



IDDI INSTITUTO DOMINICANO
DE DESARROLLO INTEGRAL, INC.

Code of Ethics and Conduct

Last Updated on June 2015.



CODE OF ETHICS AND CONDUCT

INSTITUTO DOMINICANO DE DESARROLLO INTEGRAL (IDDI)

A. DOCUMENT CONTROL FORM

Edition Number	Date	Specifications of Modifications Made
2	June 30, 2015	A. Inclusion of new headings: Personal Commitment, Money Laundering; Purchases and Contracting; Respect for the Environment; Sanctions and Actions B. Inclusion of new items within other headings as appropriate.



DIRECTOR'S MESSAGE

It is my honor to provide the members and collaborators of the Instituto Dominicano de Desarrollo Integral IDDI, the present institutional Code of Ethics and Conduct, which purpose is to establish a framework and acting guidelines for all personnel that develops any activity, personal or related IDDI's institutional work.

This Code of Ethics represents an institutional effort to synthetize, in a guiding document, the set of values, duties and principles that all institutional employees and collaborators should embody in their work, in order to promote and contribute, along with efficiency and effectiveness, towards achieving the greatest levels of honesty and morality in the performance of their labor.

As the values and principles contained in this Code of Ethics and Conduct are applied, we are contributing towards the strengthening of the country's institutional framework, for which the State has compromised itself to promote and stimulate processes of dialogs; design, actualization and adoption of norms for self-regulation; and code of ethics or conduct for nonprofit associations, in order to secure the credibility, transparency and rationality in the use of the public resources.

It is expected, that each member and each collaborator of IDDI, develops his or her activities in total conformity with the guidelines and principles contained in the present Code of Ethics and Conduct, therefore contributing towards the reigning of the values the institution vows to support.

David Luther

Executive Director of IDDI



INTRODUCTION

The **Instituto Dominicano de Desarrollo Integral, Inc. (IDDI)** nonprofit entity, created in conformity with the dispositions of the law 520, modified by the Law 122-05 of Regulation and Advancement of Nonprofit Associations.

From its creation, this organization has been developing its work within the values and principles of solidarity, honesty, integrity, transparency and equity, and these are the same values under which the Code of Ethics and Conduct is prepared, which has as its objective to strengthen the trust of our collaborators, clients, suppliers, beneficiaries and donors, upholding an environment of transparency, respect and responsibility.

It is an obligation of all members of IDDI to comply with each of the guidelines given in the present code during each of the activities developed, while also informing of any conduct that might attempt against the compliance of the present code.

The breach of the present code of ethics is considered a serious misconduct, which requires the initiation of a disciplinary process that could inclusively represent a justifiable dismissal, as well as, the potential initiation of legal actions, as established in our legal system.

This code will be given to all new personnel to the institution, along with other important documents in the process of induction. It is recommended that in case there is any doubt as to the proper interpretation of this manual, clarification is requested to the immediate supervisor or directly to the Department of Human Resources, in person or in writing, so that once provided clarifications and concerns these are satisfied, the employee may proceed to sign the declaration of recognition of this Code of Ethics and Conduct, included in the final section of this document.



PRINCIPLES AND VALUES

In the code of ethics of the Instituto Dominicano de Desarrollo Integral (IDDI) converge internal rules and laws that determine compliance and performance of each of the members and collaborators.

The principles set out below are guidelines for all members and employees seeking to create coherence between the institutional ethics and the duty of every worker to practice in their daily actions these principles and values.

Our Vision:

To be the leading nonprofit organization that works towards an integral development of the marginal urban areas in Dominican Republic.

Our Mission:

To contribute towards the transformation of the human being, their family and the community we live, creating the conditions so that the human being, as an individual as well as a collectivity, could be given a reasonable opportunity to lead a productive life.

Our Values:

The values act as a guide in the conduct towards an ideal behavior defined as good, positive or worthy of a person or institution.

Integrity. Every employee must carry their duties with the capacity of making decisions on their own, in regards to their behavior, beliefs and actions. Having to act in all occasions with integrity.



Honesty. Collaborators must perform their duties always committed to the truth and the institutional proceedings, with decency, modesty, reason, fairness and honesty.

