TRAINING OF TRAINERS

FACILITATOR GUIDE

A guide for trainers to deliver whistleblowing and anti-corruption professional training for investigators.

Implemented by:
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The Transparency, Integrity and Accountability Programme in South Africa (TIP) supports state and non-state actors to contribute towards the implementation of the National Anti-Corruption Strategy in a whole-of-government and societal manner. The TIP is implemented by the Deutsche Gesellschaft für Internationale Zusammenarbeit (**GIZ**) GmbH on behalf of the German Federal Ministry for Economic Cooperation and Development (**BMZ**).
https://www.giz.de

The Whistleblower House is a not-for-profit organisation that facilitates access to support services for whistleblowers in South Africa.
https://whistleblowerhouse.org

The Special Investigating Unit is an independent statutory body established in terms of the Special Investigating Units and Special Tribunals Act, Act No. 74 of 1996 (SIU Act).
https://www.siu.org.za

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INTRODUCTION

How to use this facilitator guide

This guide is divided into three important sections, with each section building on one another:

01 **WHERE TO START** → Background, purpose, and training of trainers rationale.

02 **WORKSHOP PLANNING TOOLS** → Set-up, timelines, and planning.

03 **WORKSHOP CONTENT + TEMPLATES** → Content, tools, and surveys.

Glossary

Anonymity: A report is made without the person's name or identifying information.
Confidentiality: A person's name and identifying information is only known to the person or organisation that receives the report and is only to be shared with others on a need-to-know basis.
PDA: The Public Disclosure Act, South Africa's whistleblower law, was passed in 2000 and amended in 2017.
Protection: The process of shielding a whistleblower or vulnerable witness from harm as a result of the person having reported crime, corruption or misconduct.
Retaliation: Harm or threats caused to an employee or citizen who reveals information about crime or misconduct; may include dismissal, suspension, demotion, harassment, mobbing, lawsuits, prosecution, and physical threats or violence.
SIU: The Special Investigating Unit of South Africa, a public institution that investigates corruption, malpractice and maladministration in state institutions, state assets and public money; investigates conduct that may seriously harm the public interest; and recovers financial losses suffered by state institutions.
Whistleblowing: The act of revealing hidden information about crime and misconduct that concerns or threatens the public interest and providing this information to a person or organisation with the ability and expertise to investigate the case and take corrective action.

PART 1: WHERE TO START

Welcome and background

The Transparency, Integrity and Accountability Programme (TIP) in South Africa supports the National Anti-Corruption Strategy and strives to mobilise citizens, strengthen institutional capacity and foster multi-stakeholder engagement to fight corruption in the country. Whistleblowers play a critical role in supporting investigators, and although they are legislatively protected, in practice, they are often exposed and left vulnerable.

This *Training of Trainers Facilitator Guide* works hand in hand with the content contained in the *Whistleblowing and Anti-corruption: A Professional Handbook for Investigators,* which was created by combining the whistleblowing expertise and on-the-ground experience of GIZ (German Agency for International Cooperation), The Whistleblower House, The Special Investigating Unit, as well as local and international whistleblowing experts, to bring you a set of practical training resources.

https://tinyurl.com/WBHBOOK

Purpose

This *Training of Trainers Facilitator Guide* is a response to the need for *more capacity development support towards training professionals* who want to deliver training workshops to support investigators of whistleblowing and anti-corruption reports and cases.

These resources are user-friendly to create a community of practice for trainers in this field to capacitate the Whistleblowing ecosystem further, thereby creating a multiplier effect and better outcomes for whistleblowing investigations.

Who is it for?

Training professionals and institutions could include:

- Training and development service providers
- Human resources
- NGOs / Civil society
- Governmental Programmes
- Human Rights organisations
- Social workers
- Accountants/ Finance
- Academia

PART 2: WORKSHOP PLANNING TOOLS

A: Why introduce whistleblowing investigator training?

Whistleblowing is among the top priorities on the anti-corruption agenda internationally. It is the most effective method to expose fraud and financial crime by far. It has been endorsed by nearly every major international and regional organisation, including the UN, OECD, African Union, European Union and Organization of American States.

