

SPECIAL INTEGRITY INVESTIGATIONS REGULATIONA. General principles for special integrity investigationsSection 1 – Definitions

This Regulation defines the following terms.

- a) *person involved*: the DNB employee whose behaviour, acts or omissions are the subject of the special integrity investigation
- b) *special integrity investigation*: an investigation prompted by a possible breach of integrity by an employee
- c) *C&I*: DNB's Compliance and Integrity Department
- d) *compliance officer*: a C&I compliance officer
- e) *DNB*: De Nederlandsche Bank N.V.
- f) *Governing Board*: the Governing Board of De Nederlandsche Bank N.V. as referred to in Section 12 of the Bank Act 1998
- g) *chief investigator*: the person in charge of the preliminary investigation, the actual special integrity investigation, or both
- h) *IAD*: DNB's Internal Audit Department
- i) *incident*: (possible) breach of integrity
- j) *integrity incident*: a breach of internal or external laws, rules or basic values which constitutes or may constitute a risk to DNB's integrity and reputation
- k) *breach of integrity*: an integrity incident which may compromise an employee's reliability
- l) *superior*: the employee's immediate manager
- m) *employee*: a person who performs work for or commissioned by DNB, based on an employment contract or other agreement
- n) *notification*: notification or information about a (possible) breach of integrity
- o) *notifier*: person that notifies
- p) *investigator*: person commissioned to conduct a special integrity investigation or the preliminary investigation preceding it
- q) *investigation team*: a (multi-disciplinary) team of investigators instructed to conduct a special integrity investigation
- r) *principal*: the person commissioning a special integrity investigation
- s) *preliminary investigation*: an investigation aimed at gathering further information on a notification, in order to decide whether or not to commission a special integrity investigation
- t) *Regulation*: the Special Integrity Investigations Regulation

Section 2 – Application of the regulation

This Regulation applies to all special integrity investigations conducted under DNB's responsibility and any preliminary investigations preceding them.

B. Initiation and execution of the special integrity investigationSection 3 – Notifications

1. An observed or suspected breach of integrity can be reported to an employee's immediate or higher superior, to DNB's confidential advisers and to C&I.
2. If the notification is made to a superior, they must pass it on to a compliance officer. If the notification is made to a confidential adviser, they may pass it on to a compliance officer only with the notifier's explicit permission.
3. Notifications can be made anonymously and confidentially. Where possible, anonymous notifications are handled the same as non-anonymous notifications. In the case of confidential notifications, the

notifier's details and any statements they have given must be treated as confidential and must not be passed on to the person involved or another party.

4. The compliance officer registers the notification and the date of notification, and confirms receipt of the notification to the notifier.

Section 4 - Assessment of the notification

1. Upon receipt of a notification, the Head of the C&I Department decides whether or not to initiate a special integrity investigation. The following criteria can be considered:
 - a. the nature and severity of the incident
 - b. whether the incident can be validated
 - c. the notifier's position or relationship to the person involved
 - d. the position of the person involved or their relationship to the notifier;
 - e. credibility or probability of the incident;
2. Based on these considerations, the Head of C&I will arrive at one or more of the following conclusions:
 - a. The incident is too insignificant to warrant a special integrity investigation, and the notification is closed under the provisions of this regulation.
 - b. There is insufficient evidence, or the incident cannot be properly validated, or it is unlikely that the incident occurred in the first place to warrant initiating a special integrity investigation, and the notification is closed under the provisions of this regulation.
 - c. The incident is already under investigation, for example by the complaints committee or HR, and a special integrity investigation could overlap or compromise this investigation. In this case, no special integrity investigation is initiated and the notification is closed under the provisions of this regulation.
 - d. More information is needed in order to make a decision, and a preliminary investigation is initiated in accordance with Section 5.
 - e. A special integrity investigation is initiated.
 - f. The notification is reported to the Public Prosecution Service in accordance with DNB's policy for reporting offences.
3. If the notification is closed, as meant in Section 2(a), (b) and (c), the notifier is informed that the notification is closed under the provisions of this regulation.

