I. LEGAL ASPECTS AND BASIC STANDARDS OF CONDUCT

I.1. UNHCR Code of Conduct and explanatory notes

Examples of some good NGO Codes of Conduct:

I.2. Danish Refugee Council, Code of Conduct
I.3. Danish Refugee Council, Code of Conduct Reporting Procedure
I.5. Save the Children Code of Ethics and Business Conduct
I.6. LWF Code of Conduct
I.8. NGO Checklist for Developing or Revising Codes of Conduct (HAP)

II. ACCOUNTABILITY AND COMPLAINTS GUIDELINES

II.1. IASC Model Complaints and Investigation Procedures and Guidance Related to Sexual Abuse and Sexual Exploitation

Examples of some good NGO Complaints Guidelines:

II.3. LWF/DWS Complaints Mechanism Policy and Procedures
II.4. IMC Complaints Procedures Manual
II.5. Guidelines on Setting up a CBCM on SEA
II.6. HAP Literature Review on Complaints
II.7. HAP Complaints Policy
II.8. HAP Complaints Referral Form
II.9. Ethics Point
II.10. Danish Refugee Council – Accountability Framework for International Programming
II.11 UNHCR Tool for Participatory Assessment in Operations
II.12. IASC CBCM Compendium of Practices Abridged
III. INVESTIGATION GUIDELINES

Principal Investigation Guidelines:

III.1. **UNHCR Investigation Guidelines (possibly in adapted form)**
III.2. OIOS Investigation Manual
III.3. Uniform Guidelines for Investigations (10th Conference of International Investigators)
III.4. ICVA Building Safer Organisations (BSO) Guidelines – Receiving and Investigating Allegations of Abuse and Exploitation by Humanitarian Workers

**UNHCR templates:**

III.5. **Oath of Confidentiality**
III.6. **Investigation Plan**
III.7. **Subject Notice of Investigation**
III.8. **Witness Notice of Interview**
III.9. **Record of Interview**
III.10. **Record of Conversation (for interviews of non-UNHCR staff)**
III.11. **Chain of Custody Form**
III.12. **Exhibit Receipt Form**
III.13. **Confidentiality clause for emails**

**NGO templates:**

III.14. **HAP Complaints Referral Form**

**UNHCR SOPs, Standard Clause, and ToR:**

III.15. **Standard Clause for UNHCR partners on Investigation and Ethical Considerations (when finalized)**
III.16. **ANNEX to UNHCR Standard Clause on Standards of Managing Misconduct (when finalized)**
III.17. **SOP: referral of cases (and model referral form)**
III.18. **SOP: sharing of sensitive materials and case information**
III.19. **ToR for joint UNHCR-NGO investigation**
III.20. **ToR for individual consultant for a UNHCR (or NGO) investigation**

**Examples of some good NGO Investigation Guidelines:**

III.21. LWF/DWS Investigation Guidelines
III.22. Save the Children Investigation Toolkit
IV. SPECIFIC RESOURCES RELATED TO INVESTIGATION AND COMPLAINTS

Information on an investigator roster or pool of experts (to follow)

**Sample policies and guidelines on:**

- **SEA and SGBV**
  
  IV.1. UN Secretary-General’s Bulletin: Special measures for protection from sexual exploitation and sexual abuse
  
  IV.2. Implementation Guidelines for the Field on the Secretary-General’s Bulletin
  
  **IV.3. UNHCR: Action against Sexual and Gender-based violence: An Updated Strategy**
  
  **IV.4. UNHCR: SGBV against Refugees, Returnees and IDPs – Guidelines**
  
  
  IV.6. Statement of Commitment on Eliminating Sexual Exploitation and Abuse by UN and non-UN Personnel
  
  IV.7. IASC Global Review of Protection from SEA by UN, NGO, IOM and IFRC Personnel
  
  IV.8. IASC Guidelines for GBV Interventions in Humanitarian Settings
  
  IV.9. IASC Guidelines to implement the Minimum Operating Standards for Protection from Sexual Exploitation and Abuse by UN and non-UN Personnel
  
  IV.10. Minimum Operating Standards - Protection from Sexual Exploitation and Abuse by own Personnel (MOS-PSEA)
  
  
  **IV.12. UNHCR/IOM/FOM: UNHCR’s Policy on Harassment, Sexual Harassment and Abuse of Authority**

- **Fraud and Corruption**
  
  **IV.13. UNHCR/IOM/FOM: UNHCR Strategic Framework for the prevention of fraud and corruption**
  
  IV.14. NRC Anti-Corruption Guidelines

- **Whistleblowing**
  
  **IV.15. and IV.16. UNHCR/IOM/FOM: UNHCR’s policy on protection of individuals against retaliation (Whistleblower Policy)**
  
  IV.17. People in Aid Policy Guide and Template – Whistleblowing
  
  IV.18. ICMC Whistle Blowing Policy and Procedures
  
  IV.19. IMC Whistleblower Policy

- **Gross negligence**
  
  **IV.20. UNHCR/IOM/FOM: Financial responsibility of Staff Members for gross negligence**
• **Brochures, forms and pamphlets:**
  IV.21. **UNHCR: How to report misconduct and what to expect**
  IV.22. **Addressing Grievances in UNHCR: Where to go for help**
  IV.23. **UNHCR: IGO Online Complaint Form**
  IV.25. **UNHCR confidentiality clause for email messages**
  IV.26. **The IRC Way – brochure**
  IV.27. **Oxfam Public Information Board Notes**

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V. **UNHCR and NGO TRAINING MATERIALS RELATED TO INVESTIGATION AND COMPLAINTS**

V.1. HAP Investigation Training Handbook
V.2. InterAction investigation training materials
  V.2.1 InterAction SEA 101
  V.2.2 InterAction Management of SEA Investigations
  V.2.3 InterAction Course Materials