and can jeopardise future business.

Most companies try to foster a culture of openness, trust and transparency and to minimize the incidence of improper or illegal conduct, often employees are encouraged to talk openly to their managers, Compliance Officers or other appropriate personnel, but sometimes this is not enough. This is where our compliance suite can help.

We can help define the Whistle-blowing Guidelines for your company and provide an easily accessible way of allowing your employees to report issues and safe and constructive environment.



Our compliance service centre

Sometimes an app won't work, and a situation requires a personal touch. We offer a global service where we can provide a dedicated number for each territory you operate in. Each of our advisors is fully trained to assess the situation and action each issue ensuring your internal compliance team are fully briefed to take the appropriate course of action.

Each of our dial in numbers use management software so the person's caller ID is removed, this ensures we offer a fully anonymous service for reporting of issues.

What are our core focus areas?

We offer six types of services which covers all areas of whistle blowing.

1. Financial Crime
2. Fraud
3. Anti-Bribery & Corruption
4. International Trade Controls and Economic Sanctions
5. Market Abuse & Insider Trading
6. Anti-Money Laundering & Terrorist Financing

Each of these categories offers a further set of questions which either allows the system to automatically route the issue to the correct person in your organisation or if using our service centre it will allow our advisors to fully qualify the issue and act accordingly.

Automatic routing

If you don't use our service centre to receive calls then you can use our fully automated service. Each report received from one of your employees will be analysed by our rules engine which assesses each element of the report and then intelligently assigns the priority and routes the information to the appropriate person in your organisation. You can then use our platform to manage the issue and resolve it.

Multi-platform reporting

The employee can either use our app, which is available on blackberry, iPhone, android or windows smart phone or they can use our web platform which can be embedded into your own corporate Intranet.

Financial crime & fraud

What is financial crime?

All financial departments and institutions, are at risk of becoming a victim of financial crime. The regulations exist to protect financial departments and institutions as well as customers.

Effective training is a vital control in the battle against criminals who might use financial departments, institutions and operations for financial crime and is also a legal obligation for all firms operating in the financials industry.

Our training platforms allows you to use our standard setup of lessons or you can define your own.

Fraud

Fraud can be defined as the use of deception with the intention of obtaining an advantage, avoiding an obligation or causing loss to another party

Some of the examples of fraud and associated offenses that can affect financial institutions are:

1. Investment scam, identity theft/impersonation theft (i.e. obtaining property without consent)
2. Obtaining property by any deception (i.e. gaining ownership of property with consent but through a deception)

3. Embezzlement (the misappropriation of funds or property by the person to whom it is entrusted (and who is not the actual owner)
4. Obtaining pecuniary advantage by deception bribery, forgery, extortion, corruption, conspiracy or collusion
5. Use of false identity documents
6. False accounting and falsification of financial accounts - misappropriation of customer assets
7. Unauthorised use of an account by someone other than the account holder

Conspiracy to defraud

Corporate policy on fraud prevention requires all individuals to actively participate in protecting the money and property of the employer.

All employees should:

1. be alert to the possibility of fraud and abide by the Company's policies, procedures and controls on fraud
2. periodically review their transactions with those inside and outside the Company to assess the possibility of fraud
3. report any suspicion of fraud to their supervisor, Compliance and/or your local Money Laundering Reporting Officer
4. encourage a culture of ethical behavior amongst other employees

Gifts & Hospitality

Declaring gifts and hospitality in the work place is becoming more common. In the context of the Bribery Act, it is possible that the giving and receiving of gifts and hospitality may put employees into situations which might fall within the terms of the Act, and therefore lay them open to accusations of bribery.

The Bribery Act does not criminalise genuine hospitality, but government guidance indicates that the more lavish expenditure in relation to travel or accommodation is, the more likely it is to be regarded with suspicion. The acceptance by an employee of large gifts or of excessive hospitality, for instance, has both the potential to cause damage to the employers reputation and may additionally lead to criminal prosecution under the Act.

This is particularly the case if gifts and hospitality are received from or given to organisations which have or hope to have a contract with the employer; care needs to be taken where individuals or organisations might be perceived to be seeking to gain advantage or influence.

Having said this, however, the most companies accept that there are circumstances, in the course of normal business, where the acceptance of gifts or hospitality is appropriate, or indeed where declining such gifts may cause offense or be detrimental to the their interests.

General policies

You must declare all offers of gifts and hospitality, made to or by you, regardless of value, in your role as an employee. All such offers must be declared whether accepted or declined. Offers of gifts and hospitality may include items ranging from diaries, wall charts, and boxes of chocolates, to free international travel and accommodation.

Declarations can be recorded using our mobile app, web app or via our hotline.

It is your responsibility to ensure that you are not placed in a position that risks, or appears to risk, compromising your role or employee and statutory duties. You should not be seen to be securing valuable gifts and hospitality by virtue of your job. You should not accept or provide any gift or hospitality if acceptance/provision will give the impression that you have been influenced/are deemed to be influencing while acting in an “official capacity”.

This also applies to spouses, partners or other associates if it can be argued or perceived that the gift or hospitality is in fact for the benefit of the official.

In exercising judgement as to whether to accept a gift or hospitality the question should be asked what public perception would be if the information was published given your role and circumstances.

Receiving gifts

As a company you may want to set limit as to what must be declared. As an example you may retain all gifts valued at £40.00 or under, whether given in recognition of presentations or otherwise.

For gifts exceeding a value of £40.00 the following options are suggested:

- Share the gift with all staff
- Raffle the gift for charity
- Donate the gift to charity
- Make a donation to charity and keep the gift.

