

# INTEGRITY SYSTEM GUIDE

## FOREWORD

# THE INTEGRITY SYSTEM GUIDE: WHY, HOW AND WHAT

This Integrity System Guide explains to the user how an effective integrity system works and how it can be developed and implemented within an organisation. It offers practical advice and examples. By following the various steps set out in this document, organisations can ensure full compliance with the measures intended to preclude inappropriate behaviour in accordance with the Accreditation Requirements and the Partos Code of Conduct. The overall aim is to prevent as many incidents of inappropriate behaviour as possible or, should incidents nevertheless occur, provide an adequate response and due accountability.

In 2017, the #MeToo movement unleashed a worldwide wave of complaints about integrity violations. It broke the taboo about discussing wrongdoings, empowering victims to speak out. The non-profit sector was directly affected too. In February 2018, we were shocked by revelations of sexual harassment committed by relief workers in Haiti. Sexual harassment and the misuse of power or position go against everything that civil society organisations stand for. Many organisations had already implemented measures intended to prevent integrity violations. The events in Haiti, and other incidents which subsequently came to light, demonstrated that these measures were not enough. It was clearly time to take concerted action and turn the tide.

Partos, Goede Doelen Nederland, the Central Bureau on Fundraising (CBF) and several other humanitarian aid organisations decided to join forces and do everything possible to prevent inappropriate behaviour of all types, and to respond adequately when those incidents nevertheless occur. The partners produced a 'Joint Action Plan on Integrity', which set out a range of short-term and longer-term initiatives. For example, Partos and Goede Doelen Nederland invited their members to attend a series of workshops organised by international experts Governance & Integrity. Participants contributed many examples and dilemmas to the discussion. This Integrity System Guide, which has been produced by Governance & Integrity, makes grateful use of the cases raised during the workshops.

Users of this Guide will experience several learning curves. It will become clear that much remains to be done, and that working to achieve integrity is an ongoing process. This also applies to the authors. The Guide is a 'living document', to which new insights and examples will be added in future. The Joint Action Plan on Integrity will also give rise to various products to complement the Guide, such as guidelines and protocols for external accountability, the screening of staff and volunteers, and aftercare for the victims of abuse. Goede Doelen Nederland and Partos will publish this Guide and all related documents, including training courses and materials, on their websites. A repository of useful resources will then be available to all.

We hope that the Integrity System Guide will prompt organisations to develop their own effective integrity system, to embark on a process of joint moral learning, and to take a firm stance against all forms of misconduct and the misuse of power or position.

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# 1.

## INTRODUCTION

This Guide has been produced for the benefit of those responsible for integrity within the civil society sector. In the first instance, this will generally be the Integrity Officer(s) of the individual organisation. The contents are also of relevance to the executive management and the supervisory bodies whose portfolios contain the integrity theme. The Guide will also be important for managers in the sector, for members of participation bodies, and for the staff of umbrella organisations.

The Guide offers all these people valuable advice and insights to help them to perform their tasks as effectively as possible.

The purpose of this Guide is:

- to describe a well-functioning and effective integrity system, and how to go about developing such a system.
- to enable organisations to achieve full compliance with the latest integrity standards applicable within the sector (such as those included in the revised Accreditation Requirements and the new Partos Code of Conduct).
- to suggest ways in which those active in the sector can support each other in areas such as the development of integrity systems, training for integrity officers, developing preventive measures, collecting mores prudence and crisis communication.

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There is a growing realization among all organisations – public, private and civil society – that the success of their mission and strategy, as well as their results, depends on its relationship with its stakeholders and on the integrity of the organisation itself.

An organisation may be said to show integrity if it acts in accordance with justice at all times. This means that it must do right by the people and organisation with and for whom it works. An organisation that operates with integrity is one that does right by all her stakeholders. Primary responsibility for the integrity of an organisation rests with its management. Next in line is the supervisory body, followed by each and every member of the organisation's staff. Management may delegate

some of the responsibility to specific officers or bodies within the organisation, which it will authorize to carry out whatever practical activities are required to ensure that all requirements are met.

An integrity system comprises two subsystems:

- a moral learning process
- a compliance practice

The moral learning process is concerned with all decisions and actions taken by an organisation. It attempts to ensure that those actions and decisions are in accordance with justice, which means doing right by all stakeholders. The compliance practice is concerned with wrongful actions and decisions: those which can be

deemed a violation of integrity, as defined by a Code of Conduct (and the legislation to which that Code refers). Integrity within civil society organisations is currently under close scrutiny. This is due to a number of specific integrity violations, mostly of the type which fall under the term 'sexual harassment'. This concept refers to incidents of 'unwanted intimacy', 'sexual intimidation' and 'sexual violence'.

Allegations of sexual harassment have come to light with the emergence of the worldwide #MeToo movement. Women have at last become empowered to demand a sexually safe working environment free of all forms of sexual harassment. As a result, it is far more likely that incidents will be reported. Organisations are now subject to far higher standards and requirements when it comes to prevention and disciplinary action, and rightly so.

It is unlikely that civil society organisations are any more prone to instances of sexual harassment than those in the private or public sectors. It is, however, possible that the general public expects an even higher level of integrity from our sector.

The Dutch government and the sector responded immediately to the various scandals, devising and implementing a joint action plan. Various initiatives were launched, including a series of integrity workshops organised by Partos and Goede Doelen Nederland. These discussions identified three courses of action that must be taken:

1. First and foremost, all organisations must ensure that an effective internal integrity system is in place.
2. Next, organisations must ensure specifically that the integrity system is fully equipped to respond to (reports of) sexual harassment.
3. Finally, organisations must decide how they are to embrace the underlying message of the #MeToo movement. This entails a consideration of aspects

such as the desired sexual culture within the organisation, gaining a better understanding of the factors which can increase the risk of (sexual) harassment, devising measures to prevent all forms of sexual intimidation, and following up on any backlog of unreported incidents or incidents which, although reported, but were not adequately dealt with.

Further to the joint action plan, new integrity standards have been produced within the sector (Accreditation Requirements and the Partos Code of Conduct). Those who structure their integrity system in accordance with this Guide will be compliant with the latest requirements.

Of course, no two organisations are alike. There is significant variation in terms of size, history, objectives, partnership arrangements, volunteers and so forth. Developing an integrity system therefore calls for a 'tailor-made' approach. Each organisation must adapt and apply the contents of this Guide according to its own size, situation, chain responsibility and the arena within which it operates. Each chapter concludes with a list of steps to be taken in order to apply the theory, followed by a description of the results that this can muster.

# 2.

## THE INTEGRITY SYSTEM

An organisation's integrity system comprises two subsystems:

- the moral learning process
- a compliance practice.

The moral learning process ensures that difficult decisions are taken only after a careful weighing of all considerations. A compliance practice prevents violations of the Code of Conduct and external legislation, and applies disciplinary action/punishment should a violation take place. Each subsystem has two interdependent and mutually reinforcing components. The moral learning process consists of moral judgement and 'moresprudence'. A compliance practice consists of the 'preventive cycle' and the 'repressive apparatus'.

Every organisation already possesses the basic building blocks of an integrity system. Moral intuition and reasoning automatically play a part in decision-making, for example. Elements of moresprudence, such as the mission and guiding principles, are likely to have been defined some time ago. Most organisations have a Code of Conduct, while preventive measures will often have been put in place to cover certain types of inappropriate behaviour. An auditor and controller may have been appointed to discourage financial violations such as fraud, theft or squandering, for example. Almost

all organisations will have experienced some form of integrity violation in the past and will have implemented some measures to prevent a recurrence.

The process of building a complete, cohesive, effective, living and learning integrity system is therefore usually more of an 'upgrade'. Everything that already exists and has been shown to work can be integrated into the new system. Elements that have not worked so well can be improved, while missing elements can be added. It is almost always a good idea to begin the (re-) building process with an analysis of the existing system and the production of a new design.

The integrity system described here can be customised to fit organisations of any size. There will of course be differences in the way in which organisations of different sizes structure the system (the 'how') but the tasks within the system (the 'what') are the same. Chapter 9 examines how smaller organisations might go about building their integrity systems.

This Guide describes the subsystems and their components in reverse order. We first explain the repressive apparatus, what it is, how it should be developed and the results it intends to achieve. We then examine the preventive cycle in the same way. Finally, we explain how the moral learning process works, how it can be initiated and what its outcomes will be. A separate section is devoted to moral deliberation and moresprudence.

Moral learning process	Compliance practice
Moral judgment	Preventive cycle
Moresprudence	Repressive apparatus

*The integrity system*

# 3.

## THE REPRESSIVE APPARATUS

### 3.1 Introduction

The repressive apparatus is based on the organisation's own Code of Conduct. The Code explicitly defines forms of behaviour that are considered unacceptable and therefore constitute a disciplinary offence. Staff have the right to know in advance what types of conduct will lead to disciplinary action, i.e. an investigation which could lead to punishment.

Most Codes of Conduct define three clusters of integrity violations:

- Violations involving misuse of power: corruption, conflicts of interest and partiality, divulgence of confidential information, culpable negligence.
- Financial violations: fraud, theft, misappropriation of property or services, deliberate wastage.
- Interpersonal violations: discrimination, intimidation, humiliation, violence, bullying, unwanted intimacy, sexual intimidation, sexual violence.

The three main components of the repressive apparatus are:

- the reporting system
- the disciplinary investigation
- determination and imposition of disciplinary action/punishment.

The repressive apparatus should also provide alternatives to the 'standard' sanctions, to be applied instead of, or in addition to, the determined disciplinary action, such as mediation, compulsory training for the perpetrator or redress for the victim (restorative justice).

### 3.2 The person of trust

The reporting system has an initial point of contact: the designated person of trust. The role of the person of trust is to provide first-line support to any member of staff who has been the victim of, or witness to, a violation. All conversations with the person of trust are held in the strictest confidence. This must be expressly stated in the documents that establish the role of person of trust within the organisation. A conversation with a person of trust can have several aims.