From having only two whistleblower laws in 1998, more than sixty countries in all regions today now have legal protections for employees reporting corruption and other crimes, public health threats and environmental violations. Worldwide, tens of thousands of people each year report misconduct to their supervisors, law enforcement, anti-corruption agencies, legal professionals, ombudsman offices, NGOs, journalists and others.

As whistleblower policies and systems are being developed quite rapidly, there is a corresponding need for the people who receive whistleblower reports to handle them properly and treat whistleblowers with professionalism, discretion and compassion. Just as whistleblowers are a unique type of witness, investigators who handle these cases must utilise specialised skills. These skills are needed to assuage the whistleblower while eliciting information about the misconduct of which the person is aware.

Thus, there is an identified need to support whistleblower investigators who form an important interface between the whistleblower and the case itself. It is, therefore, critical to ensure that investigators are properly trained and sensitised to deal with the particular circumstances presented by a whistleblower and their case. Therefore the aim of the training is to:

- Develop investigators' understanding, knowledge and skills to support and protect whistleblowers in their crucial role.
- Enhance investigators' skills to build a rapport with whistleblowers, manage the investigative process, minimise potential harm to the whistleblower and improve the quality and outcomes of the investigation.
- Enable investigators to engage more fruitfully with whistleblowers in a mutually beneficial way that minimises harm to both parties.
- Help investigators to reflect on and address gaps in practically protecting the identity and anonymity of whistleblowers.
- Help investigators effectively apply policies and legal requirements for interacting with whistleblowers during and after investigations.

By the end of the workshop, participants should have a better understanding of the unique position of whistleblowers, increased and improved skills in interacting with vulnerable witnesses, and a greater ability to investigate and conclude a case that originated with a whistleblower report. Participants working in companies or organisations should be able to share their knowledge with supervisors and colleagues.

B: Who might you invite to your workshop?

Investigator audience

The audience will be new or seasoned professionals involved in investigating corruption, fraud, financial and political crimes, public health and environmental violations, and other types of cases across the public, private and non-profit sectors in South Africa.

Investigators can range from public officials such as financial regulators, corruption investigators, the South African Police Service, Special Investigating Unit (SIU), The Hawks (Directorate for Priority Crime Investigation), law enforcement agents, the Public Protector, and any official or agency responsible for combating crime and working towards anti-corruption goals.

Private sector investigators can include those from banks and investment houses, as well as insurance, medical, pharmaceutical, food, defence, energy, and mineral companies and other industries. Law firms that conduct forensic investigations, non-profit advocacy groups and media outlets would also find this handbook useful for their investigations and for dealing with whistleblowers in an appropriate way.

Identify audience needs

It is always essential to understand your audience as part of your workshop design process. In practical terms, this means understanding the client's brief, needs and aspirations, and expectations and terms (this is often captured in a contract). It also means you will need to do your homework with the participants themselves by sending a pre-workshop survey to understand their level of experience, their learning expectations and what motivates them to join this workshop. [See Section E: Participant Pre-Workshop Survey].

Sponsors and stakeholders

It is often a good idea to involve strategic sponsors or stakeholders (outside of the participant group) interested in the workshop to experience the workshop themselves physically. This could be the client to whom you are contracted to or a sponsor interested in supporting future workshops. Consider inviting them to the opening introduction or the closing session. You don't want to have people coming in and out of your main workshop during the day (especially since creating safety in the room is of paramount importance), but it is possible to design your agenda in such a way to include guest speakers or observers in a non-intrusive open session.

C: Who might you include on your facilitation team?

Types of experience

Facilitators should have some experience training people involved in sensitive areas of work, such as attorneys, law enforcement officials, prosecutors and other judicial officials, fraud and financial crime investigators, mediators, human rights workers, activists or journalists.

The previous training of people who work in socially-oriented professions, such as social work, teaching, rights-based law or activism, human resources, crisis intervention, labour organising and ombudsman/ people's advocates, would also be beneficial.

Team support

As the main facilitator in the room, it is important to ensure you have some support. A one-day session might not seem all that long, but it can take its toll if carried by one person alone. A co-facilitator is highly recommended for the following added functions:

- Observer
- Co-facilitator support
- Materials developer
- Registration and administration
- Cleaning up

D: What values and skills do you need as a facilitator?

Facilitators should have an interest in current events, politics or issues of public concern. They should understand issues related to corruption, work toward more accountability, and understand the role of citizens.

They should have the ability to connect with participants on a personal level and make them comfortable in sharing their experiences. (This mirrors the rapport that investigators are encouraged to establish with whistleblowers.)

Facilitators should have the ability to induce participants to:

- Share their individual goals for the training.
- Share their professional background and skills.
- Share their personal attributes when appropriate.
- Be comfortable saying 'I don't know' or 'I would like to learn more about that'.
- Examine their pre-existing assumptions and be open to reassessing them.
- Discuss and develop new skills with other participants.
- Laugh and smile with other participants.

E: Key activities to keep in mind when planning your workshop

Recruitment and attendance

Creating a Google application form is one way to kick-start your recruitment activities. However, targeting

the correct audience can be daunting, and if you do not have a network in this particular field, partnering with the right institutions and circulating the word about your workshop well in advance of any tentative date is essential during the recruitment and sign-up phase.

Finding a date suitable for your target audience is probably one of the most important considerations when designing your workshop planning. This can be done via the client (who may hold direct contact with the participant group). Alternatively, this may be something you will have to check via a Doodle poll or pre-survey question.

Type of training space

The training should enable participants to foster a strong bond, share, and have freedom of speech to speak about sensitive topics. Therefore, a large, contemporary, open space would be ideal for your workshop. Ensure the space can cater for all accessibility needs and support your participants' unique circumstances. The next thing would be to book your space well in advance of your workshop dates!

Time to prepare and/or customise

Of course, much of your workshop will be customised, aside from this facilitator guide (which is well planned out). You will have to customise your workshop to the needs of your participants or clients, so you will need some lead time before you launch your workshop

F: When might you complete workshop planning activities?

4-8 weeks out	Planning begins ...
• Read and explore this guide. • Plan out your workshop timelines using a Gantt chart.	• Select a suitable date. • Reserve a suitable location. • Recruit co-facilitator or other support needed.
2-4 weeks out	
• Send an official invitation. • Confirm participant attendance. • Send a pre-survey. • Review and practice the presentation with the handbook as your notes.	• Walk through support needed from co-facilitator - mitigate/plan for any foreseeable risks. • Review venue based on participant needs (as indicated in the pre-survey).
1-3 days out	
• Print participant-facing workshop materials (Agenda, worksheets, activities, icebreakers). • Print (or have available online) post-workshop survey.	• Complete room set-up if possible and test all equipment needed in advance. • Conduct a final facilitator's dress rehearsal.
Day of event	**Post-event**
• If unable to set the room up in advance, arrive a few hours before the workshop officially kicks off to do so. • Have fun and connect with your participants; hang back afterwards to answer any questions. • Collect post-workshop feedback.	• Send a follow-up message to your client, sponsors and participants to thank them for participating in the workshop. • Debrief with your co-facilitator internally. • Adjust the design of your workshop based on feedback (external and internal).

G: What does the room set-up look like?

As a facilitator, your aim is to create a safe environment that enables everyone to feel equal, involved and willing to participate. How you set up your room (the environment) can significantly influence how successful you will be in creating this safe, participatory workshop.

Therefore, we recommend you use a dynamic and flexible room set-up. This means participants and facilitators must be able to move around easily. It is also important that there is a shared sense of power and that each participant is able to contribute to the space and can be seen and heard. A helpful way to create this safety is to ensure that the facilitator does not always stand while the participants are sitting. Rather, sitting in a circle and sharing experiences (both facilitator and participant) works better in building understanding and encouraging contribution.

Similarly, your group work should be designed around circular rather than rectangular tables. This allows everyone to see each other clearly and also means that every single person should be in close proximity to all the materials (usually in the middle of the table). Remember, the job of the facilitator is not to be the 'expert' but rather to assist participants in sharing the wisdom already within the room with each other. How you set your room up for this workshop vastly differs from that of a traditional lecture hall or university class. It is important to think of the room set-up with the intentionality it deserves.

Some other ways to encourage this are:

RECOMMENDED

- Dynamic set-up: movable, modular furniture
- Round tables or circular set-up
- Wall space to hang workshop outputs
- Refreshment station

AVOID

- Static (built-in) seats and tables
- Stage or podium
- Long, rectangular tables
- Warm, dark rooms

H: What might you do to foster engagement with new participants?

We have already covered some of this in Section D (Facilitator skills and values) and Section G (Room set-up). However, there are many other ways to encourage and foster participation that are directly related to your personal facilitation style, language and behaviour. Every facilitator brings their uniquely quirky self, and this is to be encouraged! However, there are some facilitator behaviours that can be leveraged to foster better engagement in a group.

Here are some things to consider and practice:

- Equal attention and eye contact (value all voices)
- Listen attentively
- Positive, active body language (move around the room)
- Trust your instinct
- Observe
- Lead clearly, instruct clearly
- Model behaviour
- Be comfortable with silence

- Share your story
- Follow up on everyone's questions and points
- Use humour when you can; feel free to laugh
- Recall and incorporate points made earlier in the day
- Re-emphasise and summarise breakthroughs

I: What additional materials beyond this guide will you need?

FOR FACILITATORS

- Slide deck
- Facilitator's agenda
- Handbook for professionals
- Computer
- Projector and screen
- Speakers (optional)
- Wi-Fi access (optional)
- Microphone (optional)

FOR PARTICIPANTS

- Name tag
- Participant-facing agenda
- Handbook for professionals
- Markers and pens
- Icebreaker worksheet
- Activity sheets
- Case study worksheets
- Post-it notes

PART 3: WORKSHOP CONTENT + TEMPLATES

A. PARTICIPANT COMMUNICATIONS

Official invitation template

https://tinyurl.com/official-invitation

B. AGENDA TEMPLATES

Participant-facing agenda

Time	Session
8:30	Arrival and registration
9:00	Welcome and introductions
9:30	Introduction to whistleblowing Investigations
10:30	Break
11:00	Opportunities and challenges for investigators
12:00	Working with whistleblowers

Time	Session
13:00	Lunch
14:00	Making the adjustments: investigating reports
15:00	Legal considerations for investigators and whistleblowers
15:30	Mapping resources
16:00	Workshop feedback

Facilitator's agenda

Setup: Ensure tables and chairs are arranged in a U-shape or circle.

Time	Session	Notes
8:30 - 9:00 (30 mins)	Arrival and registration	Registration table, name tags, QR code ready
9:00 - 9:30 (30 mins)	Welcome and introductions	Tree of Traits: A0 print, AV for PPT ready, 40 x blue, green and pink post-it notes (120 in total)
9:30 - 10:30 (1 hr)	Introduction to whistleblowing Investigations	Optional: Share your WB investigator story printout x 40
10:30 - 11:00 (30 mins)	Break	Optional: Rearrange tables and chairs for group work (groups of 5)
11:00 - 12:00 (1 hr)	Opportunities and challenges for investigators	Optional: Strategy matrix: Opportunities and risks printout x 40
12:00 - 13:00 (1 hr)	Working with whistleblowers	• Option 1: Roleplay props, case study and Persona template printouts x 40 • Option 2: Only persona template printouts x 40
13:00 - 14:00 (1 hr)	Lunch	Prepare the room setup for after-lunch activities
14:00 - 15:00 (1 hr)	Making the adjustments: investigating reports	Presentation and story-sharing
15:00 - 15:30 (30 mins)	Legal considerations for investigators and whistleblowers	Presentation and story-sharing
15:30 - 16:00 (30 mins)	Mapping resources	World Café setup for co-creation activity, A0 printout, 200 x mixed post-it notes
16:00 - 16:30 (30 mins)	Workshop feedback	Draw rose, bud, thorn on flipchart, 150 mixed post-it notes. Optional: QR code ready for post-survey

C. WORKSHOP DECK AND NOTES (HANDBOOK)

Slide deck

https://tinyurl.com/wb-ppt

Facilitator's notes

Whistleblowing and Anti-Corruption: A professional handbook for investigators.

https://tinyurl.com/WBHBOOK

D. TRAINING WORKSHEETS, ACTIVITIES AND CASE STUDIES

Worksheets

All the worksheets are downloadable - simply scan the QR codes or follow the links.

Worksheet 1: Strategy Matrix (Opportunities & Risks)

https://tinyurl.com/wbstrategymatrix

Worksheet 2: Whistleblower Persona and Engagement Matrix

https://tinyurl.com/persona-engagement

Activities

The activities below are merely suggestions. More activity detail can be found in the handbook: *Whistleblowing and Anti-Corruption: A professional handbook for investigators.*
https://tinyurl.com/WBHBOOK

Activity 1: Tree of investigator traits

Note: This activity is conducted in a group setting using post-it notes on a large flipchart. Alternatively, this activity can also be converted into a self-reflection worksheet as set out in the handbook: *Whistleblowing and Anti-Corruption: A professional handbook for investigators.*

Pg 7 of *Whistleblowing and Anti-Corruption: A professional handbook for investigators.*

Activity 2: share your investigator story

Pg 10 of *Whistleblowing and Anti-Corruption: A professional handbook for investigators.*

Activity 3: Walk in the shoes of a whistleblower

Pg 11 of *Whistleblowing and Anti-Corruption: A professional handbook for investigators.*

Co-creation Activity I: Investigator resource mapping

Pg 35 of *Whistleblowing and Anti-Corruption: A professional handbook for investigators.*

Co-creation Activity II: Investigator peer-learning

Note: This activity is a variation on Co-creation Activity I and therefore will not be found in the handbook: *Whistleblowing and Anti-Corruption: A professional handbook for investigators.*

Case Studies

The full case studies can be found in the handbook: *Whistleblowing and Anti-Corruption: A professional handbook for investigators.*

https://tinyurl.com/WBHBOOK

Case Study 1:

Maximising opportunities and mitigating risks: *exposing Google's secret "recruitment" database* (Pg 16 of the handbook: *Whistleblowing and Anti-Corruption: A professional handbook for investigators.*)

Case Study 2:

Sensitive ways to work with whistleblowers: *the Pharmacare clinical trial debacle* (Pg 19 of the handbook: *Whistleblowing and Anti-Corruption: A professional handbook for investigators.*)

Case Study 3:

Successfully navigating a whistleblower-initiated investigation: *shady contracts at an IT multinational* (Pg 30 of the handbook: *Whistleblowing and Anti-Corruption: A professional handbook for investigators.*)

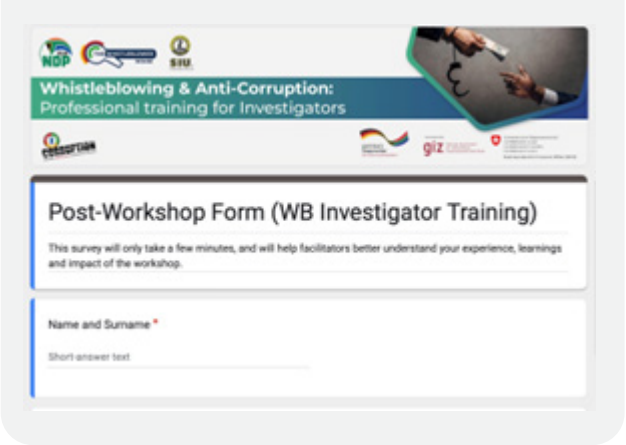
E. PARTICIPANT SURVEYS & WORKSHOP DEBRIEFING

Participant pre-workshop and post-workshop forms

Participant pre-workshop form

Download the Participant Pre-workshop form here: https://tinyurl.com/pre-wb-form

Participant post-workshop form



Download the Participant Post-workshop form here: https://tinyurl.com/post-wb-form

Participant and facilitator debriefing tool

F. CONCLUSION

This facilitator guide is really a suggested set of activities and format, which requires your customisation, creativity and design depending on who you are targeting. Should you have any questions, or would like to clarify anything, please reach out to us at: admin@limina.co.za, and we would be happy to help.

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