



**Uttaran**

# Risk Management Policy

**Community Mobilization**

**Poverty Eradication**

**Environmental Justice**

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## 1. Introduction

Uttaran is one of the largest private development organizations in the south-western region of Bangladesh. Uttaran now deals with all issues of public life successfully. A varied number of projects, including improving the rights of life and livelihoods of the poor people, protecting human rights, women empowerment, access of the landless on government lands and public service, water management and protecting river navigability, providing legal support, battling challenges of climate change, disaster management, primary health education, education service, water and sanitation and health rules, microcredit activities, food security and forming a republican society, sustainable agriculture, landscape and many others, are being implemented in 13 different districts of Bangladesh. Uttaran cares for every of its tasks, some of the tasks have made it more popular among the people and the notable tasks are the access of the landless on demesne, achieving rights of the untouchable peoples, women empowerment, educational activities, TRM for water clogging and protecting human rights.

Uttaran is committed to maintain high legal, ethical and moral standards, to adhere to the principles of integrity, objectivity and honesty and wishes to address the way that it conducts its activities. All members of staff are expected to share this commitment. The objective of this policy is to promote a culture which deters fraudulent activity and to facilitate the prevention and detection of risk and the development of procedures which will aid in the investigation of risk and related offences and which will ensure that such cases are dealt with timely and appropriately.

This document sets out the policy and procedures of (Organisation) against risk management and other forms of dishonesty, together with the steps that must be taken where any of these practices is suspected or discovered.

It applies to Directors, staff and volunteers. Anybody associated with (Organisation) who commits risk, theft or any other dishonesty, or who becomes aware of it and does not report it, will be subject to appropriate disciplinary action.

### 1.1 What is risk?

Risk is what might go wrong in an organisation. But a more precise definition is 'the effect of uncertainty on an organisation's objectives'. Potential risks come and go, or evolve, as an organisation's internal dynamics change, and as the external environment in which it operates changes. Keeping abreast of the risks that may affect the organisation must therefore be an ongoing activity.

### 1.2 Who is this document for?

This document is for Uttaran's staff who wants to effectively manage their risks and work well in Uttaran executive directors, managers, senior staff and any other relevant staff. It provides a step-by-step approach to help and formulate a risk management framework, policy and identify, assess, monitor and manage risk in the organisation.

### 1.3 What is risk management?

Effective risk management can go a long way to addressing this challenge. Risk management aims firstly at anticipating risks. Then it aims at preventing them from happening or at minimizing their impact if they do happen.

Risk Management is a process of undertaking coordinated activities to control or reduce risk. Since responding to risk is intended to help an organisation achieve its objectives, risk management must be integral to all aspects of the organisation including strategic planning, decision-making, operational planning and resource allocation.

A risk management system encompasses three key elements: risk management principles, a risk management framework and a risk management process.

Risk is part of all our lives. In organization cases, the risks we have to manage and care to evolve quickly. We need to make sure we manage risks so that we minimize their threats and maximize their potential.

Risk management involves understanding, analyzing and addressing risk to make sure organizations achieve their objectives. So it must be proportionate to the complexity and type of organization involved.

Because risk is inherent in everything we do, the type of roles undertaken by risk professionals are incredibly diverse. They include roles in civil society, stakeholders, business continuity, health and safety, corporate governance, planning and financial services.

Uttaran’s mission is to build excellence in risk management, in all sectors and across the country.

Finally, risk is present at all levels of activity. There are risks that may affect the organisation as a whole such as risks to the organization’s reputation. There are risks that may affect the health and safety of staff, financial activities, service delivery activities, or risks that affect more than one activity. There are also risks specific to each and every project. What this means is that everyone in an organisation bears some responsibility for managing risk.

#### 1.4 Types of Risk

Uttaran’s risks have mainly been defined in terms of security. Over the years, significant time and resources have been invested in trying to reduce risks for staff, financial, programmatic and institutional risks. Risk in Uttaran has been commonly categorized into three broad inter-connected types:

1. Contextual: risks which are external and often outside of the control of Uttaran (eg: natural disasters, terrorist activity, political instability, lack of public infrastructure).
2. Programmatic: risks which are related to how the project of program is designed and implemented, which may result in not meeting the needs beneficiaries and/or potentially doing harm (eg: diversion, lack of capacity, poor service delivery).
3. Organizational: risks which are internal to the organisation, and which may affect the security and safety of staff an/or the reputation of the organisation (eg: financial and human resource management systems/processes).