In the first instance, it is an opportunity for the employees concerned to tell their story. The conversation will then seek to clarify the nature of that issue. Is it an employment conflict, a moral protest, a moral misgiving or an actual integrity violation?

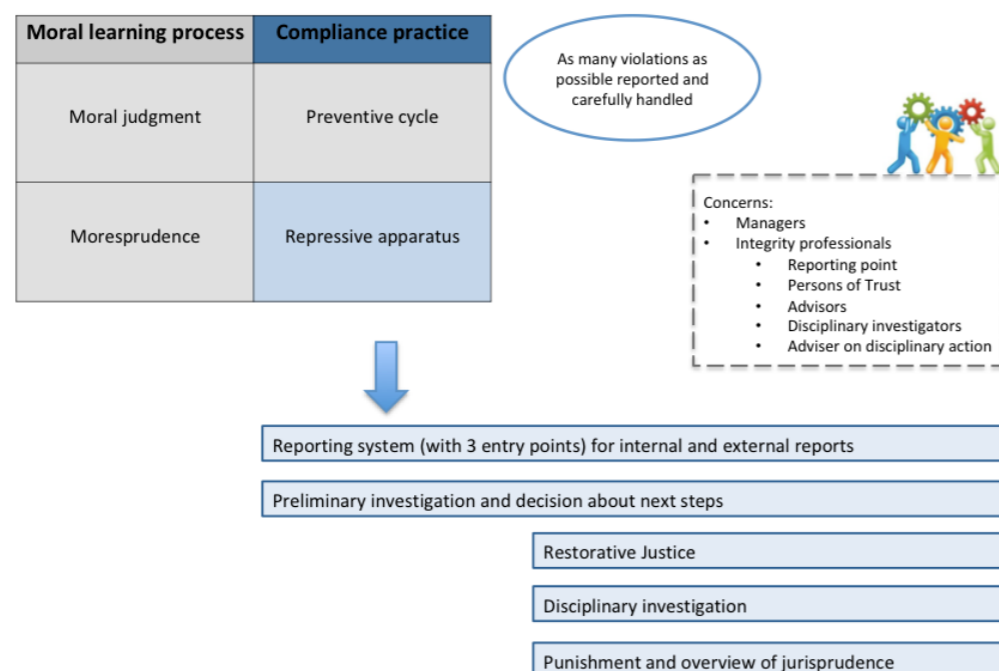
The next step will be to determine the appropriate follow-up action. The interests of the victim or witness are

always paramount. It is important to ensure that the employee concerned receives appropriate support in making his decisions. It must always be possible for the employee to withdraw a complaint or decline to take further action.

Finally, the person of trust may refer the employee to:

- the reporting system for violations
- HR in connection with any employment conflict
- a moral deliberation in the case of protest or dilemma
- HR (or other appropriate department if one exists) for assistance such as victim support or coaching.

Under no circumstances may a person of trust also act as the reporting point within the integrity system. This would deny the employee the opportunity of deciding not to report the incident, and would also make it more difficult to make referrals to other sources of assistance.



### 3.3 The reporting system

The reporting system must have three channels through which violations can be reported by victims or witnesses.

#### Channel 1: Management

The first channel through which violations can be reported is the management. This may be the employee's own line manager, the line manager of another department, or someone more senior. When an integrity violation is reported to management, it is not possible to protect the identity of the person making that report. Every manager is required to forward the report to the most senior level of management, or to the designated director with responsibility for integrity issues. The manager should also inform the Integrity Officer or Integrity body (where applicable).

#### Channel 2: Integrity Officer or Integrity body

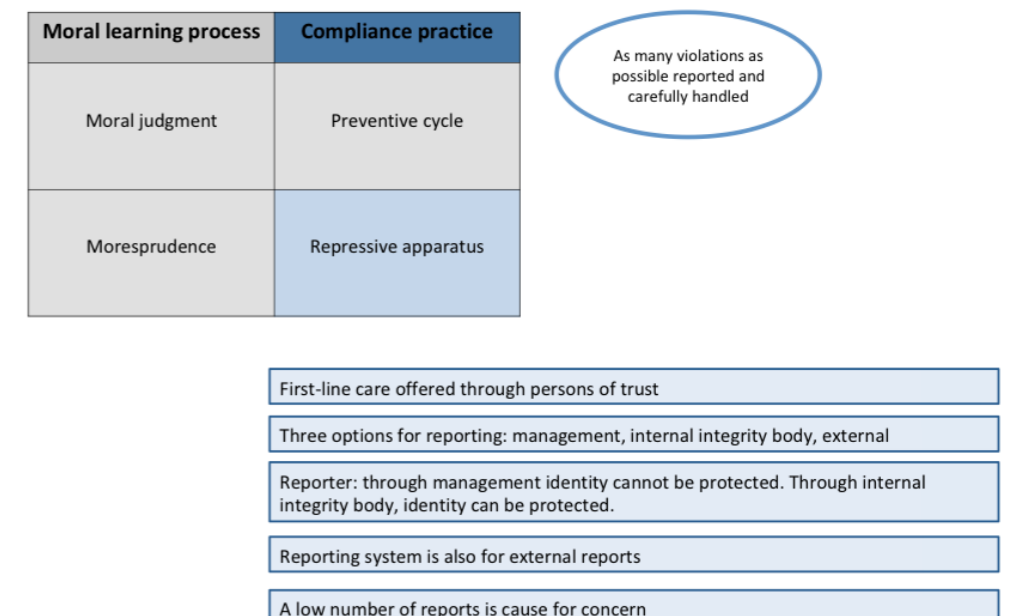
The second channel is that of a direct report the designated contact person of the Integrity body (or integrity officer). In this case, it is possible to protect the identity of the person making the report.

#### Case 1: A possible integrity violation during a field trip.

*"I was 28 and really happy to have landed my first job, with a year-long contract as communications specialist. I was also pleased to be able to visit 'the field' with two colleagues to see the results of our work. The poverty and deprivation among the children and the stories I heard from women were even worse than I had imagined. One of my colleagues was older, experienced and tough. He made jokes about how sad it made me. But one evening he came to my room at our lodgings to 'cheer me up'. He offered a listening ear, a shoulder to cry on... and alcohol. That helped. But as the evening went on it was clear that he had also brought his sexual urges. It was very difficult to get him out of my room. Fortunately, the other colleague was there for me the next day. We concluded that nothing had actually happened, but should the matter be discussed within the organisation and with him?"*

#### Channel 3: External

The third channel is external, whereby the report can be made to an independent body such as the Whistleblowers Authority. This makes it possible for an employee to report a violation if he has no confidence in management, the internal Integrity Officer or the Integrity body.



*Who can report an integrity violation?*

In addition to the organisation’s own employees, it must be possible for clients, programme participants (the ‘target group’), volunteers and the staff of other organisations in the chain to report any (suspected) integrity violation. They may report to the internal integrity unit or integrity officer, or through the external whistleblower channel.

In addition to statements by victims or witnesses, reports of integrity violations can also be the result of internal controls. An audit, for example, may reveal evidence of a financial violation. This sort of ‘control-based report’ is always made through the management channel and the Integrity Officer is always informed.

**3.4 The Integrity Officer: procedures**

*VPreliminary investigation*

When the Integrity Officer receives a report (through any of the three channels) she will launch a preliminary investigation, the purpose of which is to determine whether a disciplinary investigation is warranted or whether some alternative action will be more appropriate. The first question addressed by the Integrity Officer is whether there is a possibility of a violation. She will assess the strength of the evidence and look

for any indications that the allegation is unfounded. Finally, she will assess whether the severity of the alleged offence and the appropriate disciplinary action/punishment justify the cost (including reputational damage) of a full investigation.

*Investigation*

If the Integrity Officer decides that an investigation is warranted, she will advise the organisation’s director (or the director responsible for integrity) accordingly. Her proposal will include the findings of the preliminary investigation, nominate persons (internal or external) to undertake the investigation and, where appropriate, state the required budget. It will also set out the terms of reference and the questions to be answered by the investigation.

Where the Integrity Officer does not conduct the investigation herself, but instructs others (internal or external) to do so, she will nevertheless oversee the process. She will monitor progress and the budget, assess the quality of the work and products, and require the investigators to account for their methodology and conclusions. Once the investigation has been completed, she will present the final report to the director accompanied by her own conclusions and recommendations.

If the investigation is particularly complex, it will almost certainly be necessary to call upon external assistance. The choice of consultant or agency will depend on the nature of the alleged offence. There are a number of good investigation services in the Netherlands who specialise in one of the three clusters of violations (as listed in para. 3.1).

*Investigation protocol*

All investigations (whether internal or external) must be conducted according to a set protocol that establishes the rights, responsibilities and authority of the investigators while also protecting the rights of all parties.

