

Speak Up policy

IHE Delft

Human Resources

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1. Introduction

IHE Delft's commitment

IHE Delft, Institute for Water Education, envisions a world in which people, organisations and governments manage their water and environmental resources sustainably and equitably, thereby contributing to a world free of poverty and injustice.

Integrity is an important part of our culture, and we believe that we can only achieve our mission to make the world a better place when we do so in a safe working and learning environment.

Our values, our Code of Conduct and our internal regulations describe how we all should behave: respectful and in a transparent manner. Everywhere in the world and in all circumstances. It is the responsibility of every employee, affiliate, student and PhD candidate to be aware of our values, our Code of Conduct and our internal regulations, and to comply with them.

Employees, affiliates, students, and PhD candidates who are concerned about possible breaches of our values, our Code of Conduct and our internal regulations, or related legislation, are encouraged to share their concerns. We understand that it takes courage to speak up. Therefore, I would like to put it on record that anyone at IHE Delft can feel free to raise a concern. When you speak up, we will listen. We do not tolerate any intimidation or retaliation for speaking up in good faith.

This Speak Up Policy explains how and where to raise concerns or doubts about certain behaviour or wrongdoing in the workplace and where you can report them, also anonymously if you wish.

I hope this Speak Up Policy serves as a useful guidance to voice any concerns you may have and to report those if you wish so, eventually contributing to a better IHE Delft.

Do you have any questions after reading this Speak Up Policy? You can always reach out to your HR advisor.



Prof. dr. Eddy J. Moors
Rector of IHE Delft

2. Definitions

Employee:	Person who is or has been employed by IHE Delft in accordance with Article 1.12 of the CAO NU
Affiliate:	Person who holds a position as defined in the Affiliates policy, which can be found here or when you are otherwise professionally connected to IHE Delft, e.g. when you are a guest lecturer or consultant
Student:	Person who studies, part-time or fulltime, at IHE Delft
PhD candidate:	Person who takes part in the PhD programme of IHE Delft

3. Scope (Who can report)?

IHE Delft encourages everyone to speak up when they become aware of a possible wrongdoing. The Speak Up Policy is open to all (former) **employees**, **affiliates**, **students** and **PhD candidates**.

4. What can you report?

Any **possible wrongdoing** can be reported. A possible wrongdoing can encompass a variety of topics. A possible wrongdoing can be defined as behaviour which is not in accordance with our values, the Code of Conduct, internal rules and regulations that apply within IHE Delft, and external laws and regulations.

Examples of possible wrongdoing are:

- undesirable behaviour, such as, but not limited to bullying, (sexual) harassment, aggression, and intimidation;
- every kind of discriminatory behaviour based on a person's age, race, ethnicity, religion, gender identity, sexual orientation, ancestry, disability, pregnancy, marital status, nationality, chronic illness and/or any other status;
- safety, health or environmental incidents;
- improper use of company resources;
- disclosure of confidential information;
- conflicts of interest;
- deceptive, false, artificial or inadequate (financial) reporting;
- fraud and theft;
- violations of data protection laws;
- attempts to conceal misconduct;

- bribery, accepting inappropriate gifts, (political) sponsorships;
- retaliation against anyone speaking up in good faith.

There are however certain situations for which this Speak Up Policy is not the proper procedure to follow:

- in case you are a victim or a witness of a crime or of a life-threatening situation. In case of such an emergency, contact your local authorities or the national emergency number;
- if you have an issue with your exams, or other forms of testing, or other issues of an academic nature. These concerns can be addressed with the Examination Board or the Academic Registrar. Concerns relating to decisions taken by the Examination Board or Academic Registrar can be addressed with the Academic Appeals Board;
- if the concern that you raise is already under investigation or has already been investigated, it will not be investigated again and you will be informed about that;
- concerns in bad faith.

You can always consult your Confidentiality Counsellor in confidence to help you making the right choice or if you have any doubts about whether your concern is a possible wrongdoing to which this Speak Up Policy applies.

5. When do you voice your concern(s)?

If you have a suspicion of a possible wrongdoing, we encourage you to voice your concern(s) as soon as possible. Do not wait until you know all the facts. We do not expect you to have all the answers and we prefer that you do not start investigating any concern yourself.

6. Where can you voice your concern(s)?

ADDRESS YOUR CONCERN(S) DIRECTLY WITH THE PERSON(S) INVOLVED

As a matter of principle and in view of transparency we encourage everyone to address their concern(s) directly with the person(s) involved and / or your manager, especially if your concern relates to inappropriate or unwelcome behaviour. You can always address your concern with your HR advisor.