Section 5 – Preliminary investigation

1. The aim of the preliminary investigation is to gather further information on the notification, in order to decide whether or not to commission a special integrity investigation.
2. In accordance with Section 7, the Head of C&I appoints a principal investigator and an investigation team to conduct a preliminary investigation. The principal investigator reports the outcomes of the preliminary investigation to the Head of C&I.
3. The compliance officer adds the outcomes of the preliminary investigation to the notification in the incident file.
4. The Head of C&I assesses the notification (and the outcomes of the preliminary investigation) in accordance with Section 4 of the Regulation.

Section 6 – Principal commissioning a special integrity investigation

1. Based on the nature and severity of the notification, the Head of C&I – possibly in consultation with the General Counsel – decides who will act as the principal of the special integrity investigation.
2. The following persons may act as principal:
 - a. Chair of the Supervisory Board
 - b. Governing Board member
 - c. Division Director
 - d. Head of the Compliance and Integrity Department
 - e. Head of the Internal Audit Department

Section 7 – Chief investigator and investigation team

1. The Head of C&I appoints a chief investigator to conduct a special integrity investigation.
2. In consultation with the chief investigator, the Head of C&I appoints the other members of the investigation team.
3. The chief investigator and the other members of the investigation team are appointed based on :
 - the type of integrity incident and the type of investigation
 - the required level of independence and objectivity
 - knowledge and expertise

Section 8 – Task description

1. The chief investigator formulates a task description for the special integrity investigation.
2. The task description in any case includes the:
 - a. notification which prompted the special integrity investigation
 - b. person designated as the principal
 - c. composition of the investigation team
 - d. purpose of the investigation
 - e. plan of approach and deployment of resources
 - f. reporting method
 - g. duration time schedule
3. The task description is assessed against the principles set out in Section 14.
4. Following consultation with the Head of C&I, the chief investigator submits the task description for approval to the principal.

C. During the special integrity investigation

Section 9 – Resources and investigation file

1. The chief investigator will inform the person involved of the special integrity investigation, unless doing so would hamper the investigation.
2. The principal investigator will inform the person involved's superior of the special integrity investigation, unless doing so would hamper the investigation.
3. The investigation team has various methods at its disposal to conduct the investigation. The investigation team records the methods it has used as well as the findings.
4. If the person involved is interviewed in the context of the investigation, they are informed of the option to bring an internal or external legal, confidential, or other adviser to the interview, at their own expense. The person involved will receive a copy of the interview report.
5. The investigation file essentially contains the following:
 - the task description, signed for approval by the principal
 - interview reports
 - recording of findings
 - other relevant documentary evidence
 - the draft investigation report
 - the person involved's response to the right to be heard
 - the final investigation report
6. If parts of the evidence cannot be stored in the investigation file, the file specifies where this can be found.

Section 10 – Draft investigation report

1. In principle, the person involved has the right to inspect the draft investigation report, unless doing so would hamper the investigation and provided the report does not disclose confidential information from or about another person involved, a third party, or about operational processes. The person involved has the right to bring an internal or external legal, confidential, or other adviser to the interview, at their own expense.

2. In the context of the right to be heard, the person involved has the right to submit a written response to the draft investigation report within a reasonable deadline set by the principal investigator. The response is added to the draft report.

Section 11 – Final investigation report

1. The final report includes all the relevant facts and circumstances related to the actual or suspected breach of integrity that have been established during the investigation.
2. The report includes a conclusion that is based on the facts and circumstances that have been established during the investigation.
3. The report is submitted to the principal. The Head of C&I receives a copy of the final report.
4. In principle, the final investigation report is made available to the person involved and their superior, provided the report does not disclose confidential information from or about another person involved, a third party, or about operational processes.

Section 12 – Feedback to notifier

If possible, the notifier will be informed of how the notification was followed up on, unless this conflicts with the rights of the person involved or others.