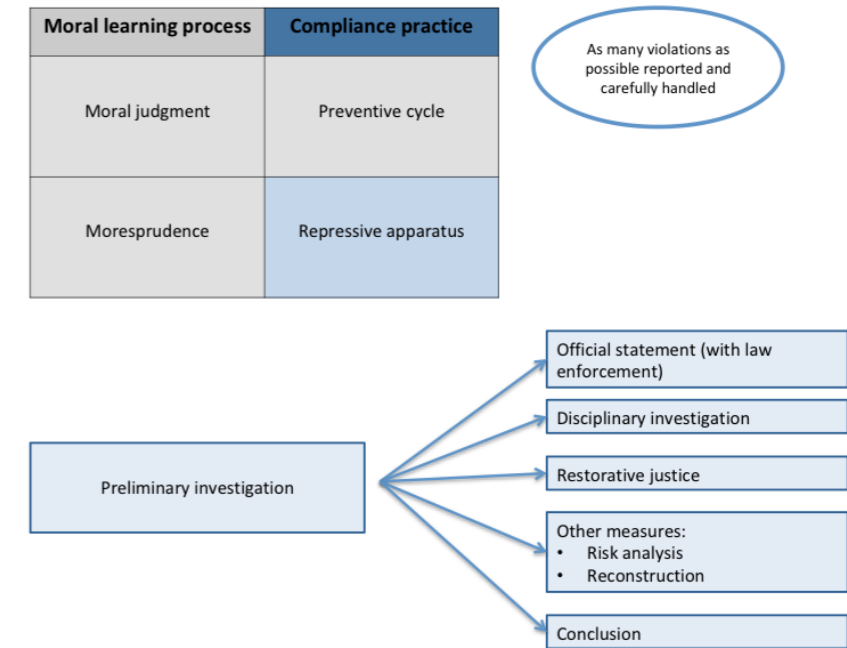
*No investigation is conducted*

The preliminary investigation may conclude that a full

*Case 2: A recently appointed Integrity Officer.*

*How do you conduct an investigation and how do you determine the appropriate disciplinary action/punishment?*

*“Yes, as a newly appointed Integrity Officer I deal with all sorts. Such as an extramarital ‘fling’ which (if we are to believe the complainant’s story) developed into months of stalking. The (alleged) victim is so afraid, and wants it to stop but doesn’t want me to take any action. I don’t know how to investigate the complaint, and I don’t know how to stop this sort of thing or what the appropriate disciplinary action would be. Who can help me?”*



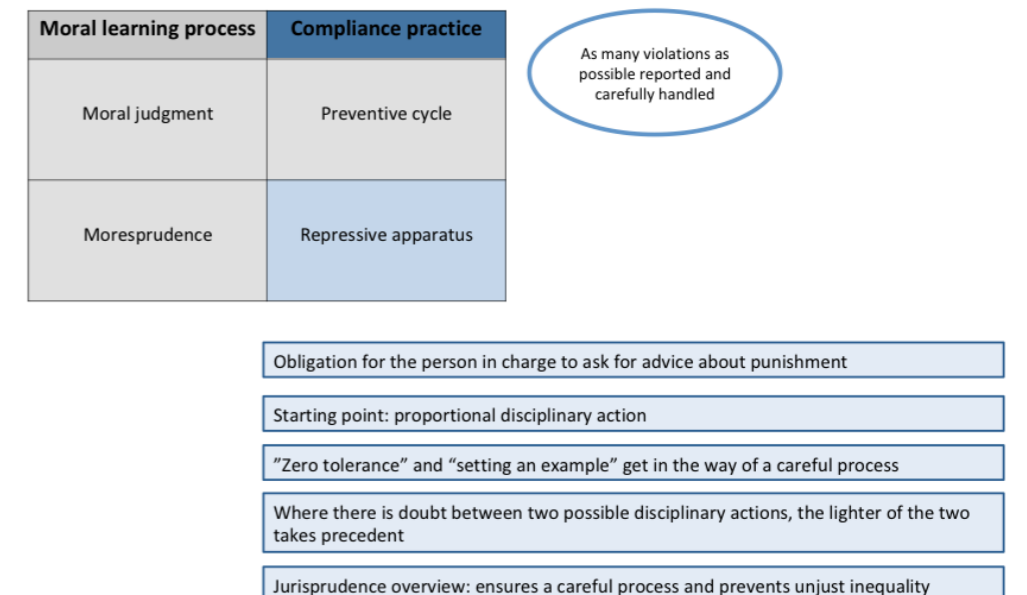
disciplinary investigation is not warranted. However, this does not mean that no further action will be taken. It may be appropriate to conduct a risk analysis or a reconstruction in order to draw lessons for the future. Forms of restorative justice may be applied to mitigate the injury, loss or damage suffered by the victim.

*Disciplinary action/punishment*

Action which constitutes a criminal offence must always be reported to the competent authorities (often but not always parallel to an internal investigation).

If the investigation concludes that an employee has indeed committed an integrity violation, a recommendation regarding the appropriate disciplinary action/punishment will be produced by an external or internal legal specialist. This person must take account of case law in order to ensure the proportionality and consistency of disciplinary actions. The recommendation is then submitted to the director.

The director makes the final decision with regard to the imposition of any disciplinary action/punishment.



### 3.5 Building the repressive apparatus

When building the repressive apparatus, we recommend that the organisation proceeds as follows.

1. Produce a Code of Conduct. Draw upon the codes already in use in the sector.
2. Appoint an Integrity Officer. In small or medium-sized organisations, this could be a part-time role for an HR manager or someone in the legal department. In larger organisations, it is advisable to have a full-time Integrity Officer. The very largest organisations may need several full-time Integrity Officers. This serves to lighten the workload on the individual and makes specialisation possible. Have the Integrity Officer(s) take part in a learning community alongside counterparts from other organisations in the sector. Provide training opportunities as necessary.
3. Appoint one or more persons of trust. If possible, there should always be at least two: one male and one female. An internal person of trust should be someone that staff already know and trust. They will be nominated by staff and/or their representative body (the Works Council). This is an auxiliary task for which, in principle, a few hours per month can be allocated. Provide training as necessary.
4. Provide a separate email address and telephone number so that the Integrity Officer can be contacted by anyone wishing to report an integrity violation, whether that is a member of the organisation's own staff or an external party such as a volunteer, member of the target group, partner, etc. This is the 'internal' reporting point in the sense that it is set up by the organisation itself. An external reporting point such as the Whistleblowers Authority or a sector federation should also be appointed.
5. Ensure that all staff are aware of the Code of Conduct, the reporting system, and the names and responsibilities of both the Integrity Officer and the person(s) of trust.
6. Contract preferred suppliers to conduct specialist investigations in each of the three clusters of integrity violations. A sector federation may be able to recommend suitable providers.

7. Appoint an internal or external legal specialist to provide advice on disciplinary actions/punishments.
8. Seek internal or external assistance in aspects such as mediation, training (general and specific), and victim support. (Steps 4 to 8 are undertaken by the Integrity Officer).

### 3.6 The outcomes of an effective repressive apparatus

An effective repressive apparatus (as part of a well-functioning integrity system) will achieve the following:

- Reports of (suspected) violations will increase in number.
- Ongoing violations will cease.
- Any culture of impunity will be broken.
- Increased confidence in the repressive apparatus.
- The standards in the Code of Conduct will be strengthened.
- Victims will gain redress and have their dignity restored.
- Victims will be able to rely on support (and possibly compensation).
- Perpetrators will learn from their mistakes.
- Perpetrators may be removed from the organisation and the sector altogether.
- A better understanding of the risks and improved prevention.
- Potential perpetrators will be deterred.
- Actual violations will decrease in number.
- Safety (of all stakeholders) will increase.
- Increased happiness in the workplace.

The repressive apparatus is the cornerstone of the integrity system. Without an effective repressive apparatus it will be impossible to maintain the preventive cycle and the moral learning process in the longer term.

# 4.

## THE PREVENTIVE CYCLE

### 4.1 Introduction

Like the repressive apparatus, the preventive cycle has its basis in the Code of Conduct. This is not only logical but inevitable: the Code defines the integrity violations with which both are concerned. The repressive apparatus is reactive – it determines the action in response to a violation – while the preventive cycle is pre-emptive. It attempts to prevent violations from happening in the first place.

The image that people have of someone who commits an integrity violation does not correspond with reality. Most violations are not born of malice. They may be the result of ignorance or incompetence, but more often than not they represent a temporary aberration: someone succumbs to the temptation of the moment. This does not excuse the violation and neither does it make it any less culpable. It does, however, make a significant difference in terms of the preventive strategy. The first aim of prevention is to make violations difficult or impossible to commit. However, it must also try to resolve ignorance and ineptitude, and it must remove temptation to the greatest extent possible. Prevention protects. It protects potential victims from perpetrators, and it protects potential perpetrators from themselves.

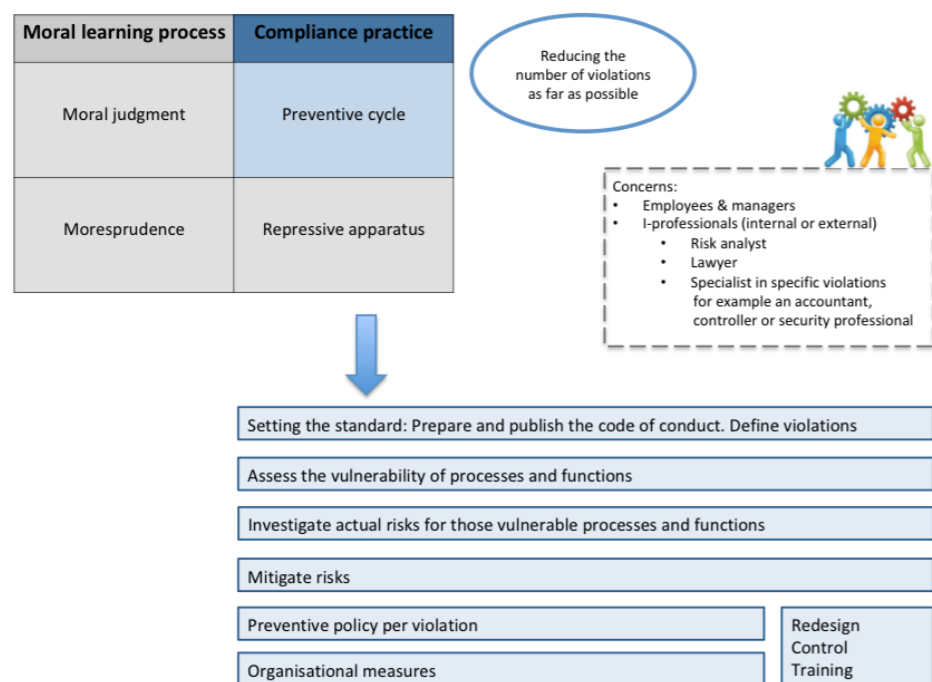
The components of the preventive cycle are:

- production, dissemination and discussion of the Code of Conduct
- the preventive (deterrent) effect of the repressive apparatus
- identification of vulnerabilities in functions and processes
- risk analysis (of various types)
- risk reduction through the redesign of processes, including controls as necessary
- production and implementation of preventive policy for each (type of) violation
- production of a prevention plan.

