

Guidelines for GGGI Anti-Corruption Policy and Whistleblower Policy

Approval Authority:	Deputy Director-General and Head of Management and Administration	Date Approved:	2 July 2015
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1. GENERAL

1.1 These guidelines are issued to supplement the provisions of the Anti-Corruption Policy and Whistleblower Policy of GGGI and therefore should be read in conjunction with these Policies.

1.2 These guidelines should be followed for reporting and investigation of instances of misconduct, Retaliation or integrity violation, including violation of the Anti-Corruption Policy.

1.3 Capitalized terms used herein and not otherwise defined, shall have the meanings ascribed to such terms in the Anti-Corruption Policy or the Whistleblower Policy (“WP”), as applicable.

1.4 These guidelines are effective from the date of approval.

2. REPORTING OF INTEGRITY VIOLATION AND MISCONDUCT

2.1 Reports of any suspected integrity violation or misconduct must be made through the online Whistleblower Report Form which is available on the GGGI website: <http://gggi.org/whistleblower-report>.

2.2 Upon submission of the report, a notice email (without the content of the report) will be automatically sent to a designated external party (“Designated External Party”)¹ on a confidential basis, alerting that a report has been made to the Deputy Director-General and Head of Management and Administration (“DDG-M&A”) or the Chair of the Council. Thirty days thereafter, the Designated External Party will alert the Head of the Office of Internal Audit and Integrity, the Director-General (“DG”) and the DDG-M&A (or, where applicable, the Chair of the Council) that a report has been submitted.

2.3 No approvals or authorizations are needed by staff to report a suspected integrity violation or misconduct.

2.4 A Whistleblower must make the report in good faith and must submit information or Evidence in sufficient detail to support a reasonable belief that integrity violation or misconduct has occurred (para. 1.2.4 of WP). This information should include: (i) what alleged wrongdoing the Whistleblower is reporting; (ii) the specific basis for suspecting that wrongdoing has occurred (e.g., the source of information); (iii) dates and times, if available; (iv) specific location where alleged wrongdoing occurred; (v) how the individual or entity perpetrated the alleged wrongdoing; (vi) why the individual or entity committed the alleged offense, if available; (vii) why you believe the activity was improper; (viii) what documentation exists to corroborate the allegations; and (ix) names of other Witnesses to the alleged wrongdoing. A Whistleblower should submit, with the report or separately, any documents, photographs, or other physical Evidence of the alleged wrongdoing.

¹ To be designated by DG on an annual basis.

2.5 Open reporting is strongly encouraged (para. 1.2.3 of WP). However, if a Whistleblower chooses to remain anonymous, he/she should provide a means by which DDG-M&A or the Chair of the Council may contact him/her, such as a free web-based e-mail address with a pseudonym, if further information or clarification is needed. No action will be undertaken to trace the Whistleblower's identity.

2.6 GGGI will use all available means, including physical, electronic and procedural controls, to maintain the confidentiality of identities of and information obtained from Whistleblowers and Witnesses (para. 1.2.5 of WP). Access to files and records will be restricted to DDG-M&A, DG, the Chair of the Council and persons authorized to conduct investigations under these guidelines. Staff involved in an investigation in any capacity are required to preserve and protect the confidentiality of information related to investigations, including the identity of the subjects of investigation, Witnesses, or other parties concerned.

3. INVESTIGATION OF INTEGRITY VIOLATION AND MISCONDUCT

3.1 When an incident of integration violation or misconduct is first reported, a preliminary inquiry is normally undertaken to determine whether there is sufficient basis to warrant further proceedings. DDG-M&A decides whether such preliminary inquiry is warranted and, if yes, may assign it to qualified persons internal or external to GGGI, depending on the nature of the reported incident. The report will be examined to determine whether it is:

- a. within GGGI's jurisdiction - is it GGGI-related activity;
- b. credible - is there a reasonable possibility that it occurred;
- c. verifiable - are there practicable options to obtain sufficient Evidence to determine the truth of the allegations; and
- d. material - is the matter sufficiently important to justify investigation and any remedial action.

3.2 Based on the outcome of the preliminary inquiry, DDG-M&A will decide whether to close the case or to proceed with an investigation to determine the substance and circumstances of the case. If the case is closed, DDG-M&A will inform DG, Designated External Party and other relevant parties of the closure of the case.

3.3 If DDG-M&A decides to proceed with an investigation, he/she may appoint an investigative team that will investigate the matter and report to DDG-M&A the facts that have emerged from the investigation and recommend what action or actions to take, if any. Normally, the investigation (including the preliminary inquiry) will be completed and the investigative report submitted to DDG M&A not more than 30 days after the integrity violation or misconduct is reported. The composition of the investigative team will be decided on by DDG-M&A and may consist of officials from the Office of Internal Audit and Integrity ("OIAP"), subject matter experts, external consultants or any other parties that seem best suited to conduct a particular investigation.