Transparency. All of our collaborators should execute their duties within the transparency framework, developing actions without ulterior motives, neither towards members of the organizations nor to third parties.

Equity. All institutional personnel should perform their duties, with responsibility and valuing the individuality of each other, aiming to reach a balance between the circumstances and situations presented to us in the course of our activities, thus achieving stability in the different relations and aspects (labor, personal and social) of each of our internal and external collaborators.

Personal Commitment

Each person in their formal entrance to the institution is committed to:

- Remain loyal to the principles of service to the common good.
- Not demerit or slander a colleague, subordinate, authority or beneficiary.
- Avoid conflicts of interest and disclose promptly when they arise.
- Safeguard the assets of the organization, making a rational and efficient use of resources.
- Maintain the confidentiality of information and non-public or internal data.
- Never make or be part to cover alteration of information and data.
- S/he should not perform, promote or cover up fraud, corruption acts or misuse of funds and/or resources of the institution, related companies or persons.



- Monitor the behavior of other persons who may harm the interests of the entity and/or undermine their values.
- Work to meet the needs of the external and internal users, performing their duties with quality and timeliness.
- Support the implementation of policies and activities of prevention and care of the environment to be consistent with an ecological culture.
- Treat with respect and kindness all co-workers, representatives of national and international and users in general.
- Make the best use of assets and resources allocated for the performance of their the functions and duties while preserving its integrity.



GUIDELINES

A. Regulatory compliance:

- The institution, and thus their employees or collaborators, abide by the laws, regulations and regulatory standards of each of the cities and/or countries where IDDI has presence.
- IDDI's directors must incline in any city and/or country to know the legal framework that mandate the actions of the institution and/or project, without it necessarily representing a detailed proficiency of the rules, but a general knowledge of the regulations.
- IDDI's personnel must know, respect and enforce the rights of people in the communities where it operates.
- IDDI's personnel should stay out of personal commitments in their labor and trade relations, acting impartially, detached from special interests.
- IDDI's personnel should not be willing to make offerings of benefits or bribes to government officials and/or financial institutions and/or collaborating institutions for fulfilling the goals of the organization.
- IDDI's personnel should always act with respect, honesty and justice, in conformity with the law, promoting dialogue and communication between different groups and spaces in which projects are developed.

B. Financial and Programmatic Responsibility:

- IDDI is compromised with offering their donors, collaborators, beneficiaries, internal and external clients, and the country in general, accurate, precise, enough and timely information in regards to its operations (including financial, accounting and technical execution), reason for which all the senior directors and employees must contribute so the statements, technical and financial reports, tax returns and similar, reflect the reality of the facts, either



by the report of information or by the application of controls in the corresponding levels.

- Likewise, IDDI is sheltered under its compliance to the national laws, current regulations and donors' guidelines with relation to the preparation of technical, financial and fiscal information reports.
- The IDDI has financial policies owned and defined in regards to the receipt and disbursement of financial resources, purchases, internal control procedures, policies for signing checks among others, which are contained in the Policy and Procedures Manual: Administrative, Financial & Accounting and all employees must comply with and enforce these regulations.
- No employee or collaborator of IDDI with signature authority can issue checks in their favor without taking into account the policies of alternation of the bank firms registered and approved for each type of financial transaction.
- Annually a financial report will be developed and presented to the Board of Directors subject to an audit issued by an independent auditor.
- All IDDI staff must comply with and enforce the rules and generally accepted accounting principles and comply with internal and external systems of control and risk management in accordance with the provisions.
- Employees responsible for keeping the books and records of financial data and information will make it to facilitate and enable decision-making in a conscious and responsible manner. They will also make it easier for external and internal auditors, all information and explanations required to conduct of their work.



C. Conflicts of Interest:

It is understood by conflict of interest, each situation where a person puts their personal or economic interest before the institutional ones.

- The administrators, senior directors and employees of IDDI must abstain from participating themselves or by an introduced person, in the procurement of personal or third parties interest; or must cease their activities on matters that would implicate IDDI's competency including where a conflict of interest is configured.
- IDDI staff will always put the goals of the organization before personal goals and will defend the best interests of the organization, above individual interests.
- The management team shall not participate in decisions on matters that impact or affect their personal interests.
- The management personnel has the responsibility, at the right time, to identify and present the actual and potential conflicts of interest that may have, including institutional affiliations, that may generate potential conflicts.
- All personnel should refrain from engaging in activities contrary to the interests of the IDDI or activities. Likewise, shall not engage in (personal, social, financial or political) activities that may influence their judgment or objectivity to the performance of its functions.

Any doubt or concern in relation to a real or potential conflicts of interest situation, should be addressed to the Institutional Manual of Conflicts of Interest, their immediate supervisor or to the Ethics Committee.



D. Relations with Clients.

- All institutional employees and especially those that develop their work directly with the clients and beneficiaries should promote the presentation of the service in an environment of respect, kindness and transparency, providing timely, concrete and veracious information, according to the needs of the client or beneficiary.
- IDDI shall have no business relationship with institutions and/or individuals that deviate from the ethical rules, nor with institutions or persons linked or known involvement in illegal activities.

E. Relations with Donors:

- The relationship between the donors and the institution will be conducted according to the principles of transparency, integrity and mutual compromise.
- An efficient and timely communication is ensured through different mediums, reports and mechanisms established in accordance with the agreed periodicity.
- It is stipulated no to establish relations of friendship and complicity with donor organizations to gain favoritism or benefits.
- Comply with the policies and procedures in each case.



F. Relations with the Community:

Initiating from the main institutional objective, which is to promote, through integral development, alternate solutions to the social and economic issues that affect the Dominican Republic's population, IDDI develops programs that support the beneficiary communities and the organizations involved in the projects.

- All projects implemented by IDDI, it will be promoted the community empowerment, organizational capacity and ownership of the results, in order to ensure the sustainability of these actions.
- Valuation and rescue of knowledge and traditions will always be promoted that would encourage the benefit of the collective and individual identity.
- All projects implemented with IDDI should always take into account from the design stage the development and implementation community participation, social inclusion and gender equality.

G. Bribery and Extortion:

- The institution rejects corruption in all of its forms, including extortion and bribery, therefore promoting mechanisms to prevent it and fight it.
- In case a bribery or extortion situation is identified, this situation should be communicated to their immediate supervisor, who will inform in written to the Ethics committee, who will establish the measures of control and corresponding sanctions.
- It is not permitted to pay bribes, request or receive gifts, money, gifts or rewards in return for acts that relate to the work the staff plays.



H. Money laundering:

- Every person who works at IDDI shall not participate in person or by proxy in legitimizing illegal income from illegal actions through fictitious transactions.
- It is not allowed for IDDI's employees to favor of third parties in their intention to legitimize income from illegal actions.
- It is prohibited to acquire, accept or manage at IDDI goods or money knowing, or by reason of his position, it is obligated to know, that they are the product or proceeds that originate from the commission of a crime.

I. Purchases and Contracting:

- No offers will be accepted that proceed from different bidders but are faxed or e-mailed from the same phone number or IP address.
- IDDI staff cannot pressure the evaluation committee to select a particular bidder.
- It is forbidden that family, friends or business partners of the personnel is involved in the drafting of documents for purchases and/or contracts involved in the procurement process.
- Only external consultants will be hired to draft documents related to purchases/procurement or contracting when strictly necessary, these being automatically excluded from participating in the process.
- It is forbidden the purchase of the same goods or identical objects in short periods, which become evident that is made for use of less competitive procurement methods.
- The selection criteria should be elaborated as objectively as possible, avoiding leading the process for a single company or person that meets the requirements.



- It will be ensured that members of the evaluation committee have the technical expertise to assess the offers submitted.
- Anyone who is selected to form the Procurement Committee shall sign a declaration stating that there is no conflict of interest in the performance of their duty, as well as any present or past relationship with any of the bidders.

J. Rejecting Discrimination and Gender Violence:

- In every of its manifestations, we oppose all kind of discrimination for reasons of gender, race, nationality, religion, age, disability, sexual opinion or orientation, linguistics, political or philosophical opinion, personal or social condition.
- It is not allowed behaviors related to gender violence among staff working in the institution, either within the work, family or community environment.

K. Gifts and Courtesies:

- In the relationships with the beneficiaries and sponsors, employees will not be allowed to accept commissions, gifts or attentions of any kind that might affect or condition their decisions in the development and performance of their duties.
- Nonetheless, it is not included in this category small tokens of appreciation, of reduced value, from beneficiaries that might represent attention or courtesy, and which are a regular practice within business relations.
- No amount shall ever be accepted in cash (observe the Conflicts of Interest Manual).



L. Confidential Information:

It is considered confidential information all information property of the institution that if divulged to third parties, internal or external, could harm the organization.

- Directors and employees must keep the confidentiality of all information known through the performance of their duties, and they compromise not to divulge it, unless specific authorization is conferred for the given effect.
- Similarly, employees are responsible for safeguarding any information or data that they know in the performance of their duties.
- The employees must not use the institutional information for personal or third party benefit, contrary to the laws or harming the interest of IDDI, its' clients, beneficiaries, donors or suppliers.
- Employees are responsible for guarding the documentation and information that given the type of work performed and/or the position they hold within the institution have access. It is also their responsibility to prevent such information from being destroyed, stolen, hidden or used for improper purposes.

M. Relations with ours Competitors:

- Our relations are based in practices that respect free competition, transparency, quality, according to the current legislations, without the development of illegal practices, providing a humane treatment to our collaborators, and thus aiming to achieve stable relationships with other institutions.
- It is forbidden to gather competitive information by unethical means, or obtain access to confidential competitive information, either directly or through third parties.



N. Resources and assets of the organization:

- All of IDDI's employees are responsible of the adequate and rational use, as well as the protection, of their work tools, given that these facilitate the work inside and outside of the institution. This includes the use of all the elements, tools and assets such as internet, telephones, computer equipment, vehicles and other computing, office and technology tools, amongst others.
- All employees must be honest and responsible with the use given to the tools, equipment and data of work, and they must ensure that these are adequately and efficiently utilized.
- The protection of assets, should include the protection of equipment, data, institutional secrets, agreements, designs and information in the matters of accounting and finance, salary, human resources, guarantees of clients.
- The specialized equipment of the institution should be uniquely operated by employees authorized to perform the given duty.

O. Social Networks:

The intervention of all of IDDI's employees in social networking sites is of personal character and it has no relation with IDDI, however, in the case of requiring the use of social networking sites with purposes associated with the institution, the employee must have a written authorization from their immediate supervisor and follow the following parameters:

- All publication of information should be aligned with the institutional mission, vision and values.
- Compliance with the guidelines in regards to the handling of confidential information.
- Be careful with the approach used to express any information to the community, beneficiaries, donors, clients.



- Do not offer products or services not authorized by the institution, nor create false expectations.
- Under no circumstances it is allowed the use of user accounts of the technical support members by third parties, nor provide identification codes and passwords thereof (with or without knowledge of the official users).
- It is prohibited the sabotage of the network usage congestion through congestion of links or systems, interception of communications and the use of listening techniques, transmission, recording or reproduction of any communication signal, or disobey any requirements, procedures, policies or regulations of networks connected to the services.

P. Respect for the Environment

- All members of the IDDI must respect the environment avoiding any kind of contamination by minimizing waste generation and rationalizing the use of natural and energy resources.
- It should always be encouraged a healthy environment that contributes to the maintenance of health and disease prevention.
- IDDI's actions will always drive the development and implementation of the existing legal framework on issues related to biodiversity, rational use of natural resources and environmental protection.
- In all projects and activities IDDI's personnel must promote and encourage environmental education as a mean to promote a society in harmony with nature.



OTHER DISPOSITIONS FOR THE ADMINISTRATION OF THE CODE OF ETHICS

This Code of Ethics has been designed with the interest that it is applicable to all locations where the IDDI has some form of representation, and it constitutes a general framework for the application of principles of ethics and sustainable development in line with the specific activity that performs the institution.

To ensure the application of this code, IDDI has the Committee of Ethics and Conduct

The Instituto Dominicano de Desarrollo Integral, has the Committee of Ethics and Conduct, and Internal Audit, which is formed by:

- A representative of the Social Department Division
- A representative of the Operations Division from the Department of Microcredits
- A representative of the Human Resources Department Division
- A representative of the Internal Audit Service Coordination Division
- A representative Manager of the Internal Audit Division

The responsibilities of the Ethics Committee are the following:

A. To supervise and look after the Code of Ethics compliance, its values and fundamental principles, promoting a culture of adherence to the laws and ethical regulations.