### 4.2 The Code of Conduct

As in the repressive apparatus, the Code of Conduct forms the basis of the preventive cycle. But it is also the first piece of the preventive cycle. The production of the Code, its dissemination whereby staff are made aware of its contents, and the discussion of the Code all have a preventive effect in themselves. This process establishes standards of behaviour. The discussion phase may resolve the ignorance of the rules that would otherwise lead to violations. The primary aim is to clarify the types





of conduct that are specifically prohibited, and to explain the underlying reasons for their prohibition.

The repressive apparatus – provided it is effective – also has a preventive, deterrent effect. It increases the likelihood of being caught and punished. It weeds out people who have committed serious violations, as well as those who do not learn from their mistakes and continue to commit less serious violations. This discourages others from committing similar offences. The repressive apparatus strengthens the established rules because the organisation can be seen to take affirmative action when those rules are violated. The organisation shows that it means business. If the integrity system is to have any credibility, it is essential to remove any sense of impunity around violations and/or individuals.

#### 4.3 Vulnerability of processes and functions

The organisation must be aware of specific vulnerabilities in the processes and functions that are prone to certain integrity violations. All managers must be aware of the vulnerabilities within the processes and functions for which they are responsible. This will ensure that they are alert to possible indications of misconduct (below and at the level of actual reports).

The Integrity Officer, in consultation with management, is

responsible for producing a description of all vulnerabilities in processes and functions.

#### 4.4 Risk analysis

Based on the identified vulnerabilities, the organisation must conduct regular risk analyses. Through interviews, observation and scrutiny of relevant documentation, it will gain an accurate picture of what is actually happening on the work floor, the immediate risks to integrity in day-to-day tasks, and the factors within the wider context which are likely to increase those risks. Based on this analysis, recommendations will be made for improvements to the processes, controls and training for both staff and managers.

Risk analyses can focus on the processes themselves or on integrity violations. In the former case, a single process will be carefully examined with a view to identifying all potential violations. In the latter, all processes are examined to identify the risk of one particular violation. There are of course hybrid forms of analysis to consider. Risk analyses can be used as part of a scheduled routine review further to the multiyear strategy, or they can be prompted by specific indications that something is amiss. The organisation must ensure that, over time, all processes and all potential violations have been subject to analysis.

Risk analyses should be conducted according to a protocol which establishes the rights, responsibilities and authority of the persons concerned, and which protects the rights and interests of all other stakeholders. An essential element of that protocol is a guarantee that information offered by employees during the risk analysis will not be used to pursue past integrity violations. Only then will staff be able to speak openly about the potential integrity risks of which they are aware.

The Integrity Officer is responsible for planning, organising and managing the risk analysis. If the organisation has only one Integrity Officer, she must not conduct the risk analysis herself even if she has the necessary training. This is because the Integrity Officer is known to be the person responsible for investigating violations, whereupon the guarantee that information provided will not be used in this way will lose its credibility. Another risk analyst, internal or external, must be appointed. The Integrity Officer will then provide instructions, monitor progress, assess the quality of the report, and submit that report to the director and managers concerned, together with her own covering letter. The risk analysis report should always be discussed by the Integrity Officer and the department(s) which took part, with the risk analysts in attendance if possible.

If the organisation has several Integrity Officers, it is worthwhile training two of them as risk analysts. It will then be possible for the organisation's own integrity staff to conduct all analyses.

A risk analysis may be requested by a manager who has actual concerns or may be initiated by the Integrity Officer, either because there are indications of problems or as a routine check as part of the multiyear strategy. Regardless of background, the Integrity Officer must submit a complete and substantiated proposal to the director, since it is the director who actually orders the risk analysis to be performed.

#### Case 3: Is a risk analysis needed?

*"Our volunteers are our hands, eyes and ears of the vulnerable ones in the community. This is an onerous task because we can rarely do enough. As volunteer coordinator I recently heard some disturbing stories: are valuations and money going missing? Are some clients afraid that information about their situation will be shared with the wrong people? Or is this just the organisation's famous rumour mill at work? How can I encourage an open discussion? Should we demand that volunteers always work in pairs? What can I do?"*

#### 4.5 Risk reduction

Recommendations for ways in which to reduce risks will be prepared by the risk analysts in close consultation with management and internal specialists. It is this combination of expertise that makes it possible to arrive at a set of recommendations that will actually minimise risks while maintaining (or improving) the effectiveness of the work processes. Once approved by the director, implementation of the recommendations will be undertaken by management with professional support where necessary, under the supervision of the Integrity Officer. Management and the Integrity Officer will report progress to the director.

To identify all risks per process and per violation throughout the organisation will take considerable time, probably several years. Moreover, it is a cycle. A process that was examined several years ago will eventually have to be examined afresh. Changes to the structure or nature of the work, the setting, the methods applied, personnel, and partnership arrangements with other organisations will make it essential to repeat the risk analyses at set intervals.

#### 4.6 Preventive policy per type of violation

It is essential for the organisation to formulate preventive policy covering every possible violation. It may be possible to devise policy at the level of a closely related group of violations, but this is the exception rather than the rule. The preventive policy usually starts out as a list of good intentions or perhaps a summary of the measures that have already been taken. There is nothing wrong with this approach: the objective is to arrive at effective preventive policy and practice over time. This will be based on information from within the organisation, perhaps gained through the risk analyses, or the experiences of other organisations, and is sometimes based on trial and error. It is important to realise that a preventive approach that can be applied to all violations in all circumstances does not exist. This is particularly true in the case of interpersonal violations: how can discrimination, bullying and sexual harassment be prevented?

The Integrity Officer is responsible for formulating and developing the preventive policy for on the level of specific violations, not only on the level of general types or clusters of violations. Many organisations have already taken measures to prevent financial misconduct. Once again, decisions regarding the implementation of policy fall to the executive board. The actual implementation is organised by the Integrity Officer. She may be able to implement some elements of the policy herself, while others will require the assistance of external specialists.

The Integrity Officer should list all relevant initiatives in a long-term prevention strategy that is reviewed and updated annually. It will then be possible to include information about the plan in the organisation's Annual Report.

##### Case 4: Bad rules don't work

*"I am so fed up with it. We are sent abroad to do extremely intensive work in very difficult conditions, often without adequate back-up. I'm usually away from my wife and children for four or six weeks at a time. And now I'm being given all sorts of instructions – no sexual relations with colleagues, especially not with managers or, worse still, someone from a local organisation (and I completely agree with that – young girls and children is even worse). But the latest rule is that I'm not even allowed to visit an experienced 'lady' in my own time and with my own money. I'm being ordered to live like a monk for two months! Well, I'll just have to take matters into my own hands. Or can I start a serious discussion about this without getting myself in trouble?"*

#### 4.7 Building the preventive cycle

When building the preventive cycle, it is recommended that the organisation proceed as follows.

1. Produce a Code of Conduct. Ensure that all stakeholders are aware of the Code and discuss it with staff and management.
2. Create an effective repressive apparatus in parallel to the preventive cycle. Appoint an Integrity Officer.
3. Have the Integrity Officer produce a mapping of vulnerabilities, working in consultation with management. The Integrity Officer should also produce a long-term plan for risk analysis.
4. Conduct a pilot risk analysis in one department.
5. Have the Integrity Officer produce a preventive policy for each violation.
6. Find and contract preferred suppliers to implement the preventive policy.

#### 4.8 The outcomes of an effective preventive cycle

An effective preventive cycle (as part of a well-functioning integrity system) will achieve the following.

- A better understanding of the vulnerabilities and risks with regard to integrity violations.
- Risks, and the factors which increase those risks, will immediately be mitigated: ignorance and ineptitude will decrease, while there will be fewer casual temptations and a greater chance of being found out.

- Many people will refrain from committing violations with no need for investigations or disciplinary actions.
- The group of persistent offenders will decrease in size and will lose support.
- There will be a greater number of reports.
- Investigations will have a higher success rate.
- In time, the number of actual violations will show a marked decrease. Everyone will be able to work in greater safety.
- Increased happiness in the workplace.

# 5.

## THE MORAL LEARNING PROCESS

### 5.1 Introduction

People at all levels of an organisation make decisions. In a legitimate organisation in a democratic state, most of those decisions are, from a moral perspective, trivial. In other words, there are no significant interests at stake, no rights are likely to be infringed and the guiding principles of the organisation do not conflict with national legislation or with each other. In many cases, following the policy, rules or established practice of the organisation will be seen to be in accordance with justice, even when subject to particularly close moral scrutiny. The moral intuition of the organisation's staff is, in these trivial matters, almost always in line with the organisation's policy. Where the organisation allows room for personal discretion, that intuition is usually a reliable compass.

However, there are also decisions taken within every organisation that are far from trivial. Moreover, they are made at every level, from the work floor to the boardroom. There may be significant interests at stake, rights under threat, principles that are irreconcilable. This is the type of decision that is regarded as important and difficult, and such decisions raise doubts. It becomes uncertain whether following the established routine will be in keeping with the interests of justice. Intuition is no longer reliable.

Morally wrong decisions cause great harm.

An organisation that has a moral learning process is supporting its managers and employees as they take important, difficult and unclear decisions.

### 5.2 Training in moral judgement

The organisation should provide training in moral judgement and decision-making for all managers and staff. This training takes up at least one full day and is given in small groups of no more than twelve people. Ideally, those groups will be made up of colleagues who work together on a daily basis.

The training is in two parts. The first part allows participants to question whether actions and decisions are in accordance with justice. Any misconceptions concerning the concept of 'justice' are resolved and a broad working definition of the term is formulated. In the second part, the participants learn a method that enables them to assess whether their own intended decisions are in accordance with justice. The crux of this method is a careful weighing of the rights and interests of all stakeholders who will be affected by the decision. It is this conscientious and precise consideration which ensures that the decision and actions which follow are indeed in accordance with justice.