IN DOUBT WHAT TO DO OR WHERE TO REPORT: THE CONFIDENTIALITY COUNSELLOR SUPPORTS YOU

When you cannot address your concern(s) directly with the person(s) involved or you need additional support from an independent and partial confidant, consult your Confidentiality

Counsellor. IHE Delft has Confidentiality Counsellors who are available to employees, affiliates, students and PhD candidates:

- There are two external Confidentiality Counsellors available to employees, affiliates and PhD candidates. One of them only deals with issues relating to academic integrity.
- There are four internal Confidentiality Counsellors available to students.

The Confidentiality Counsellor is independent and partial to you when you reach out for support, advice or help. The Confidentiality Counsellor listens, provides support and / or advice regarding possible solutions and next steps. These can include raising a formal report with the Compliance Committee, Arbitration Committee, or Ombudsperson. The Confidentiality Counsellor will also provide aftercare to you if needed.

The Confidentiality Counsellor will treat all reports and conversations confidentially and will only inform third parties with the consent of the reporter.

Since the Confidentiality Counsellor does not have an impartial role during a reporting of a possible wrongdoing, the Confidentiality Counsellor will not coordinate, execute or follow-up on investigations. The Confidentiality Counsellor for students can refer you to another Confidentiality Counsellor in case of a conflict of interest, bias and / or is unable to fully stand by your side.

The contact information of the Confidentiality Counsellors can be reached through [this page](#) on The Source. Those who cannot access The Source can contact HRM@un-ihe.org for the Confidentiality Counsellors' contact information.

FILE A REPORT WITH ONE OF IHE DELFT'S REPORTING BODIES

At IHE Delft, there are three different reporting bodies that follow-up on reports filed in respect of possible wrongdoings. In the composition of the respective reporting bodies, a diverse representation is duly observed. Each reporting body deals with different topics, which are discussed below. However, when your report is filed with a reporting body that is not competent to follow-up on your report, that body will advise you to which other body you can file your report. With each of the reporting bodies, you can file your report in writing or request an in-person meeting to discuss your report.

ARBITRATION COMMITTEE

The Arbitration Committee handles reports from employees with respect to possible wrongdoings regarding 7 specific (HR-related) topics as defined in the Sectoral regulation on disputes for Dutch universities:

- (i) staff assessment;
- (ii) change of position without prior consultation or agreement with the employee;
- (iii) refusal of promotion to a particular job grade;
- (iv) granting, refusal, withdrawal or repayment of study facilities;
- (v) refusal of approval for carrying out ancillary activities;
- (vi) compliance with salary agreements and implementation of the individual choices model;
- (vii) compliance with leave entitlements.

The report can be submitted up to 12 months after one of the 7 matters in the above exhausted list occurred.

The Arbitration Committee is a body operating within IHE Delft and consists of 5 members. The employee and employer side nominate two members each. The chair is nominated by those four members. The Rectorate appoints the members and the chair.

The contact information of the Arbitration Committee can be reached through [this page](#) on the Source. Those who cannot access The Source can contact HRM@un-ihe.org for the Arbitration Committee's contact information.

OMBUDSPERSON

The Ombudsperson handles (individual) reports in relation to issues that deal with non-individual issues that concern social safety at the Institute, such as cooperation, learning or working culture. These complaints could encompass, but are not limited to:

- employees experiencing too little cooperation or guidance in their teams or between staff members;
- the relevant team structurally experiences a high level workload (which could increase the chance of team members burning out);
- employees, affiliates, PhD candidates or students not feeling heard at large;
- female employees earning less than their male counterparts;
- PhD candidates or students experiencing a lack of guidance or collaboration from supervisors or teachers;
- Employees experiencing issues after returning to work in connection with sick leave;
- PhD candidates experiencing unnecessary and / or potential delay in their doctoral research and / or defence;

- PhD candidates or students experiencing unfair treatment or shortcomings by the faculty or by a specific faculty member;
- Employees, affiliates, PhD candidates and students experiencing an issue with the internal rules and regulations and its application can seek advice or mediation;
- Employees, affiliates, PhD candidates and students feeling deterred by the prospect of filing a report with the Arbitration Committee or the Compliance Committee but seek advice or mediation.

The Ombudsperson is an external person appointed by IHE Delft.

The contact information of the Ombudsperson can be reached through [this page](#) on The Source. Those who cannot access The Source can contact HRM@un-ihe.org for the Ombudsperson's contact information.

The Ombudsperson has a neutral position by taking a broader view and advises on underlying improvements that go beyond the individual report or complaint. The Ombudsperson takes all relevant views and opinions into consideration before advising on the steps to resolve the issue and, if needed, to find solutions that are acceptable to the parties involved. The Ombudsperson also identifies and advises on major trends regarding social safety, such as cooperation and working climate (while keeping an eye on the individual case). In case your concern falls within the scope of the Arbitration Committee or the Compliance Committee but filing a report with those reporting bodies is not what you desire, the Ombudsperson can have an advising or mediating role to resolve the issue.

