

Complaints and Whistleblowers' Regulations (for grant managers and external parties outside the EU)

1. Introduction.

Integrity, honesty, and transparency are important values at the Liliane Fonds and MIVA.

The Liliane Fonds/MIVA works in countries with a network of partner organisations. This network develops and implements country programmes. These programmes are managed by local grant managers. The Liliane Fonds/MIVA concludes a partnership agreement with the grant manager and the grant manager concludes agreements with the local partner organisations.

These regulations are aimed at grant managers who

1. have complaints about undesirable behaviour on the part of employees or others working for or on behalf of the Liliane Fonds and/or the MIVA Foundation. By undesirable behaviour we refer to all forms of behaviour that go against the law and the values of the Liliane Fonds and/or MIVA, and in particular: harassment, sexual harassment or sexual abuse, discrimination, aggression and bullying;
2. have complaints about the policies, activities, statements, or decisions of the Liliane Fonds and/or MIVA;
3. wish to report malpractices to the Liliane Fonds or MIVA. A malpractice occurs when the public interest is at stake, for example in the case of danger to public health or to the safety of persons.

Reports about fraud will be dealt with in accordance with the **anti-fraud regulations** if the report involves fraudulent behaviour by employees or others working for or on behalf of the Liliane Fonds and/or MIVA (see Annex 4: Anti-fraud regulations). Reports can be made to the integrity officer (email: integrityofficer@lilianefonds.nl or integrityofficer@miva.nl)

External parties outside the EU (for example local consultants) whose work has brought them into contact with the Liliane Fonds, MIVA or any of the grant managers can also report malpractices under these regulations.

Local partner organisations must contact the grant manager in the first instance, but can also use these regulations in the event of complaints about the grant manager.

Separate Whistleblowers' Regulations apply to employees of the Liliane Fonds and/or MIVA and external staff working in the EU.

All situations where undesirable behaviour is suspected or observed towards children or young people in projects and activities supported, initiated, and organised by the Liliane Fonds/MIVA or the grant manager/local partner organisation, can be reported directly to the child safeguarding focal point of the Liliane Fonds/MIVA (email: childsafereguarding@lilianefonds.nl) and the grant manager (see also Appendix 2 LF/MIVA Child Safeguarding Policy).

2. Hotline

2.1. Complaints about undesirable behaviour

a. Complaints about perceived undesirable behaviour on the part of employees or others working for or on behalf of the Liliane Fonds and/or the MIVA Foundation can be submitted in writing to the integrity officer (email: integrityofficer@lilianefonds.nl or integrityofficer@miva.nl). Complaints will also be made known to the Executive Director.

- b. Anyone who files a complaint in good faith can count on it being filed without threat of retaliation. If it turns out that the complainant is nevertheless adversely affected by the filing, this may lead to disciplinary action against the person who caused the harm.
- c. The complaint need not always relate directly to the complainant themselves; witnessing undesirable behaviour towards others is also included in this context.
- c. The complaint should be made in good faith and with substantiation.
- d. All complaints will be treated confidentially.

2.2. Complaints about policies, activities, statements, and decisions

Complaints about policies, activities, statements, or decisions of or by the Liliane Fonds and/or MIVA can be submitted in writing to the integrity officer (email: integrityofficer@lilianefonds.nl or integrityofficer@miva.nl). Complaints will also be made known to the Executive Director.

2.3. Reports of malpractices.

Examples of malpractice ('concerns that are in the public interest') are:

- *Actions that endanger the health and safety of staff or the public.*
- *Actions that cause damage to the environment.*
- *Deliberately providing false information to government officials.*
- *Miscarriages of justice.*
- *Unauthorised disclosure of confidential information.*
- *Intentionally concealing information relating to any of the above.*
- *Retaliation against anyone who speaks out or is a "whistleblower".*

- a. Reports of malpractices can be submitted in writing to the integrity officer (email: integrityofficer@lilianefonds.nl or integrityofficer@miva.nl).
- b. A report of a malpractice need not always relate directly to the reporting party themselves; witnessing malpractices is also included in this context.
- c. The reporting party must act in good faith and with due care and cannot make a report based on rumours or the accounts of others.
- d. The report may be made anonymously, or, at the request of the reporting party, be handled anonymously. When a report is made anonymously, it is not possible to speak to the reporting party directly. This makes it more difficult to investigate the report.
- e. While reporting malpractices through this procedure is recommended, you may also report them directly to the relevant authorities.
- f. Any party who reports a malpractice or suspected malpractice and who acts in good faith and with due care has their legal status protected. The Liliane Fonds and MIVA have drawn up these regulations to ensure that any party who makes a report in good faith is not adversely affected as a result of doing so.