The participants work with real-life case studies that they themselves contribute. These cases may involve past decisions that they have taken, or decisions that they are yet to make. At the beginning of the methodical consideration of a decision, moral intuitions are generally disparate. That is usually due to the nature of the decision itself. There may be major interests that cannot be reconciled with each other, certain rights at stake, or major interests versus rights. In some cases,

the basic guiding principles of the organisation are in conflict. It is only logical then that the moral intuitions of the participants diverge. They tend to choose the two most obvious aspects of the case that have to be weighed one against the other. It is also possible that cultural differences, religious convictions or political views play a part. If so, such influences will be revealed as the process of moral judgement continues. The method allows all the various arguments to be assessed in terms of their relevance to the justice of the final decision. Those that are indeed relevant are then taken into consideration and will enhance the decision-making process. In almost all cases, it eventually proves possible to determine which choice is in accordance with justice, and a consensus is reached.

*Case 5: Support for schools that use corporal punishment. Ignore or object?*

*"My organisation provides financial and pedagogical support to 'marginal' schools in almost every country worldwide. As the responsible project manager, I regularly visit those schools. I am extremely disturbed by the fact that hitting children is still done on a daily basis. I believe that this creates a culture in which bullying and even sexual violence are tolerated. I have been ready to voice my concerns on several occasions but then thought better of it. I am afraid that a frank discussion might spoil our partnership, or that I shall become persona non grata, even within my own organisation, because I'm failing to acknowledge cultural differences. I could just say, 'it's none of my business' or I could think, 'if this is the way you treat children, you're not getting any more of our money'. This is something I want to bring up at a moral deliberation session."*

### 5.3 Moral deliberation

Once all managers and staff in (part of) the organisation have been trained, the organisation should set up a system of moral deliberation. Existing teams will meet regularly to discuss the non-trivial moral decisions that arise during their work, through a moral judgement investigation.

There are three forms of moral deliberation:

- open deliberation
- thematic deliberation
- incidental deliberation

#### *Open deliberation*

The open moral deliberation meeting is the cornerstone of the moral learning process and should be held several times each year. Any decision that has arisen during the team's work can be proposed for and developed into a moral judgement. Two or three such decisions will be selected and investigated. The process serves to maintain the team members' moral judgement skills, while the open character of the meetings provide the most sensitive warning system for moral risks. Over time, a significant case archive will be developed for future reference.

#### *Thematic deliberation*

A thematic moral deliberation meeting is always convened by the Integrity Officer and/or management. It examines specific cases which have a common theme, usually prompted by concerns about a particular aspect of the organisation's work. The primary purpose of these meetings is to produce specific moresprudence.

#### *Incidental deliberation*

An incidental moral deliberation meeting can be called by anyone within the organisation who is having diffi-

culty with a certain decision. Such meetings are usually more informal in nature. They are attended by a smaller number of people, do not have a chair or ethicist to provide support, and there will usually be no written report. An incidental moral deliberation meeting can be of great value in assessing the moral correctness of urgent decisions that cannot wait until the next open meeting.

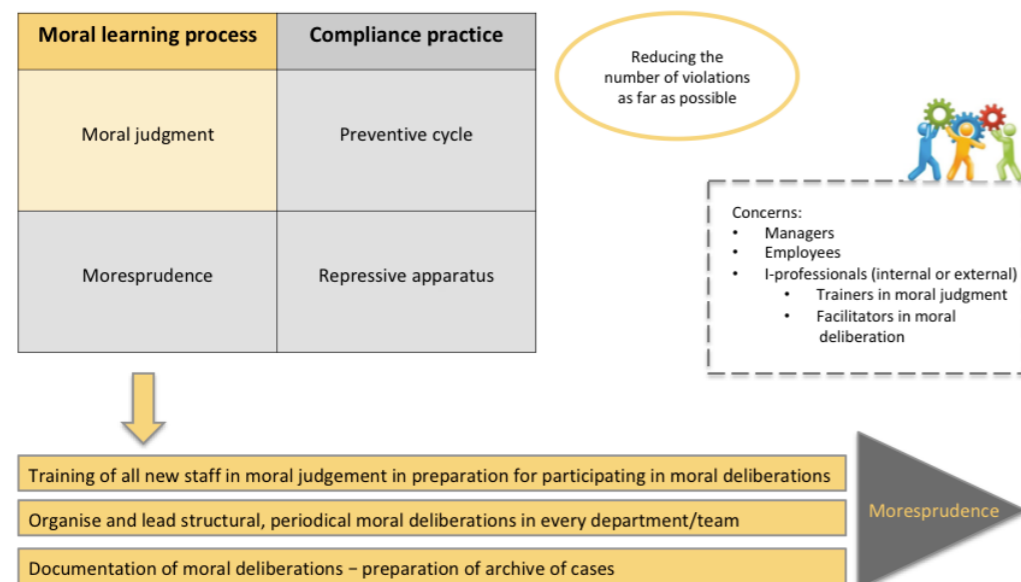
All forms of moral deliberation can serve to identify, relieve and prevent moral stress and moral injury. In the context of debriefing and/or therapy, moral deliberation can even help to repair moral injury. 'Moral stress' and 'moral injury' are seen when people unintentionally cause significant harm to others, perhaps because their organisation's policy required them to do so. Some people might experience these problems if they are not sure whether what they have done was morally right or morally wrong (which can be investigated post facto). Others might have known that the actions were morally wrong but saw no opportunity to bring the issues to the attention of the organisation, or felt unable to bring about any change.

#### 5.4 Reporting the moral deliberation meeting

If the organisation documents the cases and discussions of the moral deliberations, and collects these reports together, the basis will be set for developing moresprudence, that is for authoritative, directive and corrective morel. Moresprudence includes the organisation's mission statement, guiding principles, Code of Conduct, core dilemmas, and the moral risks of 'mission drift' and 'mission overdrive'.

##### Case 6: Moral injury

*"I have been giving gender training in various countries for many years. Train the trainer. We work with local dance and theatre groups that tour schools and villages discuss about domestic violence. It has been a great success and we receive funding from the Dutch embassy. Six months ago, however, two of our best trainers went missing. Only after several weeks were their bodies found, raped and murdered. I now look at our trainees and think, 'who's next?' I really don't know if I can carry on with this work."*

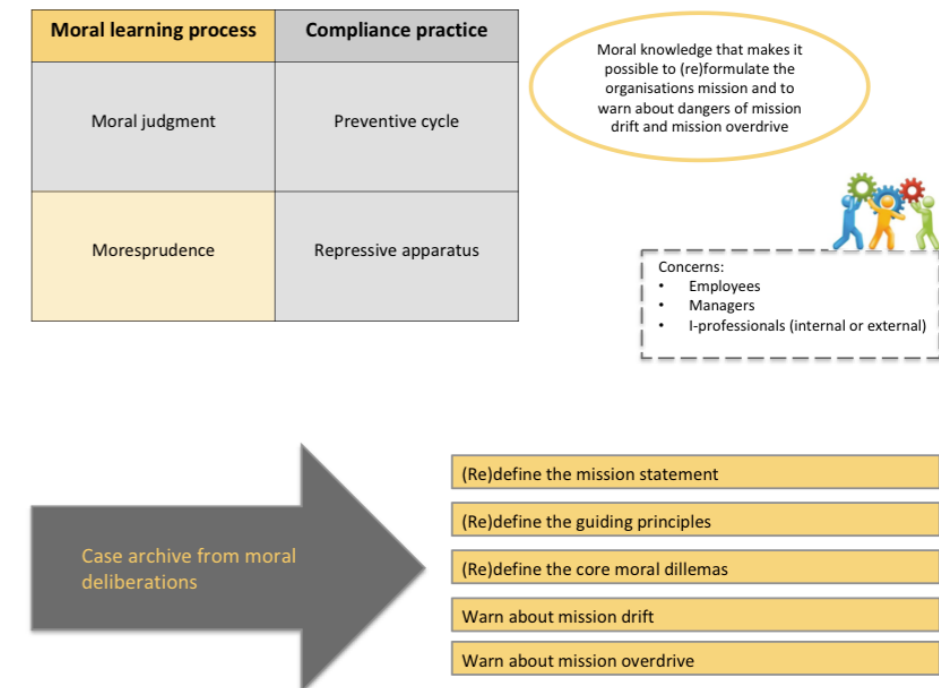


#### 5.5 Case histories from the moral deliberation meetings

##### Mission

The organisation's mission is a statement of its most important tasks and objectives. Over time, issues may arise

that make it necessary to review the mission. There may even be a case of such existential significance to the organisation that its entire raison d'être must be re-examined.



##### Guiding principles

The guiding principles of an organisation set out the obligations which, given its tasks and objectives, must be met in order to respect the rights of the main stakeholders. In many cases, these principles will determine the outcome of the decision-making process. Cases discussed by the moral deliberation meeting might lead to the formulation of new guiding principles or the refinement of existing principles.

##### Code of Conduct

The Code of Conduct defines violations, that is, morally wrong actions that the organisation finds punishable. Case histories can help to identify such actions,

to explicate the grounds on which they are considered morally wrong and to identify exceptional circumstances in which a proscribed action may actually be morally right.

##### Core dilemmas

Core dilemmas are regularly recurring decisions in which specific guiding principles of the organisation (or society as a whole) appear to conflict with each other. Case histories can help to identify such dilemmas. They can also clarify the grounds on which, in one specific situation, one principle will outweigh the other, and in another situation, the opposing principle will. This creates consistency.

### *Mission drift*

Mission drift can be seen when it is not a single decision that deviates from the organisation's mission and guiding principles, but a series of actions, systematically, over time. The causes of mission drift are many and varied. The case histories developed from moral deliberations are guaranteed to reveal mission drift, often at a very early stage. They will also cast light on the underlying causes and can therefore play an important role in correcting the 'drift'.

### *Mission overdrive*

Mission overdrive occurs when an organisation and its people consider the mission to be of such overriding importance that everything else takes second place. This creates a mentality of 'the end justifying the means', which is likely to lead to morally unsound decisions that impinge unjustly upon the rights and interests of others. Case histories reported by the moral deliberation meetings will certainly reveal mission overdrive, thereby creating an opportunity to correct it.