In addition to dealing with reports relating to these topics, the Ombudsperson may also decide to conduct solicited and unsolicited investigations and to provide advice to the Rectorate on that basis.

COMPLIANCE COMMITTEE

The Compliance Committee handles reports with respect to all possible wrongdoings except for possible wrongdoings that are handled by either the Arbitration Committee or the Ombudsperson. The Compliance Committee explicitly handles reports pertaining to undesirable behaviour and (academic) integrity.

The Compliance Committee is an external party engaged by IHE Delft. The members of the Compliance Committee are appointed by the Rectorate. Depending on the content of the complaint, members of the committee will be appointed on an ad hoc basis. Members of the Compliance Committee have an adequate level of expertise regarding

the topic of the report. The members of the Compliance Committee are impartial and independent. If, for whatever reason, the appearance of a conflict of interest arises, the relevant member will be replaced with someone with the same level of expertise. Members of the Compliance Committee, as well as their supporting staff, if any, are bound to confidentiality.

If at the time of the reporting or during the handling of the report by the Compliance Committee, it appears that the possible wrongdoing has also been brought before a judge in a criminal, administrative or civil proceedings, the Compliance Committee may decide to put the report on hold until a final and binding judgement has been rendered by the relevant authorities. The Compliance Committee may also decide to cease the handling of the report. That decision is at the discretion of the Compliance Committee.

The contact information of Compliance Committee can be reached through [this page](#) on The Source. Those who cannot access The Source can contact HRM@un-ihe.org for the Compliance Committee's contact information.

(ANONYMOUS) ONLINE REPORTING AND REPORTING THROUGH VOICE-MESSAGING THROUGH IHE DELFT'S INTEGRITY LINE

If you wish to report and communicate your concern online, either in writing or through voice-messaging, or if you wish to remain anonymous, you can use the Integrity Line.

The Integrity Line is operated by an employee of IHE Delft. With your consent, your report will be forwarded to the appropriate reporting body for handling, or the report can be forwarded to a Confidentiality Counsellor.

The Integrity Line can be reached through [this link](#).

EXTERNAL REPORTING

IHE Delft encourages everyone to speak up and make use of the internal reporting channels. It is, however, also possible to report a possible wrongdoing outside of the internal channels with the competent external authorities (the Netherlands Authority for Consumers and Markets (Autoriteit Consument en Markt), the Dutch Authority for Financial Markets (Stichting Autoriteit Financiële Markten), the Dutch Central Bank (De Nederlandsche Bank N.V.), the Dutch Whistleblowers Authority (het Huis voor Klokkenluiders), the Health and Youth Care Inspectorate (Inspectie Gezondheidszorg en Jeugd), the Dutch Healthcare Authority (Nederlandse Zorgautoriteit) and the Authority for Nuclear Safety and Radiation Protection (Autoriteit Nucleaire Veiligheid en Stralingsbescherming)).

7. What to report?

When filing a report regarding a possible wrongdoing with one of the reporting bodies or through the Integrity Line, it is helpful if the following information is provided (in English or Dutch):

- Your name and / or contact information (* unless you wish to remain anonymous);
- Any relevant information in relation to the possible wrongdoing (who's involved, what happened, where, when and how);
- Documents, emails or other material supporting your report.

Sometimes it is possible that the reporting body needs additional information regarding your report. The relevant body will contact you directly or if the report is filed (anonymously) through the Integrity Line. It is possible that a report can lead to inadmissibility when the report is filed and, if relevant, additional information was provided, but is insufficient to make a proper assessment of the possible wrongdoing (e.g., when the facts provided are too vague).

8. What happens after a report is filed?

SCREENING

Each report received will be screened by the reporting body to determine whether:

- the report is admissible to the reporting body to be followed up;
- there is a reasonable suspicion of a possible wrongdoing;
- an investigation is needed;
- a different procedure applies.

Within three weeks after receipt of your report, it will be decided whether or not the concern you reported is admissible and will be followed up by the reporting body.

FOLLOW-UP BY THE RELEVANT REPORTING BODY

If it is decided that your report requires follow-up by the reporting body, the members of the relevant body will decide which steps are necessary. These steps may include, but are not limited to:

- conducting an investigation (with or without assistance from third party experts);
- hearing the parties (separately) on the matter

- such hearings may, at the discretion of the Compliance Committee or at the request of the person being heard, take place behind closed doors;
- exploring the possibility to resolve the issue between the parties involved;
- other steps necessary to determine the facts of the matter
 - such steps may include hearing witnesses or experts, advising the Rectorate to take provisional measures in the interest of the investigation or initiating mediation. The parties involved can request the relevant body to take such steps.