3. Procedure

3.1. Complaints about undesirable behaviour

- a. All complaints are handled with the utmost care to reduce the likelihood of incorrect accusations. The integrity officer discusses the complaints with the Executive Director. The Executive Director will send an acknowledgement of receipt as soon as possible, but at the latest within 7 days, and will determine as soon as possible, but at the latest within 2 weeks, whether a complaint warrants an investigation and, depending on the nature of the report, who will be on the investigation committee.
- b. The Executive Director may request further information from the complainant or third parties to assess and/or settle the complaint. The Executive Director may also engage an external agency to conduct the investigation. If no investigation or further investigation is launched and the complaint is deemed unfounded, the integrity officer informs the complainant accordingly.
- c. The integrity officer records the complaint, date of receipt, and action taken in a complaints and objections register.

- d. Everyone working for or with the Liliane Fonds and/or MIVA has a duty to cooperate with the investigation.
- e. The relevant person against whom the complaint is made (the accused) shall be informed at the earliest possible time of being the subject of an investigation and its confidential nature. The person concerned is also given the opportunity to explain his/her actions according to the principle of hearing both sides.
- f. During the investigation, the Executive Director may make temporary arrangements (such as suspending the person in question).
- g. The final report shall include at least a statement on the following points:
 - Whether, and if so to what extent, the complaint is plausible;
 - Who has been affected by the complaint;
 - How the investigation was designed;
 - What the findings and conclusions are;
 - A recommendation to the Executive Director on the action to be taken.
- h. Within two weeks of receiving the opinion, the Executive Director will make a written decision on any action to be taken. If the Executive Director makes a decision that does not involve sanctions, even though the complaint has been declared well-founded by the investigators, this should be expressly noted in the decision, stating reasons. Those directly affected will be informed of the decision. Details will also be provided of the steps to be taken as a result of the report.
- i. If the complainant disagrees with the Executive Director's decision, the reporting party may, if they wish, seek advice on the next steps to be taken from the integrity officer.

3.2. Complaints about policies, activities, statements, and decisions:

- a. Complaints are handled by the general manager of the department/team to which the complaint specifically relates. Complaints will also be made known to the Executive Director and the integrity officer.
- b. The manager of the department or the Executive Director may request further information from the complainant or third parties to assess and/or settle the complaint.
- c. The integrity officer records the complaint, date of receipt, and action taken in a complaints and objections register.
- d. The complainant will receive a written response, signed or co-signed by the Executive Director, within 4 weeks at the latest.

3.3. Reports of malpractice:

- a. The integrity officer discusses reports of malpractice with the Executive Director.
- b. All reports are handled with the utmost care to reduce the likelihood of incorrect accusations.
- c. The Executive Director will determine as soon as possible, but at the latest within 2 weeks, whether a report warrants an investigation and, depending on the nature of the report, determines who will be on the investigation committee.
- d. The reporting party will be informed that an investigation is being launched and when they can expect to receive a response. All of the parties involved in handling a report will refrain from disclosing the reporting party's identity without this party's express written consent and will treat information about the report confidentially.
- e. If no investigation is launched and the report is found to be unfounded or implausible, the Executive Director will inform the reporting party accordingly.
- f. The Executive Director may also decide to have an investigation conducted by experts. The costs will be borne by the Liliane Fonds or MIVA.
- g. The final report shall include at least a statement on the following points:
 - Whether and, if so to what extent, the report is plausible;

- Who has been affected by the malpractice;
- How the investigation was designed;
- What the findings and conclusions are;
- A recommendation to the Executive Director on the action to be taken.

h. Within two weeks of receiving the opinion, the Executive Director will make a written decision on any action to be taken. If the Executive Director makes a decision that does not involve sanctions, even though the report has been declared well-founded by the investigators, this should be expressly noted in the decision, stating reasons. Those directly affected will be informed of the decision. Details will also be provided of the steps to be taken as a result of the report.

i. If the party reporting the malpractice disagrees with the Executive Director's decision, the reporting party may, if they wish, seek advice on the next steps to be taken from the integrity officer.

Entry into force of the regulations

- a. The integrity officer will ensure that these regulations are included in the Quality Manual and published on the English-language website.
- b. The integrity officer reports annually to the Executive Director on whether any reports of malpractice or suspected malpractice have been received and on how they have been handled.
- c. These regulations enter into force on 18 November 2025