### **5.6 Tasks and responsibilities: who does what?**

The Integrity Officer is responsible for organising staff training in moral judgement. The training is given by external specialists. Managers are responsible for organising moral deliberations, which are led by internal facilitators who must receive appropriate training. The facilitators also produce the written reports of the meetings and thus ensure the development of the case history archive. The Integrity Officer is responsible for managing that archive. With the help of external experts, she will distil relevant insights from the case history to supplement the organisation's moresprudence. The Integrity Officer will notify executive board and management immediately if the contents of the case histories indicate possible mission drift or mission overdrive.

### **5.7 Building the moral learning process**

When building the moral learning process, we advise the organisation to proceed as follows.

1. Appoint an Integrity Officer.
2. Find and contract preferred suppliers to provide training in moral judgement, training for the moderators of moral deliberations, and to assist in the development of moresprudence.
3. Run a pilot for the moral judgement training.
4. The Integrity Officer should develop a plan whereby everyone in the organisation receives training. This plan is then submitted to the executive board. Depending on the size of the organisation, the entire process could take several years.
5. In departments where all staff have completed moral judgement training, moderators are selected and trained in their role, whereupon the regular moral deliberations are established.
6. Reports of the moral deliberations are collated.
7. The Integrity Officer and/or management can make proposals for the development of specific moresprudence, perhaps coordinated with the thematic deliberations. Proposals are submitted to the executive board.
8. The Integrity Officer will notify management of any signs of mission drift or mission overdrive.

### **5.8 The results of an effective moral learning process**

An effective moral learning process (as part of a well-functioning integrity system) will achieve the following:

- The moral intuition of managers and staff will become more refined and more reliable even in complex situations.
- Managers and staff will learn to recognise when a decision must be subjected to methodical moral judgment, and will proceed accordingly.
- There will be fewer morally wrong decisions and a greater number of morally right decisions.
- Morally wrong decisions already taken will be recognised as such more often, whereupon there will be greater opportunity to rectify any harm caused.
- Moral stress and moral injury will be prevented or mitigated.
- The organisation's decisions and actions will be more likely to respect the interests of the various stakeholders.
- The organisation will be more likely to act in accordance with justice.
- Stakeholders and society at large will have greater trust and confidence in the organisation.
- The organisation will gain authoritative moral knowledge and experience, which provides direction and can have a corrective effect.
- The mission statement and guiding principles will be subject to empirical testing against the work-related case histories and can be adjusted as necessary.
- The organisation will learn to recognise core dilemmas whereby managers and staff will be encouraged to apply a consistent approach to decision-making.
- The Code of Conduct will be refined and will enjoy greater support from all stakeholders.
- Mission drift and mission overdrive will be identified at an early stage whereupon corrective measures can be taken.

# 6.

## ABOUT ZERO TOLERANCE

Organisations which encounter (unexpected) integrity violations, possibly for the first time, will often experience a sense of shock, accompanied by indignation. If the reputation of the organisation is at risk, shock and indignation can prompt a desire for retribution. Where the violation has claimed a victim within a values-driven organisation, there may also be a sense of horror. In such cases, the organisation can succumb to the phenomenon that integrity professionals term the ‘repressive reflex’. It attempts to resolve problems by means of an extremely restrictive and punitive regime.

In the context of the repressive reflex, we often encounter another term: ‘zero tolerance’. The correlation between them is so close that we can regard the application of a zero tolerance policy as a symptom that almost unerringly indicates that the repressive reflex is at work.

Zero tolerance, as part of the repressive reflex, is frequently interpreted as an automatic link between the violation in question and the perpetrator’s dismissal. Their removal from the organisation is seen as the only appropriate response. This is often compounded by the idea that integrity violations are always deliberate, being committed solely by persons of ill will. The conventional wisdom is that the rotten apples must be removed from the barrel at the earliest opportunity. Less frequently, but still often enough to warrant a word of caution, zero tolerance is used to justify applying a significantly lower burden of proof. To protect the organisation’s reputation, people are dismissed, not accepted for a position or transferred elsewhere solely on

the basis of rumour or allegations that have not been investigated, much less proven.

The repressive reflex in general, and these interpretations of zero tolerance in particular, can have disastrous consequences for the organisation’s integrity system. The almost-automatic link between offence and dismissal precludes any consideration of the proportionality of the disciplinary action/punishment in relation to the severity of the offence. There is no longer any differentiation in terms of culpability or the degree of ‘malice aforethought’. Any responsibility that the organisation may have for creating the situation in which the violation occurred is ignored out of hand. As a result, disciplinary actions/punishments can be excessive; an employee’s contract is terminated while some lighter sanction would have been more appropriate. The injustice suffered by the employee in such cases is reason enough to break the automatic link between a violation and dismissal. There are other reasons as well: all employees will soon notice that the punishment does not fit the crime, whereupon they will be less willing to report any violations that come to their attention. They will also be less willing to cooperate with any investigation, while overall confidence in the integrity system will evaporate. The overall result is that there will be no reduction in integrity violations: quite the reverse. There will be an increase because the preventive system and the repressive apparatus are no longer fully effective. The idea that someone who commits an integrity violation always does so deliberately and maliciously can only undermine the mutual trust that should underpin every organisation. It is simply not true. As stated elsewhere in this document, the majority of violations are due to ignorance of the rules, ineptitude or, most often, temptation created by a specific situation. Applying a lesser burden of proof can only lead to even greater injustices against those accused of violations (who may well be entirely innocent) and hence to an even greater erosion of trust and confidence in the integrity system and the organisation as a whole.

# 7.

## ABOUT PROGRAMME PARTICIPANTS, TARGET GROUPS, COMMUNITIES AND CHAINS

The only acceptable interpretation of zero tolerance is that certain types of integrity violation will not be tolerated under any circumstances. The organisation must then be seen to go even further in terms of preventive measures. It must announce that all reports and complaints will be dealt with in an appropriate manner. If, following careful investigation, it is proven that someone has indeed committed an integrity violation, the disciplinary action/punishment must be proportional. To proclaim zero tolerance is only meaningful if certain violations have in the past, been tolerated, or neglected, or treated with impunity by the organisation.

### Case 7: Am I allowed to comfort you?

*“As volunteers, we know that we should never be alone with children or young people. We are well trained, know the Code of Conduct and have signed it. Recently, however, I saw a five-year-old girl crying her eyes out because she had fallen over. I went to comfort her and she rushed into my arms. I saw one of the other volunteers looking at me with raised eyebrows. But we have to be able to comfort children. They need it. But yes, a man is never trusted with young children these days. Later, the other volunteer approached me and whispered, ‘zero tolerance!’”*

Almost all organisations experience the problem that programme participants (patients, students, donors, etc.), their families and communities make little or no use of the existing reporting channels. Given their high degree of dependence, they are at greater risk of becoming the victim of an integrity violation, particularly financial violations such as extortion or interpersonal violations such as sexual harassment. Organisations are strongly urged to conduct professional risk analyses in order to determine how great the risks are and to identify effective prevention measures. The results can then be shared with the sector as a whole, which will help to ensure rapid implementation of measures that have been shown to work. The first priority should be to ensure that access to reporting channels is improved for all participants.

Many organisations work as part of a chain of partners who jointly undertake a project or programme. The partnership arrangements can take many different forms. There may be a local partner charged with the actual implementation of a project that has been set up and financed by an international organisation. Perhaps several international organisations work together, pooling

their resources to provide humanitarian aid in response to a disaster. There can even be complex interrelationships within one and the same organisation that, for legal reasons, operates as several formally independent entities.

All such chain structures raise their own issues in terms of the integrity of the organisations involved. “If I see someone from another organisation committing an integrity violation, am I supposed to report it? And if so, to whom?” “We have a zero tolerance policy on corruption. I therefore leave everything to do with accommodation, communication, permits and the other administrative matters to the local partner.” “An allegation was made against someone employed by our Canadian division who was working on a project being run by the French division. A report was made to the international headquarters.” The basic principle when dealing with integrity issues within the chain is that everyone is jointly responsible. There must be no ‘passing the buck’ or hoping that someone else will take action. This is the only way to ensure that victims do not fall between the cracks, that fraud and corruption cannot take place with impunity, that mission drift does not go uncorrected and that employees do not suffer ongoing moral injury. The best way of responding to an issue is often a practical question, and sometimes one of legal jurisdiction. When seeking solutions, the sector-wide learning community can once again prove its worth.

# 8.

## ABOUT VOLUNTEERS

One of the most significant differences between most civil society organisations and those in the public and private sectors is that the former rely to a significant degree on volunteers. Clearly, the integrity system of such an organisation must take its volunteers into account.

Exactly how it should do so remains an open question, for several reasons. Firstly, the precise role of volunteers can differ from one organisation to another. In some they work in the administrative offices, while in others they work in the field. Some organisations have volunteers active in fundraising. Secondly, the number of volunteers can vary significantly between organisations: anywhere from three to hundreds or thousand. Thirdly, there are differences in terms of legal status, the number of hours devoted to the organisation and the degree of responsibility they have.

The organisation cannot disclaim responsibility for its volunteers and their actions. A basic requirement is that all must be subject to the Code of Conduct, and that all must be aware of its contents. The reporting system must also be available to volunteers and any reports they make must be followed up, just as if those reports were made by a paid employee.

One of the first tasks of the sector-wide learning community must be to make an inventory of the various ways in which volunteers are deployed, and the specific vulnerabilities this creates in terms of potential in-

tegrity violations. At a later stage, a risk analysis within a selected organisation will provide more accurate information about the actual risks, whereupon practical recommendations for risk reduction strategies can be produced. All organisations will then be able to implement an appropriate prevention programme.

# 9.

## ABOUT SMALL ORGANISATIONS

There are many small organisations active in the non-profit sector. It might seem that the requirements set out in this document for an organisation with, say, ten or fifteen paid employees cannot be implemented on a smaller scale. It may even appear to be unnecessary.

