

## **CORE VALUES**

1. We work to protect and promote the rights, culture and livelihood of local and indigenous peoples, and support approaches and initiatives that strengthen the voice and rights of forest dependent communities
2. Sustainable, forested landscapes are shaped by the dynamic interactions of people and forests. We support approaches that contribute to sustainable forest-based livelihoods, and management for multiple uses including biodiversity conservation, ecosystems services and cultural functions.
3. We support the adherence to national and international norms, laws and regulations that seek to protect, promote and uphold the rights of indigenous peoples and forest dependent communities and espouse principles of equity, social justice and sustainable development.
4. We recognize, advocate for and build upon indigenous knowledge systems and practices that contribute to sustainable management of, and expansion of livelihood opportunities in, forested landscapes.
5. Partnerships provide opportunities for expanded influence and impacts. We work through strategic partnerships with institutions, organizations and individuals on initiatives and advocacies that share the same goals.

## **CODE OF CONDUCT**

NTFP-EP believes in doing right for its staff and partners, and seeks to remain relevant and responsive to the needs and aspirations of the communities it serves. With this in mind, the objective is to consistently conduct all our affairs according to the highest standards and comply with all ethical principles and policies, as well as laws and regulations governing its activities.

The Code of Conduct standards are outlined as follows:

### Good Morals and Ethics

1. Practice honesty and integrity. Be honest at all times. Integrity is never to be sacrificed, not even to give the impression of foregoing integrity, either for personal gain or for the sake of the organization.  
Refrain from any and all instances of the following:
  - a. Intentional falsification of personal and organizational records
  - b. Theft, and unauthorized or inappropriate use of NTFP-EP assets/properties, including monies and intellectual property
  - c. Fraud and collusion to commit fraud
  - d. Corruption and bribery
  - e. Substance abuse and/or drunkenness
  - f. Any misdemeanor or crime
2. Observe good civic conduct by meeting all private, legal and financial obligations. This includes both formal and informal obligations.

### Professionalism

3. Observe NTFP-EP core values and ensure that all decision-making is based on objectives that support the strategic plan.
4. Contribute towards a harmonious workplace based on team spirit, mutual respect and understanding.  
Refrain from acts of impropriety, negligence or misconduct, which include, but are not limited to:
  - a. Inefficiency, incompetence or negligence of duty
  - b. Insubordination or refusal to comply with supervisor's instructions without justification, unless such instructions are illegal or will violate one's human rights
  - c. Deliberate or careless conduct, endangering the safety or self or others, including the provocation or instigation of all forms of violence
  - d. The use of inappropriate, including gender-insensitive, language

#### Equal and Inclusive Respect for Diversity

5. Treat all persons of all backgrounds and identities, equally without distinction, and in a manner that promotes respect and understanding of:
  - a. Fundamental human rights
  - b. Cultural diversity
  - c. Physical, mental or emotional condition of the individualThis includes, but is not limited to persons of any sexual orientation, gender identity and expression, race, ethnicity, culture, national origin, social and economic class, educational levels, color, immigration status, sex, age, size, family status, political belief, religion, and mental and physical ability.
6. Behave in ways that are culturally appropriate and in harmony with the environment. Respect the practices that are in place in the community.

#### Anti-Harassment, Coercion and Discrimination

7. Refrain from any and all instances of harassment, coercion and discrimination, especially when in a position of authority. These include, but are not limited to the following:
  - a. Maligning the character and reputation of another staff or partner
  - b. Abusive, threatening and coercive treatment of others, including physical abuse or the use of foul or abusive language
  - c. All forms of sexual harassment and exploitation especially against the vulnerable sectors, including women, children, and persons with disability (PWDs)
  - d. All forms of exploitation of children and violations against their rights, as indicated in the national and international legal mandates such as the UN Convention on the Rights of the Child, ILO Convention of Child Labor, among others

Under the Safe Spaces Act, employees and co-workers shall have the duty to:

- Refrain from committing acts of gender-based sexual harassment;
- Discourage the conduct of gender-based sexual harassment in the workplace;

- Provide emotional or social support to fellow employees, co-workers, colleagues or peers who are victims of gender-based sexual harassment witnessed in the workplace.