Contextual	Programmatic	Organisational
Natural disasters Terrorist activity Political instability Lack of public infrastructure Corruption	Diversion Poor service delivery Non-compliance with program and/or quality control processes	High turnover of staff Financial management Human resource management Lack of capacity Fraud

#### 1.5 Why Uttaran needs to manage risk?

Risk management is good practice. It helps an organisation to make more efficient use of resources, increase performance and minimize harm to staff and beneficiaries.

#### 1.6 Benefits of Risk Management

As well as contributing to compliance and good governance, effective risk management can contribute to strategic and business planning and the general running (operational activities) of Uttaran. It creates confidence

that your organisation can deliver the desired outcomes, manage threats to an acceptable degree, and make informed decisions about opportunities.

**Some benefits of risk management are that it helps to:**

- Reduce the likelihood of potentially costly surprises;
- Prepare for challenging events and improve overall resilience;
- Improve the quality of decision-making at all levels;
- Enable effective execution of decisions;
- Improve planning processes;
- Priorities resources;
- Increase performance;
- Establish clear purpose, roles and accountabilities for all staff; and
- Improve stakeholder confidence in the organization.

**1.7 Risk Appetite**

Risk appetite is the level of risk of Uttaran is prepared to accept or pursue. In general, Uttaran is more likely to have an appetite for low level risks than for high level risks. There may be exceptions - i.e. a high level risk, where the potential benefits of which may warrant 'taking the risk' - but these are for Uttaran to consider carefully.

Here's an example of risk appetite. Consider a risk such as 'failure to adequately resource a new service program, resulting in potential impact on objectives and reputation'. It may be that the 'new service program' is a desirable outcome for the organisation but requires additional resources. If the organisation cannot resource it adequately, the program may not be delivered and the organisation's objectives may not be achieved. The outcome would be undesirable but not severe, so attempting to deliver the program may be 'worth the risk'. The organisation would be said to have an appetite for this risk if it chooses to proceed with implementation under such circumstances.

**1.8 Building Blocks of the Risk Management System**

The main building blocks of risk management of Uttaran are- Principles, Framework, and Process - and how they fit together. These building blocks are sometimes called the risk management architecture.

The principles underpin the framework and process and are intended to help increase understanding and recognition of the vital role played by risk management throughout an organisation. There is also a circular, iterative relationship between Process and Framework. The Framework will inform how you undertake the Process. The results of undertaking the Process will feed back into, and may modify, the Framework. This will become clearer as you read through the document.



## 1.9 Risk Management Standards

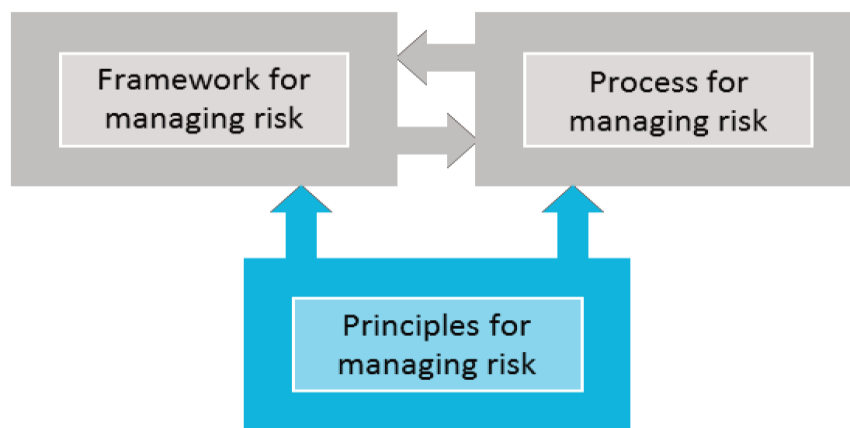
A number of standards have been developed to help organizations implementation risk management systematically and effectively. These standards seek to establish a common view on frameworks, processes and practice, and are generally set by recognized international standards bodies. Risk management is a fast-moving discipline and standards are regularly supplemented and updated.

The different standards reflect the different motivations and technical focus of their developers, and are appropriate in organizations and in different situations. Standards are normally voluntary, although adherence to a standard may be required by regulators or by contract.