Unfortunately, having only a handful of employees does not exempt an organisation from having to make difficult and complex decisions whereby a poor choice will have far-reaching negative consequences. Neither are small organisations immune to integrity violations, which must be reported like any other.

While we accept that it will be difficult for a small organisation to structure an integrity system in the way described in this Guide, it is certainly not impossible. The ‘how’ may differ but the ‘what’ must be the same.

In any event, even the smallest organisation must designate a member of its paid staff as being responsible for integrity. Similarly, there must be a member of the supervisory body with the same role. There must be a

Code of Conduct, the contents of which are known to all stakeholders and can be discussed openly. There must be someone who takes the role of person of trust and there must be a contact person to whom reports are made: these roles can be taken by someone outside the organisation itself. The employees of a small organisation must think about and discuss vulnerabilities and risks. If necessary, an external specialist should be called in to assist. Introducing the moral learning process is relatively easy for small organisations since it is best conducted in small groups. They must however have professional support. Finally, the organisation should select preferred suppliers for any disciplinary investigation and determination of disciplinary action/punishment that may arise.

Small organisations can benefit greatly from the joint resources provided by the sector federations.

# 10.

## ABOUT COMMUNICATION

Organisations must develop a long-term communication strategy with regard to integrity. This strategy should have three key elements.

- A. Reporting on the slow-but-steady progress made in developing an effective integrity system. Information about progress frames all other communication: “We take our responsibility seriously. We are working conscientiously to ensure the ongoing integrity of our organisation. We are doing so to

do right by all stakeholders. We are working on the ethos of everyone who works for us. We are working to prevent integrity violations. We are working to ensure that any violations that do occur are reported and are given all due attention.”

- B. Communication must make clear that having a better integrity system will eventually lead to fewer violations, although at first there is likely to be a greater number of reports. If this is indeed the case, the organisation should present the increase in a positive light. “During the past year, the number of reports concerning suspected integrity violations has increased by two hundred per cent. This confirms that the new, low-threshold reporting system we have introduced is beginning to work. All reports have been followed up. Those alleging sexual harassment were not only investigated but also linked to an internal campaign designed to impress upon all staff that such conduct is unacceptable and will not be tolerated. We have every confidence that the combined effect of the increased number of reports, a consistent response and the campaign will result in a marked reduction in incidents of sexual harassment in the years ahead.” The organisation should take a similar approach in communications about other issues that have generated negative publicity. “Our attention has been drawn to media reports of suspected corruption at our national office in X. We are about to launch a thorough investigation into these allegations. An experienced team of internal and external experts is ready to travel to X. In recent years, this team has successfully resolved a number of comparable cases elsewhere and we have every confidence that it will do so again. In 2017 we introduced a programme targeting locations that are particularly susceptible to corruption. Working alongside our local partners, our aim is to develop methods and procedures to minimise such risks in future.”
- C. The central tenets of all communication about integrity must be ‘truth’ and ‘justice’. This entails that

the organisation must not exaggerate the progress it has made and must report its setbacks and problems as fully as it does its successes. Unjust or disproportionate damage to the reputation of individuals must be avoided, even if this leads to reputational damage to the organisation itself. Where victims do not want their experiences to be reported, their wishes must be respected. Any failures on the part of the organisation that have contributed to an integrity problem must not be concealed or downplayed.

In all specific cases of (alleged) integrity violations, the interests of due process and victim support must always take priority over those of communication. For example, information contained in a report made through the formal channels may not be divulged to anyone who is not directly involved in the preliminary investigation and any disciplinary investigation. Where possible and appropriate, the names of both the victim and the (alleged) perpetrator must not be made public. If the allegations are already public knowledge, or if rumours have been circulating, an outcome that exonerates the alleged perpetrator (who is found to be innocent) should be communicated in such a way as to restore their reputation to the greatest extent possible. Other stakeholders who could suffer reputational damage from an incident that is likely to attract wider publicity may be informed of the situation, on condition that they too undertake to prioritise due process and victim support. Communication concerning specific incidents demands careful moral deliberation about each individual case.

# 11.

## ABOUT SECTOR-WIDE SUPPORT FOR INTEGRITY BY BRANCH ORGANISATIONS

The following summary presents options and suggestions.

1. Bring Integrity Officers and relevant professionals together in a sector-wide learning community. The main aims of this learning community will be to share knowledge and experience about the development of integrity systems, ongoing ‘on-the-job’ training for Integrity Officers, case histories arising from the moral learning process, risk analysis results, investigation procedures, advice on appropriate disciplinary actions/punishments, and communication concerning integrity matters. The learning community can develop joint moresprudence and could also initiate joint campaigns addressing specific moral risks or violations. The learning community should have professional support and guidance. The secretarial function can be performed by the sector organisations.
2. Develop and, in association with professional providers, offer sector-specific basic training for Integrity Officers, persons of trust, and the managers and directors with responsibility for integrity.
3. Provide members with information about professional providers of integrity-related services. These services fall into several categories: development of the integrity system, moral judgement training, moral deliberation, development of moresprudence, moresprudence research, risk analysis addressing specific processes or violations, prevention programmes, investigation support, specialist investigations (financial, misuse of power or position, interpersonal violations), mediation and victim support, advice on disciplinary actions/punishments, legal representation in court, and communication. Where possible, offer a wide choice of provider. Exercise caution when making recommendations to avoid unfair competition.
4. Establish a whistleblower reporting point for the entire sector. Communications should stress that it does not replace the internal reporting point but complements it as a ‘court of last resort’. Authorise the external reporting point to protect the identity of those who make reports and to ensure that the organisation concerned provides an adequate response.
5. Develop a communication commission for integrity. This commission must be asked to advise on all integrity issues that bring a major risk of adverse publicity. The commission acts as both a review board and a switchboard. It is a review board in the sense that its members are able to advise and support the organisation affected by the integrity issue. It is a switchboard in the sense that it will inform all relevant stakeholders of the situation in a timely manner and, where necessary and appropriate, will coordinate their respective communications. In some cases it may even be useful to implement a joint communication strategy whereby the organisations help each other to present the truth in an open and effective way. The organisation concerned will maintain overall control of the manner in which it chooses to communicate with its own stakeholders.



# APPENDIX 1

## PARTOS CODE OF CONDUCT 2018

Amendment to Chapter 2, Professional organization: new paragraph on integrity

### 7. AN EFFECTIVE INTEGRITY SYSTEM\*

The members of Partos:

- a. have a Code of Conduct which defines the standards and values of the organisation in a clear and concise manner. The code covers all aspects of integrity, as listed under b) below, and defines what is considered unacceptable behavior and sets out how potential victims are protected and receive good care. The Code of Conduct is readily accessible and published on the website.
- b. have an integrity system, including a Code of Conduct, which devotes attention to the following:

#### *Misuse of power or position*

1. Corruption.
2. Conflicts of interests and partiality (e.g. nepotism, favouritism).
3. Manipulation or unauthorised divulgence of information.

#### *Financial violations*

4. Fraud.
5. Misuse or improper use of resources; theft.
6. Tax evasion or asset management/investment policy contrary to the organisational purpose and objectives.

#### *Interpersonal violations*

7. Unwanted intimacy, sexual intimidation and sexual violence.
8. Aggression, discrimination and bullying.

- c. will translate their Code of Conduct into guidelines and instructions for any people and parties who act on behalf of the organisation (such as service providers and partner organisations).

An organisation is integrity-compliant if it consistently acts in accordance with justice, i.e. doing right by all people and organisations with whom it works.

a) The Code of Conduct forms the basis of the integrity system. The Code defines the actions and behaviours which will not be tolerated by the organisation and which may therefore result in disciplinary action/punishment.

c and d) Primary responsibility for the integrity of an organisation rests with its highest level of management. Next in line is the supervisory body (the board), followed by each and every member of the organisation's staff. Management may opt to partially delegate responsibility to specific officers or bodies (or one or more integrity officers) within the organisation, and will give them the mandate to carry out whatever practical activities are required to ensure that all requirements are met.

e-2) The reporting system has an initial point of contact who acts as a portal to the integrity system: the person(s) of trust. The task of the person of trust is to provide first-line support to the victims or witnesses of integrity violations. All conversations with a person of trust are treated in the utmost confidence. The initial meeting with the person of trust serves several purposes. It is an opportunity for the employee concerned to tell his or her story, whereupon it becomes possible to determine whether it is about a potential integrity violation, if so, what the best possible course of action might be. The interests of victim and witness are paramount. Under no circumstances can the person of trust also be the person who receives formal reports within the integrity system, since this denies the employee the opportunity of deciding not to report the incident, whilst also making it more difficult to make referrals to other sources of assistance.

e-1 en 3) The reporting system must have three separate channels through which a report can be submitted by any person who is the victim of, or witness to, an integrity violation.

