

Annex 1 to the Code of Ethics

The Development Fund's Concerns and Complaints Raising Policy

1 Introduction

The Development Fund's "Code of Ethics and Policy Against Misuse" (The Code) is intended to assist and guide us in behaving with integrity and in making ethically sound decisions, while acting competently and responsibly within all areas of The Development Fund's work globally.

The Concerns and Complaints Raising Policy is a crucial mechanism in ensuring that breaches of The Code are brought to the attention of The Development Fund and that action is taken to close gaps and identify needs for training of staff members.

2 Main channels

All persons (internal and external)

All individuals with a relation or contact with The Development Fund are encouraged to raise any concerns about an interpretation, application or suspected violation of the Code of Ethics with employees of The Development Fund with whom they have normal contact.

If any individual wishes to raise concerns about an interpretation, application or suspected violation of the Code of Ethics but are not comfortable raising the concern directly with The Development Fund staff that they are in normal contact with, The Development Fund encourages all individuals to bring the matter to the attention of senior management or other staff of The Development Fund.

The Development Fund organises its programme work to enable contact possibilities with as wide a range of staff members at the Development Fund as possible, within the frames of cost efficiency, such that concerns may be raised with different persons at The Development Fund.

The Development Fund Country Offices will be looking to place locked “suggestion boxes” at safe locations to enable ease of access to communication with the organisation.

This channel will enable the communication of concerns and complaints anonymously.

Development Fund Staff

Concerns about an interpretation, application or suspected violation of the Code of Ethics should normally be brought to the attention of the line manager in person, by mail or other practical means. If there are reasons not to contact the direct line manager, or the person raising the concern is external to The Development Fund’s, the following online mechanism can be used:

[Raising concerns and complaints at The Development Fund](#)

According to the Norwegian Working Environment Act, employees in Norway may also report to The Development Fund’s safety delegate.

3 Reacting to a breach

Responsibly and confidentially

The following basic principles shall be applied uniformly when complaints are processed:

- All complaints shall be taken seriously.
- Development Fund staff and managers receiving a concern or complaint shall always ensure that it is followed up in a responsible way.
- The information shall be channelled to the “**Contact persons of confidence**” in The Development Fund. These persons are established by the Board once a year.
- Complaints shall be treated confidentially. This will mean, among others, that disclosure of the identity of the individuals raising the concern or complaint, whom the issue relates to and the individual(s) that are subject to the concern or complaint, shall be limited to what is necessary for responsible action.

Contact persons of confidence

- “**Contact persons of confidence**” (Norwegian: varslingsutvalget”) in The Development Fund will be selected by the Board once a year. They may be selected from Board members, staff in Norway or internationally, and

external persons with pertinent competence.

- The **Contact persons of confidence** shall ensure:
 - To register the concern in a pre-defined overall register for The Development Fund globally
 - To draw up a log for each case received, stating all actions taken and key developments in the case, referring to documents that contain details as necessary
 - Archiving of the register, the log and other case documents confidentially and securely
 - To send confirmation to the person(s) raising the concern or complaint as soon as possible that the information has been received and is being followed up carefully
 - To enquire whether the individual(s) raising the concern or complaint would avail themselves for interview, whether the initial concern or complaint was raised anonymously or by a named person(s)
 - To enquire whether the individual(s) raising the concern or complaint would like any further updates
 - If further investigation of a complaint is initiated, the person(s) accused shall be informed of the report and the allegations it contains. The accused shall be given the opportunity to present her or his view of the case, and to receive assistance from a trusted representative.
 - In cases where this is necessary for the purpose of police investigations, the person(s) accused shall not be informed of the report.

Anonymous and confidential

The Development Fund will treat all concerns confidentially, both concerns raised by persons where the contact details are known and when the information is submitted anonymously.

Fear for reprisals, for one's own safety or how the organisation will react are the main reasons for raising concerns and complaints anonymously. The Development Fund would be better enabled to make progress with action when it can make contact with individuals or groups who have raised the concern or complaint in order to get specific information to investigate.

Support to complainants and those subject to misconduct

All individuals who report genuine concerns will be properly followed up, protected and supported, as far as realistically possible.