**1.10 Risk Assessment:** The overall process of risk identification, risk analysis and risk evaluation.

**1.11 Risk Register:** A risk register is a database of risks that face an organisation at any one time. Always changing to reflect the dynamic nature of risks and the organization's management of them, its purpose is to help managers' priorities available resources to minimize risk and target improvements to best effect.

## 1.12 Risk Management Principles



### Overview

As indicated earlier, the principles underpin the framework and process and are intended to help increase understanding and recognition of the vital role played by risk management throughout Uttaran.

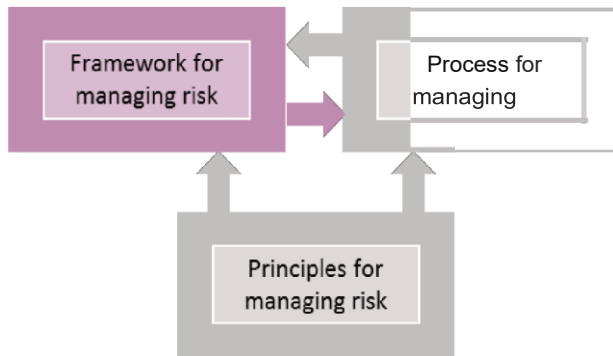
These principles are the risk management:

- is an integral part of organizational processes;
- creates and protects value;
- is part of decision making;
- explicitly addresses uncertainty;
- is systemic, structured and timely;
- is based on the best available information;
- is tailored to the organization's requirements;
- takes human and cultural factors into account;
- is dynamic, iterative and responsive to change;

- facilitates continual improvement of the organisation; and
- is transparent and inclusive;

### 1.13 Developing a Risk Management Framework

#### Building Blocks of Risk Management System



#### Risk Management Framework



#### 1.16.1 Overview of a Risk Management Framework

The Risk Management Framework describes how risk management is integrated into the organisation and aligned with every aspect of the organisation's:

- governance, strategy and planning;
- management, work plans and activities;
- internal and external reporting processes and communication mechanisms; and
- Policies, procedures, values and culture.

It clarifies the accountabilities, the reporting and escalation processes, as well as the communication and consultation mechanisms for internal and external stakeholders. It is advisable to have a Framework document. Uttaran have an extensive Framework document.

#### 1.16.2 Developing a Risk Management Framework

The steps for developing a Risk Management Framework are as follows:

- consider the Risk Management Principles;
- understand organisation and its context (both internal and external);
- develop a Risk Management Policy (see Annex A for an example);
- establish accountabilities (who is responsible for what);
- integrate risk management into organisation's processes, culture and values,
- involve staff so that they have ownership and buy-in which are essential to creating the culture;
- allocate sufficient time and resources; and
- Establish internal and external communication and reporting mechanisms (with management and staff and partners, donors and importantly beneficiaries).