Section 13 – Handling of the breach of integrity

1. If the incident involves a imputable breach of integrity, it will be handled according to DNB's Sanctioning procedure.
2. If the incident involves a non-culpable breach of integrity, C&I will advise on the course of action to be taken.
3. If there are grounds to do so, the incident will be reported to the Public Prosecution Service in accordance with DNB's policy for reporting offences.

D. Other

Section 14 – Regulations and principles

1. In conducting a special integrity investigation, the investigation team will act in accordance with applicable privacy laws and regulations and will take the principles of proportionality and subsidiarity into account.
2. In conducting a special integrity investigation, the investigation team will respect as far as possible the right to hear and be heard.

Section 15 – Independence

1. The investigation team members will conduct the investigation carefully, impartially and independently.
2. The investigation must not be conducted by persons who have a personal or direct hierarchical relationship with the person involved which could hamper or be perceived to hamper the investigation.
3. If required in the context of due care, impartiality and independence, the services of an external third party could be engaged in a special integrity investigation.

Section 16 – Non-disclosure and confidentiality

1. All persons involved in a special integrity investigation or a preliminary investigation preceding it must treat the information received in the context of such investigation as confidential.
2. Notwithstanding the first subsection, confidential information obtained in the context of a preliminary investigation or special integrity investigation may be disclosed to third parties in the following cases:

- a. DNB is legally obliged to provide the information
 - b. disclosing the information is necessary to create documentary evidence in legal proceedings or criminal investigations
 - c. disclosing the information is necessary in the context of the special integrity investigation or the preliminary investigation preceding it
3. C&I includes anonymised information about notifications (i.e. the number of notifications and the number of these involving an actual breach of integrity) in its periodical reports to the Governing Board and Supervisory Board, and anonymised and aggregated information in DNB's annual report.

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1. The non-disclosure obligation specifically means that the name of the person involved must only be shared if this is necessary in the context of the special integrity investigation or the preliminary investigation preceding it and the consequences ensuing from such investigation.
2. Notwithstanding the first subsection, this information may be disclosed in the cases described in Section 16(2).

Section 18 – Disciplinary measures

1. The principal, the superior of the person involved, or HR may only impose a disciplinary measure in consultation with the investigation team.
2. A disciplinary measure can be imposed in the following situations:
 - a. if the breach of integrity continues or if repetition of the breach of integrity exists
 - b. the breach of integrity is so serious that DNB cannot reasonably be expected to continue its employment relationship with the person involved
 - c. the person involved could hamper the special integrity investigation
 - d. the person involved is in need of protection
3. Imposing a disciplinary measure requires a careful consideration of interests.
4. Disciplinary measures are confirmed in writing to the person involved and are included in their personnel file.

Section 19 – Complaints Procedure

The implementation of the Special Integrity Investigations Regulation is subject to DNB's Complaints Procedure.

Section 20 – Protection of the notifier

1. In principle, the notifier should never suffer any adverse effects (in terms of their employment relationship) except as a result of their own involvement in the breach of integrity.
2. If the notifier knew or reasonably could have been aware of the fact that they made a false notification, disciplinary measures may be imposed on them.

This Regulation replaces the "Regulation on special investigations into breaches of integrity (December 2010 version)" and entered into force on June 21, 2019

NOTES TO THE SPECIAL INTEGRITY INVESTIGATIONS REGULATION

A. General principles for special integrity investigationsSection 1 – Definitions

Sub k. Breaches of integrity are understood to include infringements of internal and external laws and regulations, which may compromise an employee's reliability. Breaches of integrity can take many forms. Examples include e-mail and internet abuse, disclosure of confidential information, theft, embezzlement, corruption, manipulation or misuse of information or access to information, wastage and unauthorised use of DNB property, use of physical violence, threats and intimidation, punishable misconduct, conflicts of interests, incompatible positions/ties/activities, and any forms of fraud. While this list is not exhaustive, it gives an indication of what constitutes a breach of integrity in the context of this Regulation.

Sub l. Depending on the employee's position, a superior can be a Department Head, a Division Director or a Governing Board member. A Section Head is not considered a superior in the context of this Regulation. If a superior is absent, their next higher superior will function as the superior.