3.4 DDG M&A or the investigative team may:

- a. call upon any person for the production of documents believed to have probative value;
- b. interview any person who is believed to have knowledge of the events in question; and
- c. consult persons believed to have, or materials believed to contain, information of probative value to the investigation.

3.5 A staff member who is a subject of an investigation may be accompanied at investigation interviews by another staff member who is reasonably available and who is not connected to the matter under investigation. The presence of such a person will not relieve the subject of the obligation to respond personally in the matter under investigation. Members of the GGGI Legal Services Department and OIAI may not represent, advise or otherwise assist a subject of an investigation in connection with investigations.

3.6 DG may take appropriate measures to safeguard security and interests of Whistleblowers and Witnesses who are staff members in accordance with the Chapter 4 of WP and the Staff Rules.

3.7 The investigative team will prepare an investigative report containing investigative findings based on the facts, statements and information obtained from the subject and Witnesses and related analysis, evidence gathered, and recommendations, as appropriate, to DDG M&A that are derived from the investigative findings.

3.8 If there is no sufficient information during the investigation to substantiate the allegation, DDG M&A will close the investigation and notify DG, Designated External Party and other relevant parties.

3.9 If the investigative report indicates that a staff member committed an integrity violation or misconduct, DDG M&A will provide a copy of the investigative report to the staff member and DG. Within 15 calendar days of receipt of the report, DG will decide whether to accept the findings and on the appropriate remedial actions to be taken and proceed under Staff Rule 11 for the process leading to a disciplinary measure.

3.10 If the investigative report indicates that a non-staff member committed an integrity violation or misconduct, that person will be provided with a copy of the investigative report at the conclusion of an investigation in order to afford the subject an opportunity to comment on the findings. The amount of time allowed to the non-staff member to comment will take into account the complexity and seriousness of the matter, but will not be less than 5 business days. The report, along with the subject's comments and a response from the person conducting the investigation will be submitted to DG for a decision. External persons may have their contract(s) terminated, proposal(s) for award of contract rejected or award(s) of contract cancelled or withdrawn, may be declared ineligible to participate in GGGI-financed or GGGI-supported activities, or may be subject to sanction or other remedial action (Procurement Rule 2.6).

3.11 In the event that a report of integrity violation or misconduct of the staff in the Executive category is made to the Chair of the Council, the Chair may use the procedures provided in this Chapter 3 or take other procedures to investigate and make decision on the course of actions to be taken in response to such a report.

4. REPORTING AND INVESTIGATION OF INSTANCES OF RETALIATION

4.1 Whistleblowers or Witnesses may report instances of Retaliation through the same online Whistleblower Report Form provided in para. 2.1 of these guidelines and must comply with the same requirements set out in Chapter 2 of these guidelines.

4.2 DDG-M&A will (and the Chair of the Council may choose to) review reports of Retaliation following the procedures set out in Chapter 3 of these guidelines, with the exceptions that:

- a. in case the report is regarding Retaliation by a staff member, DDG-M&A will refer the case to the Human Resources Department for further investigation; and
- b. in case the report is regarding Retaliation by an external party, DDG-M&A will refer the case to the OIAI for further investigation.

4.3 GGGI is not required to investigate reports of Retaliation reported more than one year after the date on which the Whistleblower or Witness becomes aware of the alleged Retaliation.

4.4 Investigation of instances of Retaliation does not have the effect of suspending action already taken against the Whistleblower or Witness.

4.5 If it is determined that a Whistleblower or Witness did experience Retaliation and that the Whistleblower's or Witness's report or cooperation in the investigation was a contributory factor in the Retaliation, the burden of proof will shift to GGGI to show by clear and convincing evidence that the same action against the Whistleblower or Witness would have been taken in the absence of the Whistleblower's or Witness's report or cooperation.

4.6 Upon conclusion of an investigation concerning Retaliation against a staff member, DG (or the Chair of the Council) and the affected Whistleblower or Witness will be provided with a report with findings and recommendation for remedial action (para. 3.4 of WP). Disciplinary measures imposed on another staff member will be handled in accordance with the provisions of GGGI Staff Regulations and Rules and shall not be disclosed. Within 15 calendar days of receipt of the report, DG (or the Chair of the Council) will decide whether to accept the findings and on the appropriate remedial actions to be taken and will inform the affected Whistleblower or Witness of the decision taken. The affected Whistleblower or Witness who is a staff member may appeal any decision of GGGI on the matter within 30 calendar days of receipt of such decision under the GGGI internal appeals system under Staff Rule 12 (para. 4.4 of WP).

4.7 Upon conclusion of an investigation concerning Retaliation against an external Whistleblower or Witness, DDG-M&A will provide a report with findings and recommendation for remedial action to the relevant GGGI department. Disciplinary measures imposed on staff members will be handled in accordance with the provisions of GGGI Staff Regulations and Rules and will not be disclosed. Within 15 calendar days of receipt of the report, the relevant department will decide on the remedial action to be taken and inform DDG-M&A and the affected Whistleblower or Witness of the decision taken (para. 5.3 of WP).