Accepting offers of hospitality

Hospitality offered should only be accepted where there is a direct link to working arrangements and a genuine business reason can be demonstrated, for example:

1. Attendance or speaking at a conference, which provides complimentary subsistence, travel and accommodation (this does not need to be declared on the register except where a gift was received).
2. Attending at a free training course.

3. Attending a drinks reception to network. It is recognised that, in the course of carrying out your duties, you will need on occasion to ensure good relationships with existing and future contractors and stakeholders and that this may involve for example, the receipt of modest working lunches and dinners. These are acceptable where there is a genuine business reason. Hospitality invitations to events which are purely social events should be considered very carefully before accepting; in such circumstances it may be much more difficult to substantiate a genuine business reason. You may be expected to use annual leave for such events. You may not accept free holidays from a current or potential contractor. These invitations should be recorded in the register whether received or declined.

4. Gifts and hospitality offered by staff must be mindful that the value of all gifts and hospitality offered maybe sourced from public funding, and the expectation is that such funding will be used for legitimate purposes and demonstrate value for money. In exceptional circumstances it may be appropriate for employees to provide a gift of up to £40.00 in value, for example, providing a bouquet of flowers to a seriously ill employee, or to a longstanding employee who is retiring.
5. Giving book tokens to someone who spoke at a conference free of charge.

6. Making a contribution towards staff Christmas festivities. It is acceptable for employees to provide modest hospitality in the way of working lunches and/or dinners to existing and potential contractors and stakeholders subject to a genuine business reason.

Declaration

You should make your declaration as soon as possible after the offer or receipt of gifts or hospitality. This is not always possible, but with our mobile app you can make an immediate declaration. All declarations are sent to a dedicated internal employee chosen by the company. Each declaration will go on to the register. Each declaration is emailed back to the employee so they can maintain their own records.

Each declaration will include the following information:

- Date of offer of gift or hospitality, and date of event where relevant.
- Name, job title and organisation of recipient / provider.
- Nature and purpose of gift or hospitality received or declined
- The name of any other organisation involved;
- Estimated value.

Core modules

Case Management

DashboardService requestContact centreCustomersWorkforce trackingCommunicationTasksAdministration

Service requestService request - By wardDraft - Service request

Search service request

Category

AllReport an issueSalary queryHoliday RequestIssue involving another person

Status

AllOpenWork In ProgressOn HoldComplete

Priority

AllLowNoneMediumHigh

Group

All

Display as

ReportChartMap

From

19-NOV-2013

To

26-NOV-2013

Reported from

All

Show my service request

Search

Q

Go

Rows10

Actions

Create service request

Evidence	Service request #	Owner	Nearby incidents	Notes	Tasks	Category	Submit time	Status	Customer	Incident location
	83280					I am going on maternity leave	25-NOV-2013 14:55	<input type="checkbox"/> Complete	Mr. Daniel Warren	No location available.

eForms

CategoryCustomerwhen is your baby due?Confirmation

when is your baby due?

Category: I am going on maternity leave

when would be your last days work?

* please tell us the date you will be leaving

* How long have you known?

e.g just found out

* do you intend n coming back to work?

- Select -

* have you discussed with you manager ?

e.g no not yet

* what do you work as?

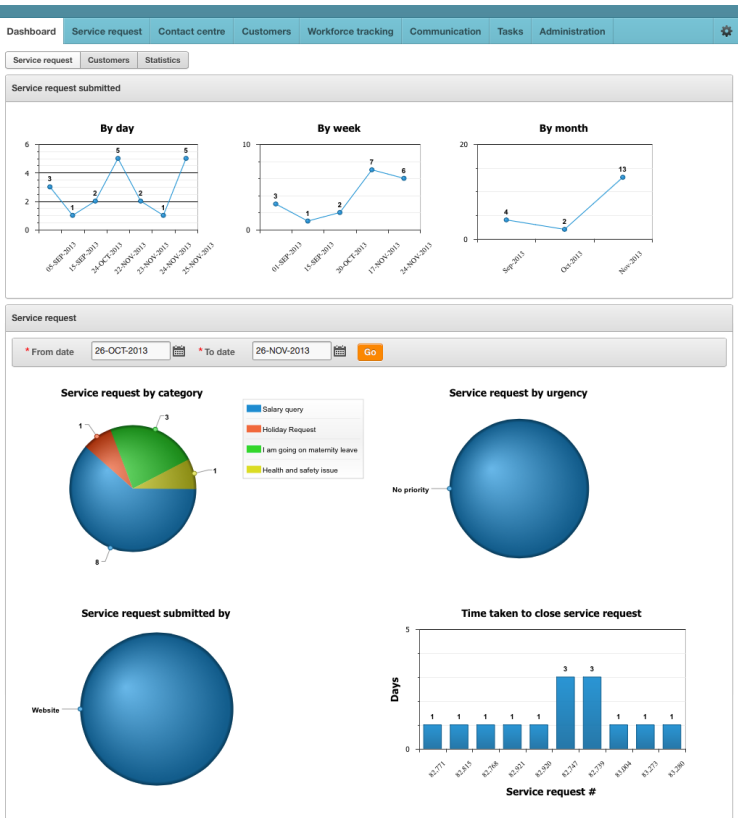
e.g HR assistant

* Whats you employee ref number?

Cancel

Next

Dashboards



Still have some questions?

Please feel free to get in contact with us. We would love to hear your questions and help answer them. You can reach us on..

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About Us

iTouch Vision is a Mobile and Cloud company looking to take advantage of the next generation of computing. We think differently, we act quickly, we aim high and we achieve our goals.

Summary

Our Cloud Call Centre provides a multi-channel help desk for you employees and customers. Night or day they can use the web portal, the mobile app or the contact centre to search the knowledge base, create service requests and report or request their services.

With fully configurable forms, workflows, statuses, priorities and service requests you can make the contact centre work the way your business works.