### Financial Management

8. Act in good faith, responsibly, with due care, competence and diligence, without misrepresenting any material facts relating to NTFP-EP, or allowing one's independent judgment to be subordinated or compromised.
9. Comply with all the rules and regulations of national, provincial and local governments, applicable public and private regulatory agencies or bodies, and act as appropriate to assure that NTFP-EP complies with all such rules and regulations.

### Confidentiality of Information

10. Respect the privacy of partners, donors, staff, volunteers, and NTFP-EP as an organization.
11. Refrain from disclosing even inadvertently any confidential information, except when authorized or otherwise legally obligated to disclose such information.

Confidential information shall mean any and all information relating to NTFP-EP business, including but not limited to, research and other work output such as diagrams, formulas, processes, know-how, designs, finances, suppliers, and marketing.

### Conflict of Interest

12. Whenever possible, avoid any actual or apparent conflicts of interest.
13. Declare any potential conflict of interest involving the individual and his/her immediate family in his/her capacity as a business owner, officer, board member or majority shareholder. The details of the declaration should be listed on the last page of the Code of Conduct at the outset of an employment contract, and updated any time of the year, as needed.

### Precautionary Principle

14. When in doubt about any item in this Code of Conduct, the individual shall exercise a standard of behavior that a person of reasonable prudence and reason would have done under the circumstances.
15. S/he can consult with his/her immediate supervisor if there is a need for further clarification.

## **ORGANIZATIONAL CODE OF CONDUCT**

The NTFP-EP Organizational Code of Conduct is included as an addendum to the Memorandum of Agreement that partners sign when entering into a partnership with NTFP-EP Asia in order to receive funds. This applies to all partners and communities working with NTFP-EP, including grantee recipients of funds received from NTFP-EP.

A copy can be found here (see details at the end of this document).

## **COMPLAINTS PROCEDURE**

### Definition of Terms

Integrity – having strong ethical and moral values and principles that govern honest, accountable and competent conduct

Complaint – documentation of grievance in writing by the Complainant regarding the conduct of NTFP-EP staff/consultant or an individual working with a partner organization

Complainant – the individual/entity who filed the written complaint

Accused – the individual/group of individuals who is accused of misconduct or violation

Grievance Committee – the internal committee responsible for investigating reports or violations or complaints of misconduct, comprised of 4 previously appointed NTFP-EP staff, usually for a term of 1 year

### Procedure

1. The complainant files an official complaint by writing an email to [integrity@ntfp.org](mailto:integrity@ntfp.org) or mailing a letter to:  
Integrity Officer  
20A Maaralin Street Barangay Central, Diliman,  
Quezon City, Philippines 1100
2. The complaint must include:
  - a. The date of writing
  - b. The name, address, and telephone number of the complainant
  - c. A short but detailed description of the complaint, including the grounds for the complaint
  - d. The date(s) on when the violation or misconduct took place
3. The Grievance Committee will:
  - a. Respect the confidentiality of the grievance/complaint to the greatest extent possible. This includes the identities of the accused, complainant, any witnesses involved, as well as any documents pertaining to the complaint;
  - b. Observe due process and shall investigate the nature of the complaint(s), taking into account all sides of the situation, and shall come up with an appropriate solution or decision on the complaint;
  - c. Where appropriate, shall adopt mediation, conciliation, arbitration, or any combination thereof, if both sides agree to the process;
  - d. Recommend its final decision in writing with supporting documents and all pages signed, to the Executive Director. The Committee is entrusted with the final responsibility for the interpretation, application, and administration of NTFP-EP human resource policies.
4. The complainant and/or the accused can make an appeal on the decision within 3 working days after promulgation of the decision. The Grievance Committee then decides within 3 working days if there is merit on the appeal.
5. If the Grievance Committee decides that the appeal is meritorious, then the investigation will be reopened, taking into account the basis of the appeal. Once the final decision is made, the Committee members signs off on all documents supporting the appeal.
6. The Executive Director will report on any grievance complaint and subsequent resolution to the Board of Trustees, the donor(s) whose programmes/projects may have been unduly affected.
7. The same will be mentioned in the next annual report.