The relevant body will keep due track of the investigative steps taken.

When an investigation is conducted by the relevant body (with or without assistance from third party experts), the principles of proportionality, subsidiarity, fairness, and fair hearing are taken into due account. This means that, in any event:

- the steps taken by the relevant body are in (equal) relation to the possible wrongdoing (principle of proportionality);
- the reporting body will always use the less intrusive or less far-reaching investigative method available (principle of subsidiarity);

If, for instance, the violation can be established by looking into already available data or talking to the person against whom a report is filed, this is preferable above making e.g. video images or searching through someone's personal files. Both the principles of subsidiarity and proportionality are – essentially – about each person's right to privacy and the costs and efforts linked to the investigation.

- the relevant body is impartial and independent and will act without prejudice (principle of fairness);
- the relevant body allows the parties involved to be properly heard and to present their side of the issue with or without (legal) support (e.g., the Confidentiality Counsellor can be at your side for support) (principle of fair hearing);
- of each hearing that takes place a report will be prepared of what is discussed at the time. The person being heard will be given the opportunity to review and comment on the report (principle of fair hearing);
- the relevant body will substantiate its report and advice to the Rectorate (principle of fair hearing).

After the factual follow-up and potential investigation, the reporting body will report to the Rectorate about its findings. This report may include recommendations such as (provisional) disciplinary measures, corrective and remedial measures and possible aftercare.

DECISION BY THE RECTORATE

After receiving the findings and recommendations from the relevant body, the Rectorate decides if they will follow the recommendations, providing full justification and reasoning, especially in case the decision of the Rectorate differs from the recommendation from the relevant reporting body. At the very least, the decisions in relation to following topics are substantiated:

- the merits of the report, and thus whether a violation occurred;
- sanctions and / or other (disciplinary) measures against the person(s) against whom the report was filed;
- broader (remedial) measures at an organisational level.

The decision of the Rectorate is final and binding.

DECISION BY THE GOVERNING BOARD

The Governing Board is tasked with the decision in relation to the report in the event a member of the Rectorate is subject of the report and the subsequent investigation.

9. You will be informed

IHE Delft acknowledges that filing a report and being the subject of a report can have a serious effect on the individuals involved, including yourself. Throughout the handling of your report, you will be kept informed by the reporting body handling your concern. They will in principle do so in writing (e.g., by e-mail or if filed (anonymously) through the Integrity Line) and at least at the following moments:

- within 7 calendar days after raising your concern, the reporting body will acknowledge receipt of your report;
- within 3 weeks after raising your concern, the reporting body will decide whether your report is admissible and inform you of that decision;
- within three months after raising your concern, you will receive a status update of the handling of your report. This period of three months may be extended if so required due to the complexity of the report or other circumstances relating to the matter. If you have submitted a report with the Arbitration Committee you will be informed at different moments within the three-month period. These moments are mentioned in articles 4 and 5 of the sectoral regulation on disputes for Dutch universities. The link to the sectoral regulation on disputes for Dutch universities can be found on The Source: [here](#);

- after completion of the handling of your report, you will be informed of the outcome and the decisions taken by the Rectorate to the extent this does not conflict with the confidentiality of the matter or the privacy and legal rights of the persons involved.

The person against whom the report was filed will be informed by the reporting body in due time dependent on the outcome of the screening and the next steps decided by the reporting body.

10. Safeguards

CONFIDENTIALITY

When a report is submitted the information in or relating to the report, such as the nature of the report, the name of the reporter and others involved will be treated confidentially. The reporting bodies have a duty of confidentiality. The reporting body can only disclose information regarding the identity of the person who submitted the report if the person in question has given prior consent.

PROCESSING OF PERSONAL DATA

Personal data will solely be processed with the purpose to handle your report and in compliance with applicable data protection laws. Personal data manifestly not relevant for the handling of the report shall not be collected, or if accidentally collected, be deleted with undue delay. The reporting bodies will not share personal data with third parties unless IHE Delft has given prior consent.

The report and the pertinent file of the reporting body will be destroyed after five years.

PROTECTION AGAINST RETALIATION MEASURES

When you file a report in good faith, you are protected against retaliation measures. A measure is retaliatory if such measure is the direct result of the filing of the report. The following actions can be considered retaliatory:

- suspension;
- demotion;
- dismissal;
- a written reprimand;
- salary reduction;
- reassignment;

- relocation;
- discrimination;
- harassment, bullying or exclusion;
- withdrawal of a permit;
- any other form of unfair treatment.

11. Questions?

If you have any questions relating to Speak Up Policy, please contact your HR advisor.

12. Document history

Version	Description of Change	Modified by:	Approved by	Date Approval
V1.0	New policy	<i>HR</i>	Rectorate/WoC	16 August 2024