The Development Fund will prioritise:

- Support and assistance to programme participants and other stakeholders who are subject to unethical behaviour or misuse of authority or if others have observed such situations in connection with work of The Development Fund
- Support and assistance to employees who are exposed to incidents which they themselves experience as offensive, or to harassment, threats or abuse during assignments or at events carried out under the auspices of The Development Fund

Protection for those raising concerns

The Development Fund has zero tolerance to any form of retaliation against those raising alerts or complaints (“whistleblowers”). No one shall be discriminated against or disciplined or reprimanded for reporting concerns or requesting guidance concerning the Code of Ethics.

4 Investigation

Investigation of concerns and complaints

In any situation where there are grounds for suspicion of breach of The Code of Ethics and Policy Against Misuse, which encompasses misuse of authority in any way, The Development Fund shall immediately, though carefully, take action in order to uncover the facts and whether irregularities have occurred.

The Development Fund may decide to halt the financial support while investigations are ongoing. The Development Fund will notify any other donors to the affected programme or project, and The Development Fund will strive to coordinate actions with other donors.

Key principles regarding investigations of concerns and complaints

- The purpose of conducting an investigation is to gather evidence and facts to establish whether suspicions or allegations are true, and whether any proven incidents are isolated or more widespread.
- All investigations should be impartial, thorough, timely and confidential. Any relevant persons investigated will be considered innocent until proven guilty.
- Investigations may be done internally by The Development Fund’s own staff or be carried out by a professional third party.
- Investigators should be objective and unbiased, thorough, able to maintain confidentiality, competent in investigative techniques, empowered with sufficient seniority and confidence, honest persons of integrity, and independent of any possible subsequent disciplinary

process.

- A formal documented investigation report should be submitted to The Development Fund according to the timing agreed, which outlines the findings, facts and conclusions of the case.
- The investigation report should make recommendations about weaknesses.

Information to person(s) subject to concern or complaint

If the investigation does not conclude in grounds for further action, and the person accused of breach of The Code has already been acquainted with the report, both the complainant and the accused shall be informed about the closure of the case. This information shall be given as promptly as possible, and in such a way that the accused may feel free from suspicion. If the accused has not been informed of the report and no blameworthy conditions have been discovered, it is in principle not natural that he or she be given information about the closure of the case.

5 Potential sanctions

Depending on the results of investigations, The Development Fund will consider the proportionality of sanctions before deciding on the correct measure.

For criminal offences, or allegations of thereof, The Development Fund will consider notifying the police with relevant jurisdiction and collaborate with the investigation.

For civil breaches, The Development Fund will consider engaging legal advisers and take further action.

All parties without an employment contract with The Development Fund

Persons may be in the form of partner organisations, suppliers of goods or services or other third parties.

Potential sanctions would include one or several of the following:

- Contractual termination
- Claim for repayment or non-monetary compensation if appropriate
- Compensation for a third party (persons or groups) that were subject to behaviour by the investigated partner organisation
- Repayment of funds in the case of financial misuse being reported by the investigation

Development Fund Staff

Any breach of the Code of Ethics will result in disciplinary action in accordance with the respective Development Fund terms, conditions and guidelines.

Sanctions may comprise of one or several of the following:

- Warning in writing
- Dismissal
- Monetary repayment
- Change of responsibilities

Neither of the above lists are exhaustive; The Development Fund does not exclude the possibility of sanctions being in another form than listed above.

6 False or malicious accusations

False accusations on any action, purposely made by a staff member, are seen as a breach of the Code of Ethics and will be subject to disciplinary action at the discretion of the employer.

7 Other stakeholders

For any breach or allegation of breach or offence that involves funding or coordination through partners or stakeholders, The Development Fund will notify the partners immediately.

8 Summary of main channels

The following are suggested channels for informing The Development Fund of known or suspected breach of The Code of Ethics and Policy Against Misuse, which encompasses misuse of authority in any way:

- Speak to an employee of The Development Fund
- Write to the email address of an employee of The Development Fund
- Submit information into the suggestion box at the Development Fund office in a programme country
- Write a letter and send in the post to The Development Fund
- Use the electronic mechanism accessed through this link:

[Raising concerns and complaints at The Development Fund](#)