## **WHISTLEBLOWER POLICY**

The role of whistleblowers and of witnesses are important in ensuring that any and all instances of any wrongdoing or violations by staff are brought to light and resolved speedily.

A whistleblower is anyone who in good faith and voluntarily, reports a suspected integrity violation, a misconduct or a crime. This presumes that the person has not participated or has refused to participate in the misconduct or violation of a policy or law.

A witness refers to any person who is not subject to an investigation, but who is being requested by the NTFP-EP Grievance Committee to provide information regarding a matter under investigation.

Evidence pertains to any physical record, document or object in any form, testimony or other information that will establish and/or support the existence or non-existence of an allegation or fact.

Integrity violation refers to any act which violates NTFP-EP's policies. This includes conflict of interest, abuse, coercion, collusion, corruption, obstructive practice and fraud.

Misconduct refers to any behavior, act of omission, which is deemed to be either contrary to the principles or rules of NTFP-EP, or unacceptable, illegal, immoral or unethical. This includes, but is not limited to,

- (a) the failure to observe a regulation, guideline or procedure, or to perform other duties and responsibilities, or
- (b) conduct, actions or omissions, within and outside NTFP-EP that risk discrediting, disgracing or bringing NTFP-EP into disrepute, and that could undermine the integrity of NTFP-EP policies, processes or procedures.

Retaliatory action is considered misconduct and is any detrimental act whether direct or indirectly, that is taken against a whistleblower or a witness or a person associated with these persons, due to the report or cooperation with the investigation into any form of (alleged) misconduct. Retaliation can include, but is not limited to, harassment, discriminatory treatment, suspension, transfer, demotion, inappropriate performance appraisals, or the withholding of an entitlement.

To be able to conduct a thorough investigation of reports of integrity violation or misconduct, it is critical to get complete information. In this regard, NTFP-EP will take all necessary measures to ensure that Whistleblowers and Witnesses are protected and that they are not subject to retaliation.

An investigation of a complaint or report is ideally one that is open and facilitates effective investigation. However, the person making the complaint may choose to remain anonymous or request that his/her identity be kept confidential, and his/her preference will be respected.

# **NTFP-EP Organizational Code of Conduct**

## **Introduction**

NTFP-EP Asia seeks to remain relevant and responsive to the needs and aspirations of the communities they serve. To this end, there is a clear obligation to conduct all its affairs according to the highest standards, and to comply with all ethical principles and policies, as well as laws and regulations governing its activities.

The NTFP-EP Organizational Code of Conduct is included as an addendum to the Memorandum of Agreement that partners sign when entering into a partnership with NTFP-EP Asia in order to receive funds. This applies to all partners and communities working with NTFP-EP, including grantee recipients of funds received from NTFP-EP.

## **Organizational Code of Conduct Principles and Responsibilities**

The fundamental understanding is that professional relationships are built on mutual trust and shared values. The partner organization, through the authorized signatory of this document, agrees that they will abide by this Organizational Code of Conduct at all times, outlined as follows:

### ***Integrity and Good Conduct***

Having integrity means practicing honesty, accountability, and conscientious conduct with other people, assets, and funds.