The first channel is the organisation's management. Where a report is made to the management, it is not possible to protect the identity of the person making that report. The second channel is through the Integrity Officer or Integrity body. It is then possible to protect the identity of the person making the report. The third channel must be external. Arrangements

- d. will assign overall responsibility for the integrity system to a director or management team member, while assigning relevant supervision to a member of the supervisory body.
- e. have one or more sufficiently equipped staff members who are engaged in policy formulation, advice and practical implementation of integrity matters.
- f. for the reporting of violations, have in place:
  1. a person or unit to whom reports can be submitted in an easily accessible, safe and confidential way by staff, volunteers and other stakeholders
  2. one or more persons of trust
  3. formal arrangements with an external whistleblowers authority.
- g. have available capacity and expertise (either in-house or externally) to:
  1. investigate reports
  2. advise on proportional disciplinary action/punishment, including possible legal action
  3. advise on appropriate victim support or compensation
  4. take decisions on measures to be taken and implement them
  5. advise on appropriate communication about any integrity violations.
- h. ensure that all target group, members of staff, volunteers and those acting on behalf of the organisation are aware of the Code of Conduct, guidelines and reporting procedures, and are alert to their proper application.
- i. identify, at appropriately regular intervals, all relevant integrity risks.
- j. introduce a moral learning process, to include a system of regular moral deliberations about issues and dilemmas put forward by staff.
- k. devote a part of the organisation's Annual Report to integrity, and include information about:
  1. the manner in which the organisation complies with all above requirements
  2. the number and nature reports about integrity violations and the action taken in

must be made with a whistleblower authority. It is then possible for an employee to report a suspected violation if he has no confidence in the organisation's management or integrity body. Clients, programme participants, volunteers, employees of partner organisations and other stakeholders within the chain must also be able to report suspected integrity violations. They will do so either through the Integrity Officer or Integrity body, or to the external whistleblowers authority.

f) When the Integrity Officer receives a report (through any of the three channels) she will initiate a preliminary investigation, the purpose of which is to determine whether a full disciplinary investigation is warranted or whether some alternative form of action is necessary. If the Integrity Officer concludes that further investigation (by internal or external specialists) is warranted, she will make a recommendation to the director or to the member of the executive board responsible for integrity. The director makes the final decision about any disciplinary action/punishment.

g) The production of the Code of Conduct, its dissemination among stakeholders and open discussion will have a preventive effect. This establishes the standards. Discussion will serve to resolve much of the ignorance of the rules that can lead to integrity violations. It is a question of clarifying precisely what is forbidden and the underlying reasons for it.

h) The organisation must be aware of the specific vulnerabilities of processes and functions that are particularly susceptible to certain types of violation. On the basis of this, the organisation should then conduct regular risk analyses. The risk analyses should be based on interviews, observation and scrutiny of relevant documentation, in order to gain an accurate picture of the situation on the workforce, the immediate integrity risks and the factors within the broader context that are likely to exacerbate these risks. The analyses will give rise to recommendations for improvement of processes and process structure, controls and training for both management and staff.

i) The embedding of a moral learning process within the organisation will support staff and managers who are required to take important, difficult and doubtful decisions. The organisation should provide training in moral judgement for all staff and managers. This will enable them to assess whether their own actions and decisions are in accordance with justice. The key here is the ability to carefully weigh the rights and interests of all stakeholders. It is this careful weighing that will ensure that a decision and subsequent action are in accordance with justice. .

j) Organisations must develop a long-term communication strategy with re-

response to those reports

3. reflection on the organisation's own integrity policy.

\* The practical implementation of the integrity system can be adapted according to the nature and size of the organisation. A principle of 'apply or explain why not' must be observed.

gard to integrity. It is important to report on the slow-but-steady progress made in developing a fully functional and effective integrity system. Organisations should make clear that a better integrity system will in time lead to fewer integrity violations, although the number of reported incidents is likely to increase at first. If there is indeed an increase in reported violations, the organisation should present this as a sign of success. It is essential that truth and justice should be leading principles in all communications around integrity. The organisation must not exaggerate the progress it has made. It must report any setbacks and problems with the same candour as it reports its successes. It must also seek to avoid any unfair or disproportionate reputational damage to individuals.

#### 4. Transparency and accountability

The members of Partos commit to the following principles with regard to transparency and accountability:

- a. They provide clear information about their objectives, policy, decision-making procedures, use of resources, activities, progress, results, evaluations, business operations and integrity issues both in the Netherlands and in the field.

#### Addition to 2. Professional organisation, para. 5a:

The members of Partos:

- a. apply and observe clear guidelines with regard to the health, safety and welfare of all staff and volunteers working in the Netherlands and elsewhere. Each member is expected to make a full safety and integrity risk analysis, identifying risks to its own staff and volunteers as well as to other parties to whom it has a duty of care. Appropriate risk reduction or prevention measures must be taken.

# APPENDIX 2

## ACCREDITATION REQUIREMENTS

The accreditation system has four categories – A to D – each of which has its own standards. An organisation's income determines the category into which it falls.

The Accreditation Requirements show mandatory 'standards' in bold type letter-type, together with 'points for discussion' in normal print. An organisation must meet all standards to qualify for accreditation. Chapter 6 of the Accreditation Requirements is concerned with integrity. The standards and points for discussion are identical for categories A and B, and also for categories C and D. The same goes for Chapter 7, which is concerned with accountability and integrity. As with Chapter 6, the standards and points for discussion are the same for categories A and B and for categories C and D.

Below is an overview of the standards and points for discussion which are to be included in the Accreditation Requirements, with references to the relevant pages of the Guide.

### Categories C and D

#### 6. INTEGRITY

##### 6.1. Code of Conduct

**6.1.1. The organisation has a Code of Conduct which explicitly describes the standards and values of by the organisation.**

**6.1.2. The Code of Conduct must always address (sexually) undesirable behaviour**

**6.1.3. The organisation will give insight into the way in which it encourages integrity amongst employees and others connected to the organisation.**

##### 6.2 Internal organisation

**6.2.1 The organisation has an integrity policy and will provide insight into the way in which responsibility for that integrity policy is organised.**

##### 6.3 Reporting of integrity violations

**6.3.1. The organisation has a point where reports of (suspected) integrity violations can be made in a safe, confidential and accessible manner by anybody.**

### Categories C and D

An organisation is integrity-compliant if it consistently acts in accordance with justice; that is to say, the organisation does right by the persons and organisations with and for whom it works.

6.1 The basis of the integrity system is the Code of Conduct, which explicitly sets out the forms of behaviour which are considered unacceptable and may therefore result in disciplinary action/punishment.

*Guide pages 9 and 15.*

6.2 Primary responsibility for the organisation's integrity rests with the executive board and management. The supervisory body oversees this. Thirdly the responsibility for integrity lies with each and every employee within the organisation. Management may delegate part of its responsibility to one or more persons or groups within the organisation, such as the Integrity Officer(s) or Integrity body, who will be authorised to undertake certain practical activities.

*Guide page 6.*

6.3 The reporting system has an initial point of contact who acts as a portal: the person of trust. The task of the person of trust is to provide first-line support to the victims or witnesses of integrity violations. All conversations with a person of trust are treated in the utmost confidence. The initial meeting with the person of trust serves several purposes. It is an opportunity for the employee concerned to tell their story, whereupon it becomes possible

to determine whether the complaint is about a possible integrity violation and, if so, what the appropriate course of action may be. The interests of victim and witness are paramount. Under no circumstances can the person of trust also be the person who receives formal reports within the integrity system, since this denies the employee the opportunity of deciding not to report the incident. It will also make it more difficult to make referrals to others in the integrity system.

The reporting system must have three separate channels through which a report can be submitted by any person who is the victim of, or witness to, an integrity violation.

1. The management. Where a report is made to management, it is not possible to protect the identity of the person making that report.
2. The contact person of the integrity system, such as the Integrity Officer or Integrity body. It is then possible to protect the identity of the person making the report.
3. An external Whistleblower Authority, which can receive reports from an employee who has no confidence in the organisation's management or integrity body. Clients, programme participants, volunteers, employees of partner organisations and other stakeholders within a chain must also be able to report integrity violations. They can do so either through the Integrity Officer or the Integrity body, or to the external Whistleblower Authority.

*Guide page 9.*

##### 6.4 Investigation and measures

**6.4.1. The organisation will give insight into how it ensures that:**

- a. reports are investigated
- b. adequate measures are taken, whereby attention is also devoted to the provision of appropriate support to the parties involved, and to communication.

6.4 When the Integrity Officer receives a report (through any of the three channels) she will initiate a preliminary investigation, the purpose of which is to determine a full disciplinary investigation is warranted or whether some alternative form of action is indicated. If the Integrity Officer concludes that further investigation (by internal or external specialists) is warranted, she will make a recommendation to the director or member of the executive board responsible for integrity. The director makes the final decision with regard to the imposition of any disciplinary action/punishment.

*Guide page 12.*

##### 7.1 Annual Reports

(...)

**7.1.3. The organisation's Annual Report must devote attention to the integrity of the organisation. it must include information about:**

- a. the manner in which the requirements of article 6 are met;
- b. the number and nature of reported violations

- and how these are handled;
- c. a reflection on the organisation's own integrity policy.

#### 7.2. Information provision

(...)

- k. an overview of the Codes of Conduct, including the code referred to in para. 6.1.1.;
- l. the complaints procedure and the reporting procedure (if available) and any separate complaints procedure for integrity violations.

#### 8.1 Communication

##### **8.1.1. The organisation has a current policy for communication with stakeholders.**

**This policy must devote attention to:**

(...)

- c. The manner in which information about integrity violations, as intended in Art. 6, is communicated.

See also the Guidelines on External Accountability.

8.1 Organisations must develop a long-term communication strategy with regard to integrity. It is important to report on the slow-but-sure progress made in developing a fully functional and effective integrity system. Organisations should make clear that a better integrity system will in time lead to fewer integrity violations, although the number of reported incidents is likely to increase at first. If there is indeed an increase in reported violations, the organisation should present this as a sign of success. Finally, it is important that principles of truth and justice are observed in all communication about integrity. The organisation must not exaggerate the progress it has made. It must report any setbacks and problems with the same candour as it reports its successes. It must also seek to avoid any unfair or disproportionate reputational damage to individuals or other organisations.

*Guide page 29.*

#### Categories A and B

### **6. INTEGRITY**

#### **6.1.1 The organisation will give insight into how it tries to prevent all forms of violation.**

6.1.2 The organisation will describe the forms of violation to which it is alert in the context of its objectives and target group.

6.1.3 The organisation will explain how violations can be reported safely and will state which actions will be taken in response to a report.

#### Categories A and B

See Chapter 9 of the Guide, which deals specifically with small organisations.

An organisation is integrity-compliant if it consistently acts in accordance with justice, i.e. with due respect for the rights and interests of all stakeholders with and for whom the organisation works.

6.1 The Code of Conduct forms the basis of the integrity system. The Code defines the actions and behaviours which will not be tolerated by the organisation and which may therefore result in disciplinary action/punishment. *Guide pages 9 and 15.*

See page 10 of the Guide for information about the reporting system. The director makes the final decision about whether or not to impose any disciplinary action/punishment. *Guide page 13.*