#### 1.17 Establish accountabilities

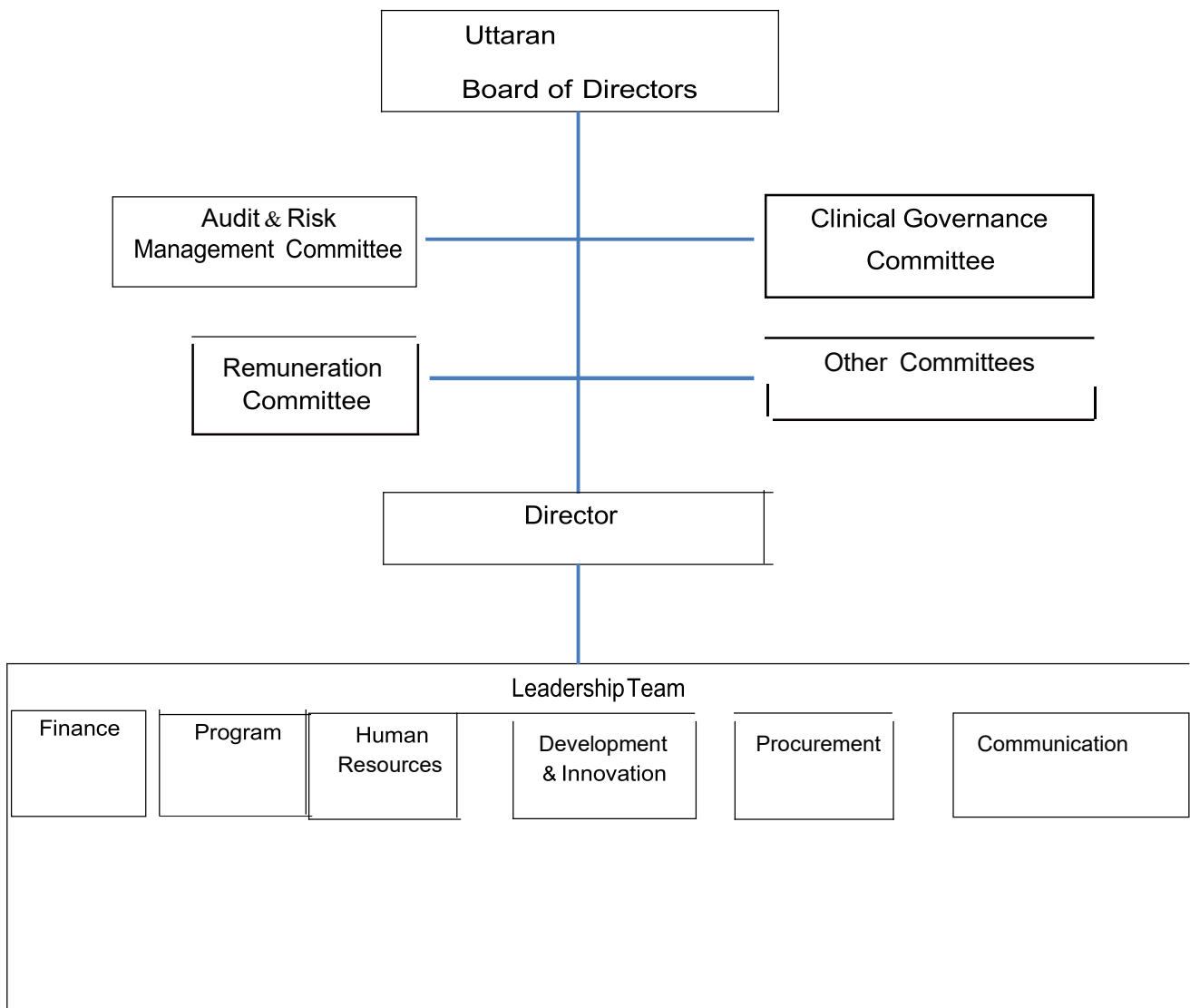
To make risk management work, there needs to be accountability for integrating risk management into Uttaran and for managing specific risks. This means making sure that these risks are assigned to specific people

who are then responsible for or 'own' these risks.

The tasks of managing the Framework and undertaking the Risk Management Process (identifying, assessing and treating risks) are generally carried out by a senior manager – Coordinator, Finance Coordinator or Admin Coordinator – who generally has a good understanding of all the organisational processes. Uttaran appoints a 'Risk Management Coordinator' or 'Risk Manager'. To achieve accountability for specific risks, it is useful to assign risks to nominated risk owners who are then accountable for managing them. Risk owners are usually senior managers or officers who have the authority to allocate resources to develop risk treatment actions and plans to manage risks to acceptable levels. These officers could include your program/project managers.

**Risk Management – Organisation Structure of Uttaran.**

The following organogram sets out where the Risk Management functions of the Uttaran:



### **1.17.1 Integrate risk management into organisation processes, culture and values**

Aligning how risk management is carried out with how your organisation is managed and operated, secures a greater level of engagement from management and staff when it comes to specific risk management activities. For example, you should try to use risk management to inform strategic and operational planning. You could also use risk management to help ensure that the objectives of those plans are realized. Where ever possible you should also make the effort to build in risk management to existing processes rather than making it a separate activity

### **1.18 Allocate sufficient time and resources**

The risk management activities require time and resources – limited commodities in the organisation. As part of your Framework, therefore, you need to determine what time and resources you can allocate to risk management activities in order to achieve the organisation's objectives and meet stakeholder requirements.

Initial activities such as developing the Risk Management Policy, Framework and Risk Register will take some time and effort. Ongoing activities such as risk assessments and risk reviews should be less demanding and so should form a normal part of each manager's role within the organisation.

You might also build into your Framework a timeframe for implementing various risk management activities and goals.