- B. To know all the violations to the code and the decisions that have been implemented.
- C. To take actions in accordance to the principles and values to face the more complex claimed cases.
- D. The Ethics Committee will conduct controls or administrative investigations and will send the results of the research findings and recommendations to the appropriate bodies at IDDI.
- E. In case of complaints that cannot verify its truthfulness, the committee may close the case, but may use the information to correlate with other data with the purpose of identifying potential faults.
- F. Perform and recommend modifications to the present code
- G. Guarantee the correct implementation in relation to any aspect of the code.
- H. Guarantee the implementation of an anti-fraud program in the institution.
- I. Monitor actions implemented to manage fraud risks specifically assess the implementation of anti-fraud measures.
 - J. To research, coordinate actions and provide answers to the anonymous claims that might be formulated through the channel established by the institution.
- K. To advise in an opportune and accurate time the claims received, respecting the employees' rights, especially the right to be heard, to adequately defend themselves, and to have a resolution founded within the values of equity and respect.
- L. To take knowledge in and resolve the conflict of interests, as well as to recommend that these suspicious acts and/or conduct are investigated.
- M. To issue memorandums and instructions required for the development and compliance of all situations established in the Code of Ethics.
- N. To session at least once a month and to register in reports each meeting through the Secretary chosen in session by the committee.



- O. When treating any issues related to any institutional director, these would be handled by the Directors' Committee, integrating the Executive Director in the session.
- P. Revise every eighteen (18) months the Code of Ethics and send to the Office of the Executive Director.

The Committee could invite external or internal employees when considered appropriate, as a hearing participant in a specific subject as part of some investigation process (witness or to be questioned).

SANCTIONS AND ACTIONS

Any employee who violates intentionally or by severe and inexplicable fault, the provisions of this Code of Ethics, but without such offenses involving a violation of general laws and therefore were not capable of being judged by the ordinary courts shall be punished disciplinary in accordance with the seriousness of the offenses as follows:

- a) Private reprimand.
- b) Public reprimand.
- c) Suspension without pay for a month.
- d) Suspension without pay for three months.
- e) Definitive cancellation of the position.

If the conflict of interest is of a criminal nature, the Ethics Committee shall, in addition to the appropriate sanctions, monitor the implementation of the administrative aspects of the case.



GENERAL INFORMATION FOR ITS APPLICATION

- Any inquire or clarification in regards to the established guidelines in the present code, it could be requested to your immediate supervisor.
- The claims related to the violation of the code could be reported through the electronic address iddi@claro.net.do
- The present code should be communicated to all institutional employees and directors, through an internal memorandum, training and other instruments that support its circulation.
- Every violation to the present code will cause disciplinary sanctions that might even produce a justifiable dismissal.
- The code shall be revised every eighteen months (18) by the Ethics Committee, whom will forward it to the Institutional Board of Directors for its enrichment and approval.
- All employees of the organization should periodically certify the understanding of the registered guidelines contained within the code.
- The members of the Ethics Committee will be chosen by the Board of Directors.
- The present code complements itself with the other institutional policies.



ACKNOWLEDGMENT OF THE ETHICS AND CONDUCT CODE

I certify that I have read the Ethics and Conduct Code, and that I understand all of its concepts, the mission, vision and values, as well as their guidelines, which I accept as an internal rule and regulation in the exercise of the professional activities and duties that I will be performing in this institution; as well as understand that its' compliance is mandatory without any exception.

I express that with my actions I am complying with the required measures, for which I confirm that I do not know of any violation to the present code, and therefore have no conflicts of interest that could affect my linkage with IDDI.

Additionally, I understand that any claims in regards to offenses or actions that attempt against the code, could be made through the electronic address iddi@claro.net.do

Complete Name: _____

Current Position: _____

Department: _____

Immediate Superior's Name: _____

Date: _____

City: _____

Collaborator's Signature: _____

Personal Identification Number: _____