Sub n. Notifications and signals of possible breaches of integrity may come from internal and external sources. Notifications may be received through different channels, such as email, webforms and letters, and they may be made on the grounds of different integrity regulations, such as the Regulation on actual or suspected wrongdoing and integrity-related and other incidents. Notifications and signals may be received from external parties or ensue from consultations in which C&I participates, they may come from managers reporting a suspected breach of integrity, or they may be revealed during regular internal checks at DNB.

B. Start and execution of the special integrity investigationSection 3. Notification

Subsection 1 In principle, the notifier should not suffer any adverse effects (in terms of their employment relationship) except as a result of their own involvement in the breach of integrity. See Section 18 for a more detailed explanation of the notifier's position.

Subsection 3 Notifications can be made anonymously or confidentially. In the case of anonymous notifications, the identity of the notifier is not known. The assessment of the notification may be complex as a result. No further questions can be asked and there is less transparency. Anonymous notifications are treated with restraint in the context of this Regulation. Anonymous notifications that can be verified, may lead to a special integrity investigation. In the case of confidential notifications, the notifier reports a breach or suspected breach of integrity to a superior, confidential adviser, compliance officer or intermediary with the express request that their details are not mentioned in the investigation or the report and that they are not disclosed to the person or persons involved. The notifier's identity is known to the superior, confidential adviser, compliance officer or intermediary. However, since not all details can be submitted to the person involved, a confidential notification conflicts with the right to hear and be heard.

Section 4. Assessment of the notification

Subsection 1 Following the receipt of a notification and based on the assessment criteria listed in this subsection, the Head of C&I determines whether a special integrity investigation should be initiated. In some cases no investigation will be initiated, for instance because the reported incident cannot be validated by investigation, or if the notification cannot be verified or traced. Also will be looked at the position of the notifier and the person involved, and their relationship. Does the notifier have sufficient knowledge of the incident and can the notification be regarded as reliable? It is also relevant to know whether the person involved was actually capable of committing the offence, i.e. were they present at the time of the breach or suspected breach of integrity? Reliability and probability also play a role, albeit not a decisive one: is there a logical connection between the facts from the notification and other known facts?

Subsection 2a If the notification is closed under the provisions of this regulation based on the fact that the incident is too insignificant to warrant a special integrity investigation, the notification could still be a reason to initiate a regular integrity investigation.

Subsection 3 If the notification is closed based on the fact that the incident is already under investigation (subsection 2c), the notifier cannot be explicitly informed about this for privacy reasons. In other words, the notifier is not informed about any other investigations concerning the incident.

Section 5. Preliminary investigation

the aim of a preliminary investigation is to gather any additional information that is necessary to complete the notification. A notification is considered complete if it can be assessed against the criteria set out in Section 4 of this Regulation. One of the outcomes of the preliminary investigation may be that the notification will be closed and no special integrity investigation will be initiated.

Section 6. Principal of a special integrity investigation

Independence and impartiality are the key principles in designating the principal. As a rule, the principal is the Division Director of the division where the person involved is employed, or the Division Director of the division where the breach or suspected breach of integrity occurred. The Head of C&I acts as the principal if the breach or suspected breach of integrity is of a cross-divisional nature, or if it is not possible to determine where the breach or suspected breach of integrity occurred or who committed the offense. The Head of the Internal Audit Department acts as the principal if the breach or suspected breach of integrity occurred under the responsibility of the Head of C&I. A Governing Board member or the Chair of the Supervisory Board may also act as the principal, depending under whose responsibility the breach or suspected breach of integrity occurred. The Chair of the Supervisory Board will only act as the principal if a Governing Board member may be involved in the breach or suspected breach of integrity occurred.

Section 7. Chief investigator and investigation team

The Head of C&I will appoint a chief investigator to conduct the special integrity investigation, and appoint the other members of the investigation team in consultation with the chief investigator. The chief investigator and the other members of the investigation team are appointed based on their competence, knowledge, experience and expertise. They must be able to conduct the investigation independently and impartially. The aim is to achieve a balanced composition of the investigation team.

Section 8. Task description

Subsections 1 and 2 The chief investigator formulates a task description for the special integrity investigation, which in any case includes the subjects listed in subsection 2. The task describes the principles underlying the investigation. Matters outside the scope of the commission that come to light during the investigation may result in an adjustment of the commission after consultation with the principal and the Head of C&I, or prompt another investigation.

Subsection 3 The legal assessment of the task description includes a check whether the chief investigator was able to formulate the task description in reasonableness.

C. During the special integrity investigation

Section 9. Resources and investigation file

Subsection 1 The person involved will be informed of the special integrity investigation. They will be informed about the reason for initiating the investigation, the findings so far, and who will be conducting the investigation. It is possible to refrain from informing the person involved if doing so would hamper the investigation. This could be the case if it is necessary to conduct further fact-finding research without the person involved's knowledge, for example to prevent documentary evidence from being destroyed.

Subsection 3 The investigation team is authorised to deploy various resources in order to conduct its investigation with due care. Examples of resources include the following:

1. *Holding interviews:* The investigation team may interview the person or persons involved and any (potential) witnesses of the breach or suspected breach of integrity. All interviews must be held in the presence of at least two members of the investigation team. If necessary, the interview is recorded by DNB. An interview report is made, which is provided to the interviewee for verification. The interviewee's response is included in the report. The report is then signed by the interviewers and presented to the interviewee to sign as seen or for approval. In addition to holding interviews, the members of the investigation team can also gather other oral information. This is not to gather evidence, but to gather general information concerning the breach or suspected breach of integrity. Hereby the above rules do not have to apply.
2. *Search of work environment* The investigation team is authorised to search the work environment of the person involved, such as cupboards, lockers, desks and service vehicles. Searches must be performed by at least two members of the investigation team. The investigators draw up a report of the findings of the search. The investigators are authorised to take measures such as sealing or closing (parts of) the work environment, if this is necessary to secure evidence and other materials found during the search.
3. *Search of corporate devices* The investigation team is authorised to search the corporate devices in use by the person involved, such as laptops and smartphones. Searches must be performed by at least two members of the investigation team. The investigators draw up a report of the findings of the search.
4. *Search of camera recordings* The investigation team is authorised to observe camera recordings. Observations must be performed by at least two members of the investigation team. The investigators draw up a report of the findings of the observations.
5. *Observation* The investigation team is authorised to observe the person or persons involved. This may include following the person involved or relevant objects, or placing hidden or visible cameras and microphones. Observations must be performed by at least two members of the investigation team. The investigators draw up a report of the findings of the observations.
6. *Network analysis* The investigation team is authorised to perform a network analysis on the person or persons involved to create an overview of the risks related to any financial or other interests, nepotism and secondary activities. Actual or perceived conflicts of interest often arise from various family or business relationships and networks. A network analysis can make visible these relationships and the risks of actual or perceived conflicts of interest. The investigators draw up a report of the findings of the analysis.
7. *Statistic and data analysis* The investigation team is authorised to perform statistic and data analyses. Such analyses may help to detect unusual patterns. The investigators draw up a report of the findings.
8. *Audit trail analysis (logging)* The investigation team is authorised to analyse audit trails for analysis purposes. Audit trails may include attendance registration data, logfile transactions and authorisation data and may provide insight into the actions of the person or persons involved. The investigators draw up a report of the findings.
9. *Document analysis* The investigation team is authorised to use relevant documentation in the context of the investigation. Documents can be a source of information. The investigators draw up a report of the findings.
10. *Consultation of public sources* The investigation team is authorised to consult public sources in the context of the investigation. The investigators draw up a report of the findings.

The deployment of resources will be assessed against the principles set out in Section 14(1).

Subsection 4 The person involved receives a transcript of the final interview report.

Subsection 5 Digital reporting and file recording is preferred. The key principle underlying reporting and file recording is that an experienced, independent investigator who was not involved in the investigation should be able to reproduce the reports of a special integrity investigation. The file is the substantiation of the findings and circumstances as described in the final investigation report.

Subsection 6 A key component of a special integrity investigation is gathering evidence, digital or otherwise. This evidence serves as the substantiation of findings. It is not recorded in the investigation file itself, but the file contains references as to where the evidence can be found. For example, on a data storage device. A reason for this could be the size: digital evidence may be several gigabytes in size. Another reason may be that the evidence is of a physical nature and cannot be stored digitally in the investigation file. Here too, the file contains a reference as to where this evidence can be found (e.g. a safety box, cupboard, or another storage location).

Section 10 – Draft investigation report

Subsection 1 In principle, the draft investigation report is made available to the person involved in the context of their right to be heard, provided the report does not disclose confidential information from or about another person involved, a third party, or about operational processes. To allow them to take note of the findings and circumstances relating to them in the report, it could still be made available to them after removal or anonymization of the confidential information. It is possible to refrain from making the draft investigation report available to the person involved if doing so would hamper the investigation, for instance if the case is likely to be reported to the Public Prosecution Service in accordance with DNB's policy for reporting offences.

Subsection 2 The person involved is given the opportunity to submit a written response to the draft investigation report within the timeframe set by the chief investigator. The written response of the person involved will be part of the final investigation report.

Section 11 – Final investigation report

The final report issued by the investigation team contains all facts and circumstances relating to the actual or suspected breach of integrity. It has a conclusive summary with an objective representation of the facts and circumstances found. The investigation team submits the report to the principal. The Head of C&I receives a copy of the final report. In principle, the final investigation report is made available to the person involved and their superior, possibly after removal or anonymization of information.

Section 13 – Handling of the breach of integrity

If the outcome of the special integrity investigation reveals that there is a breach of integrity, it can be handled in the following ways.

1. The breach of integrity is imputable and will be handled in accordance with DNB's Sanctioning procedure.
2. The breach of integrity is not imputable or the person involved cannot be held accountable for it. In this context it is important to establish whether the person involved could reasonably have prevented the incident from happening, and the extent to which they were aware or should have been aware of the expectations regarding their compliance with internal or external laws, rules or basic values. In these cases, C&I will give advice on how to handle the breach of integrity. For example, the person involved's superior or C&I may have a serious talk with them, or adjustment of operational processes could be proposed.
3. The incident is reported to the Public Prosecution Service in accordance with DNB's policy for reporting offences. In addition, sanctions may still be imposed in accordance with DNB's Sanctioning procedure.

D. Other

Section 14 – Regulations and principles

This section lists the principles that DNB takes into account when conducting a special integrity investigation. The key principles are Article 8 of the European Convention for the Protection of Human Rights (ECHR), which stipulates in brief that everyone has the right to respect for their private and work life, and the General Data Protection Regulation (GDPR).

Subsection 1 The principles of proportionality and subsidiarity must be taken into account when assessing which resources and powers will be used in the investigation, and accordingly the extent to which the investigation will infringe on the person involved's private life. The proportionality principle implies that the method of investigation used by the investigation team should be appropriate to the purpose of the investigation. The subsidiarity principle then implies that of the appropriate methods available, taking into account the aim, that method should be used which is the least burdensome to the person or persons involved and third parties. So, if a less burdensome investigation method is available, the investigation team should use that method.

Subsection 2 In principle, the person involved has the right to be heard in a special integrity investigation. The outcome of a special integrity investigation may have far-reaching consequences for the person involved. That is why, in principle, they have the right to be informed about the investigation into them and about the possibility that their personal data may be processed in the context of this investigation. They also have the right to inspect

the draft investigation report and to be given the opportunity to respond in time to the information made available to them. Special circumstances may arise under which there would be no duty of disclosure and under which the person involved would have no right to inspect the investigation report, for instance if the investigation team hands over its findings for further investigation to the Public Prosecution Service in accordance with DNB's policy for reporting offences.

Section 15 – Independence

The investigation team conducts the special integrity investigation with due care, i.e. with objectivity and impartiality, and resulting in a sound and balanced report. The interests and rights of the person or persons involved are taken into account in the investigation. The investigation team autonomously decides which activities to deploy, and may not be hindered in any way.

The investigation team has an independent role, takes an independent stance and at all times prevents – actual or perceived – conflicts of interest that could hamper independent investigation.

If it is necessary in the context of the investigation to acquire outside expertise or to safeguard independence, the investigation team may decide to engage the services of a third party. The third party will be subject to the same due care requirements as the internal members of the investigation team.

Section 16 – Non-disclosure and confidentiality

Subsection 2 A statutory obligation of disclosure towards third parties may include a request from an investigative authority to make available or hand over certain data or objects (e.g. pursuant to Sections 96a and 126a of the Dutch Penal Code (*Wetboek van Strafvordering – WvSv*). Everybody, including the investigators and others involved in the special integrity investigation, is obliged to report knowledge of certain offences to an investigating officer pursuant to Section 160 of the *WvSv*. In addition to the statutory obligation of disclosure, the investigation team may decide to hand over information to the police that may not yet provide sufficient evidence for an offence against the *WvSv*. In both cases, i.e. under a statutory obligation or on its own initiative, the investigation team is authorised to share information from the special integrity investigation with the police. An exception to the non-disclosure obligation may apply if sharing the information is necessary in the context of legal proceedings, and if sharing the information with a third party is necessary in the context of the expertise or the information that third party can provide for the special integrity investigation.

Section 17

To ensure that the reputation of the person involved is violated as little as possible, it is important to exercise restraint in sharing their name. The name of the person involved will only be shared if this is necessary in the context of the special integrity investigation or preliminary investigation and any consequences ensuing from it, such as the imposition of a sanction, or if the incident is reported to the Public Prosecution Service. During the investigation, the name of the person involved will in any case be known to the commissioning authority, the Head of C&I, the principal investigator and the investigation team. In addition, provided this does not hamper the investigation, the superior of the person involved will be informed of the investigation. It may be necessary to share the name of the person involved in the context of the investigation, for example to make a data analysis or to interview witnesses. The circle of persons who are aware of the investigation and the name of the person involved should be as small as possible.

Section 18 – Disciplinary measures

In some cases it may be necessary to impose a disciplinary measure in order to prevent the person involved from carrying out activities and/or entering the workplace.

A suspected breach of integrity usually raises the question of whether the person involved should be allowed to continue work during the integrity investigation. For example, if the breach of integrity is likely to be continued or repeated, DNB cannot be reasonably expected to maintain the person involved on the workforce. In addition, their presence could hamper the integrity investigation, for example due to efforts on their part to frustrate the investigation – such as destroying evidence or influencing witnesses. Decisions to impose a disciplinary measure will always be communicated to the person involved in writing.

On the other side, it may be necessary that the person involved continue their work, for example if they need to be observed for a longer period in the context of further investigation. In that case, the person involved will not be aware of the fact that they are the subject of an investigation.

A disciplinary measure can only be imposed in consultation with the investigation team, since it could frustrate the investigation.

Section 19 – Complaints Procedure

DNB's Complaints Procedure applies to this regulation and to the special integrity investigation. If a person involved or a notifier believes the procedure was not followed or followed correctly, they can lodge a complaint to the Complaints Committee in accordance with DNB's Complaints Procedure.

Section 20 – Protection of the notifier

Subsection 1 Employees reporting a breach of integrity by a colleague or third parties should not suffer adverse consequences as a result, unless they are themselves involved in the breach of integrity. In the latter case, they also qualify as a person involved within the meaning of this Regulation. The fact that the employee reported the breach of integrity themselves may be a reason to reduce the severity of a disciplinary measure imposed on them.

Subsection 2 Notifiers reporting incidents in bad faith will not be protected. Bad faith involves a deliberately false or untrue report, for instance with the intention to damage another person's reputation. In cases of this nature there is no reason to protect the notifier, and disciplinary measures may be taken against them.