### **1.19 Establish internal and external communication and reporting mechanisms**

Risk management activities need to be communicated and/or reported to relevant internal and external stakeholders. Much of this can be done through your organisation's existing communication and reporting mechanisms, so you should factor these into the Framework. You may find that additional risk-focused mechanisms are required to keep all relevant officers, employees, volunteers and other stakeholders informed of risk management activities. If so, you will need to identify and develop such mechanisms as part of the Framework.

### **1.20 Develop guidance to support the analysis and evaluation of risks**

Your managers and staff will require guidance too effectively /consistently analyses and evaluate risks that they identify during the risk management process. As a starting point, you will need to make decisions and provide guidance on the following:

Identify categories of risk

How to measure the 'likelihood' of a risk occurring?

How to measure the 'consequences' of a risk should it occurs?

How to measure the 'overall level' of risk?

Decisions regarding escalation, retention and treatment

How to record risk information?

## **2. Financial risk management**

Financial risk management is the practice of economic value in an organization by using financial instruments to manage exposure to risk, particularly credit risk and market risk. Other types include Foreign exchange risk, Volatility risk, Sector risk, Liquidity risk, Inflation risk, etc. Similar to general risk management, financial risk management requires identifying its sources, measuring it, and plans

to address them.

Financial risk management can be qualitative and quantitative. As a specialization of risk management, financial risk management focuses on when and how to hedge using financial instruments to manage costly exposures to risk.

In the organization in all sectors we are generally adopted by internationally active rules for tracking, reporting and exposing operational, credit and other risks.

## 2.2 When to use financial risk management

When applied to financial risk management, this implies that organization managers should not hedge risks that investors/donors can hedge for themselves. This suggests that organization managers likely have many opportunities to create value for stakeholders using financial risk management.

The concepts of financial risk management change dramatically in the international realm. The organization is may faced with many different obstacles in overcoming these challenges. There has been some research on the risks firms must consider when operating in the country such as the three kinds of foreign exchange exposure i.e. transactions exposure, accounting exposure and economic exposure.

Financial risk is an umbrella term for multiple types of risk associated with financing, including financial transactions that include organization loans in risk if default. Risk is a term often used to imply downside risk, meaning the uncertainty of a return and the potential for financial loss.

## 2.4 Risk Area

### 2.3.1 Asset-backed risk

Risk that the changes in one or more assets that support an asset-backed security will significantly impact the value of the supported security. Risks include interest rate, term modification, and prepayment risk.

### 2.3.2 Investment risk

Risk of rapid and extreme changes in value due to differing accounting, reporting, or auditing standards; nationalization, expropriation or confiscatory taxation; economic conflict; or political or diplomatic changes. Valuation, liquidity, and regulatory issues may also add to investment risk.

### 2.4.1 Operational risk

Operational risk is "the risk of a change in value caused by the fact that actual losses, incurred for inadequate or failed internal processes, people and systems, or from external events (including legal risk), differ from the expected losses". This definition, adopted in proposed a revision to its operational risk capital framework that sets out a new standardized approach to replace the basic indicator approach and the standardized approach for calculating operational risk capital.

It can also include other classes of risk, such as fraud, security, privacy protection, legal risks, physical (e.g. infrastructure shutdown) or environmental risks.

Operational risk is a broad discipline, close to good management and quality management.

## 2.4.2 Other risks

2.4.2.1 Reputational risk

2.4.2.2 Legal risk

2.4.2.3 IT risk

## 3. Diversification

Financial risk and even inflation risk, can at least partially be moderated by forms of diversification.

The returns from different assets are highly unlikely to be perfectly correlated and the correlation may sometimes be negative.

There is a wide range of returns that an index fund may experience; so an index fund by itself is not "fully diversified". Greater diversification can be obtained by diversifying across asset classes; for instance a portfolio of many bonds and many equities can be constructed in order to further narrow the dispersion of possible portfolio outcomes.

A key issue in diversification is the correlation between assets, the benefits increasing with lower correlation. However this is not an observable quantity, since the future return on any asset can never be known with complete certainty.

Diversification has costs. Correlations must be identified and understood, and since they are not constant it may be necessary to rebalance the portfolio which incurs transaction costs due to buying and selling assets. There is also the risk that as an investor or fund manager diversifies their ability to monitor and understand the assets may decline leading to the possibility of losses due to poor decisions or unforeseen correlations.

All the risk incident must be write in the register and inform to management and donors in a same time.

## 4. Risk Mitigation:

### 4.1 Grievances

If any staff believes that s/ he is being deprived and the rights are being violated, the issues should be discussed with the supervisor and if the adopted measures, after the consultation, do not appear satisfactory, following measures could be followed.

### 4.2 Grievance procedure:

The following issues should be ensured as grievance procedure

4.2.1 Staffs should bring the grievance to the line manager at first

4.2.2 If line manager fails to resolve the issue, it should be brought under attention of the administration

4.2.3 If the grievance is not solved in this stage, it should be tabled to the director while the director will resolve the issue after the staff policy and as the chief of administrative body

4.2.4 Within 7 days of the events, it should be informed to the authority and the director will form probe (if necessary). Investigations should be done within 15 days and in case of necessity, the written statement of the accused should be informed to the accuser

4.2.5 Accuser will submit the accusation with his sign and date

4.2.6 the organization will not entertain any unnamed accusations

4.2.7 the staffs should remain aware that the grievance procedure will be free and fair

### 4.3 Discrimination and harassment

Based on Uttaran established policy, any staff is unable to force, harass, misuse intimacies, be biased and the options for genders based identities and sexual harassment is a punishable offence.

If any one of the following happens for sexual harassment –

4.3.1 for filing up sexual desires, if any superior officer/ staff provides any financial or other facilities or punishes being failed to fill the desires will be considered as sexual offence

4.3.2 If any superior officer or colleagues cast any unwanted sexual indication which damages the working environment will also be considered as sexual harassment

Measures against discrimination and harassment

4.3.3 Authority will take punitive measures if any incidents of discrimination or harassment take place

4.3.4 Uttaran will ensure equal environment for staffs from marginal population like indigenous people, minority, physically challenged, HIV/ AIDS positive and to ensure the staff rights, it will follow the existing law and Uttaran's code of conduct.

### 5. Uttaran Code of Conduct

Uttaran staffs will follow the following code of conducts to mitigate the risks.

5.1 Each of the staffs will follow all the rules and if evidences or suspicious events found about policy violation, it should be informed to Uttaran authority

5.2 All the staffs should be respectful to the constitution of the People's Republic of Bangladesh and besides, they are to work following the job policy, gender and children protection policy.

5.3 A staff should be polite, dedicated, courteous and should maintain a mutual respectful relation with the other staffs. Similarly, s/ he is to be friendly with the colleagues with professional manner

5.4 Personal conflicts should be avoided for Uttaran's interest and such issues should be informed to authority.

5.5 Using individual influence, any staff cannot influence any group, team or individual or cannot provide proposal to anyone about any personal benefits and cannot use any public or private properties or facilities or any financial resources.

5.6 Staffs have to ensure that their individual attitudes and relation will have no impacts on their professional roles

5.7 Any direct or indirect transactions or any gift or bribe that can influence performing any responsibility is not allowed

5.8 Dealing with organizations which are conflicting with Uttaran's ideal and values is not allowed

5.9 Zero tolerance is applicable for financial corruption, sexual harassment, anti-state activities, terrorism, militancy and proof on disobedience for any level of staffs and will result in termination from the job

5.10 The staffs should remain active to uphold the honesty and transparency of Uttaran to the people

5.11 The staffs cannot create any discrimination by their work and attitudes to any gender, age, religion, culture, education, disabilities, social position, minority and indigenous people.

5.12 All the staffs should follow the Money Laundering Act 2012 to prevent money laundering in foreign countries

5.13 Any staff cannot get involved with any individual or organization that is assistive to any militancy or anti-state activities and they should remain aware of the issue.

5.14 the staffs should prevent all types of misuse of natural resources and remain aware of the coastal weather and climate

5.15 the staffs should strictly maintain ban on all types of drugs, alcoholic beverages, drinking and marketing at the workplace or in any other places

5.16 Staffs should remain active against smuggling of the victimized people and identify the people involved in human smuggling and smuggling victims especially recovering women and children

5.17 All the organizational resources should be protected with top priority and cannot be handed over that may damage organization's interest

5.18 The staffs are disallowed to get involved with any political party while they are with the job and also cannot actively participate in any rallies, meeting, procession and similarly cannot use anything resembling the organization

5.19 Forcing anyone for sexual relationship or attempting, proposal for sexual relation, touching someone for sexual purposes, indecent indication, cracking indecent jokes, describing about sexual ability of own or others, comment on anyone's body is prohibited

5.20 Fueling on any activities that may result in conflict among the employees is banned and confidentiality should be maintained for office related tasks

5.21 Any illegal relation among the staffs should be resolved and 2<sup>nd</sup> marriage is prohibited in case of existing first wife's permission

5.22 Staffs should be respectful on the mutual religious feelings and cannot hurt the religious feelings as well

5.23 All the circulars and policies should be publicized instantly among the staffs and relevant departments

## 6. Punishment procedures

As per Uttaran management Policy Uttaran uses the following punishment procedures to mitigate the risks.

6.1 Base of disciplinary action

6.2 Offense types and base

Usually offences are of two types

- a. Minor offence
- b. Major offence

6.2.1 Minor offence

The followings are considered as minor offence

- Inconsiderate attitude with colleagues
- Breaking rules, misbehaves, disobeying superior officials
- Slight negligence on duty
- Disobeying office hours (coming in late and leaving office early)
- Destroying any Uttaran resource intentionally
- Deliberate absence at the workplace
- Creating internal conflicts
- Twisted information sending

6.2.2 Major offences

The followings are considered as major offence

- Violating Section 6.1 to 6.18
- Stealing office fund
- Stealing Uttaran resource or forgery
- Taking bribe for providing special benefit to anyone
- Misconduct or illicit relation with any female colleague or any beneficiary
- Smuggling Uttaran documents to outside
- If any activities of the staffs' damages Uttaran's reputation
- Assisting or getting involved in anti-state or anti-organizational activities
- Avoiding official orders
- Getting involved into activities against Uttaran

6.3 Punishment

  
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Two types of punishments will be provided based on offence type

6.3.1 minor punishment

6.3.2 major punishment

6.3.1 Minor Punishment

- Rebuking
- Verbal warning
- Written warning
- Temporary work abstention
- Temporary termination
- Fine or demurrage collection
- Temporary increment halt
- Transfer

If the offences are not similar to terminate the employee and if the staff is found guilty, then the following methods will be followed for minor punishment

- A cautionary notice will be sent if found guilty for the first time
- Final cautionary notice will be sent if the second crime is committed or fails to correct the behavior
- If the staff does not correct himself even after the final notice, extreme measures will be taken against the staff

6.3.2 Major Punishment

If any major offence is proved against any staff, the following measures will be adopted

- Demotion
- Termination
- Releasing from the job
- Obligatory retirement from the job
- Handing over to the law enforcers

The staff will not need any separate orders for termination if –

- If the allegations against the staff is found true by the written allegations and investigations and based on the replies of the accused
- If the staff fails to explain the exact reasons against the allegations within the 15 days to the authority
- If the accused admits the allegations in written
- The director will take final decision about termination of any staff

6.4 Punishment procedures

6.4.1 Proposing allegations

If any of the staffs break any rules of any policies or get involved with any criminal activity, it should be informed to the administration department by the line manager in written form. Administration will inform it to the director and others

6.4.1.1 If any staff is found neglecting duties, financial irregularities, violation of discipline, the monitoring officer will immediately inform it to the director through the administration in written

6.4.1.2 The director will form a three-member investigation committee to know about the allegations

6.4.1.3 the staff supervisor who will sign the allegation letter, show cause/ investigation notice cannot be the investigation committee member

6.4.1.4 Before investigation, the probe team will inform the accused about the issue in written

6.4.1.5 In case of necessity, the committee will the witness statement in written with a sing of the witness

  
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- 6.4.1.6 the evidences against the accused staff should be preserved
- 6.4.1.7 Investigation committee will make a TOR for the investigation
- 6.4.1.8 Following the TOR, all the investigations and other tasks will be done by 14 days
- 6.4.1.9 Investigation team may analyze any documents
- 6.4.1.10 If the relevant staff turns non-cooperative, the committee might take biased decisions
- 6.4.1.11 If proofs are found against the accused, s/ he will be given 15 days for self-support
- 6.4.1.12 The investigation report will be sent to the director within 7 working days once the process is done and each of the report pages will be signed by all the investigation committee members
- 6.4.1.13 The director will order to take measures within seven days after the investigation report
- 6.4.1.14 Administration will inform the final decision within seven days to the accused staff
- 6.4.1.15 For legal measures, the director will order the administration/ project head to take the proper steps and the administration/ project head will take the measures within next seven days

#### 6.4.2 Temporary termination during investigation

- 6.4.2.1 Departmental head/ project chief may terminate the staff temporary when alleged for the benefit of investigation but the duration of the temporary work abstention may not cross 90 days.
- 6.4.2.2 Temporary terminations will be applicable instantly and will be informed to the staffs in written
- 6.4.2.3 Administration will hand over the duties of the terminated staff to anyone else within three days after consultation with the director
- 6.4.2.4 Temporary terminated staff will sign on attendance sheet but will be assigned with no work and without written permission, the accused staff cannot leave he work station
- 6.4.2.5 Temporary terminated staff will get 50% of the salary and if proved not guilty after the investigation, s/ he will be restored in the position and the temporary termination will need to be removed and all the necessary allowances and salaries have to be paid

#### 6.4.3 Show Cause/ explanation

- 6.4.3.1 the supervisor may ask for show cause or explanation to the accused staff
- 6.4.3.2 the allegations should be mentioned in the show cause notice
- 6.4.3.3 the show cause notice will ask for explanations from the accused staff
- 6.4.3.4 the notice will contain the specific time and date to respond over the notice and at least 7 days should be allowed
- 6.4.3.5 But in case of sexual harassment, the investigation might start without showing any cause against the staff

#### 6.5 Warning

- 6.5.1 Warning should be issued following the types of minor offences
- 6.5.2 The warning should contain specific allegations
- 6.5.3 The warning should also contain the next punishment as well
- 6.5.4 the warning decisions should be taken based on the show cause and its explanation
- 6.5.5 the warning letter should be sent from the administration department

#### 6.6 Action

- 6.6.1 During action, the director will consider all the other aspects like the significance of the crime, past records and surrounding situations
- 6.6.2 Based on the significance of offence, the administration may provide him minor or major punishment after the approval from the director
- 6.6.3 If the staff denies accepting any notice, letter, accusation letter or any other document, then the document will be sent by post to the address preserved in the office and all evidences will be preserved on

this issue

#### 6.7 Maintaining confidentiality

The following issues will be considered as confidential

- Recruitment
- Warning notice
- Extending probation period
- Job contract
- Annual or any other salary increase
- Annual staff evaluation
- Release
- Termination

### 7. Staff Termination, Suspension, Dismissal, Resignation

#### 7.1 Suspension

Departmental head/ project chief may suspend the staff temporary when alleged for the benefit of investigation but the duration of the temporary work abstention may not cross 90 days

#### 7.2 Termination

Authority may terminate an employee for following reasons

- If the post of the staff is abolished
- If the job is not beneficial for organization
- If the project is ended or abandoned
- If any staff remains absent at the office for unapproved 60 days

##### 7.2.1 Regular staff termination

- A regular staff may get a notice for a month or with the salary of a month before termination
- If the staff is accused and proved guilty for misconduct

##### 7.2.2 Project staff termination

Generally, it will be considered that if the project is ended, done or abandoned, the staff will be terminated. Besides, the staff may also get a one-month notice and in case the section 20.1.1 will be applicable which is used for the regular staffs

##### 7.2.3 Termination for apprentice

If any of the attitudes of the apprentices is unsatisfactory, s/ he might be terminated with a seven-day notice without showing any cause

##### 7.2.4 Termination for contractual staffs

It will be considered that the contractual staff will be terminated once the contract is over. They could also be terminated after conditions. If the contract does not contain the duration of the termination, in that case, if the staff is terminated, a one-month notice or salary equivalent to one month will be provided

#### 7.3 Dismiss

- If any offence is proved against any staff, the authority may dismiss him based on the section

##### 7.3.2 of the staff management policy

- If the staff is found guilty in investigation, 15 days will be served for self-support and explain and if the staff fails to explain within 15 days or if the explanation appears unsatisfactory to the authority, the staff will be dismissed on that day
- All the dismissal will be approved by the director

#### 7.4 Withdraw

Any staff may be withdrawn without any prior notice if any punitive measure after this policy is taken

- If he is involved at any unethical activities
- If he is alleged of misconduct

Conclusion: This policy has been published as part of the last governing board meeting and it will be reviewed after next 3 years. The effective date of this policy is 1st January 2026.

The end

  
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