1. Respect the rights of individuals, including vulnerable groups, in accordance with their customary, national and international human rights laws.
2. Safeguard equal rights of women and men employees to enjoy fair wages and benefits, a safe working environment, and set-up policies to prevent discrimination, sexual exploitation, sexual abuse, and sexual harassment in the workplace.
3. Observe the judicious use of funds, assets, and other resources provided through a written agreement, without misrepresenting any material facts during reporting, and take measures to prevent misappropriation of funds or falsified reports. Refrain from any and all instances of the following:
  - a. Deception through theft and unauthorized or inappropriate use of assets/properties, including money and intellectual property;
  - b. Intentional falsification of records and reports by forging or omitting facts from financial reports, activity reports, or other documents that account for the use of funds and other resources;
  - c. Fraud and collusion to commit fraud, this includes any omission or misrepresentation to mislead in order to gain a financial or other benefit, or to avoid an obligation
  - d. Blackmail and extortion by impairing, harming or using threats any party or property of the party to influence improperly the actions of a party;
  - e. Corruption and bribery by improperly influencing the actions of another party by offering money, goods or services, or having one's own judgement and actions influenced by accepting money, goods or services;
4. Comply with all rules and regulations of international, national, provincial and local governments, applicable public and private regulatory agencies or bodies.

5. Refrain from supporting activities or making available directly or indirectly, funds or economic resources to any person or entity whose aim is to undermine the political autonomy of a state or bring down a lawful government by unlawful means.

### ***Equal and Inclusive Respect for Diversity***

6. Treat all persons of all backgrounds and identities, equally without distinction, and in a manner that promotes respect and understanding of:
  - Fundamental human rights
  - Cultural diversity
  - Physical, mental or emotional condition of the individual
7. Respect the community practices that are in place and behave in ways that are culturally appropriate and in harmony with the environment.

### ***Protection from Sexual Exploitation, Abuse, -Harassment, Coercion and Discrimination***

8. Refrain from any and all instances of sexual exploitation, abuse, harassment, coercion and discrimination, especially when in a position of authority. These include, but are not limited to the following:
  - a. Maligning the character and reputation of another;
  - b. Abusive, threatening and coercive treatment of others, including physical abuse or the use of foul or abusive language;
  - c. All forms of sexual exploitation, abuse and harassment.

### ***Conflict of Interest***

9. Avoid any actual or apparent conflicts of interest, including situations wherein personal interests or those of affiliated parties undermine the interests of NTFP-EP or partner organizations of NTFP-EP.
10. Declare any potential conflict of interest involving personal relations with colleagues, program beneficiaries, or third parties involved in programs of NTFP-EP or partner organizations of NTFP-EP.
11. Avoid secondary employment or other activities (paid and unpaid) that go against the goals, interests or public image of NTFP-EP or partner organizations of NTFP-EP.

### ***Confidentiality of Information***

12. Respect the standards and agreements around confidentiality, including but not limited to, the sharing of work outputs, research, personal data, and other sensitive information.
13. Keep information and carriers of information (documents, computers/laptops, thumb drives, external drives, etc.) in a secure location.
14. Refrain from disclosing even inadvertently any confidential information, except when authorized or otherwise legally obligated to disclose such information.

### **Written Notification and Reporting of Missed Outputs, Illegal or Unethical Behavior**

The partner is expected to give immediate notice in writing if circumstances show that the activities for which the grant was awarded will not be performed in full or on time. This includes any problems that may jeopardize the achievement of intended results.

Any observed violation of this Code of Conduct should be promptly reported by writing to [integrity@ntfp.org](mailto:integrity@ntfp.org). This includes any improper or unethical behavior, to a responsible party like the project lead, management or to the NTFP-EP Grievance Committee. The Grievance Committee will take the lead when a formal investigation is warranted.

All reports will be treated in a confidential manner. NTFP-EP shall not allow retaliation for reports made in good faith and any misconduct by others. Involved individuals and the organization to which they belong are expected to cooperate in investigations of misconduct and violations. Verified incidences of violations and/or wrongdoing will be reported to the Board of Trustees and the donors whose projects are affected.

By signing this document, I declare that I have read the Organization Code of Conduct and that the organization I represent will conduct itself according to the requirements of this Code.

Signature:

Name:

Designation:

Organization:

Date: