



OVERVIEW

The Rift Valley Institute (RVI) is committed to providing a safe environment for staff, consultants, partners and all those with whom we work and interact. This document contains RVI's safeguarding policy and associated policies. It explains who is protected, who is governed by the policies, and how it is implemented. The policies contained here are:

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These policies were approved by the RVI Board of Trustees on 8 September 2020.



Rift Valley Institute Safeguarding Policy

1. PURPOSE

The purpose of this safeguarding policy is to protect people, particularly children and at-risk adults, from any harm that may be caused by actions undertaken by the Rift Valley Institute (RVI). This includes harm arising from:

- The conduct of staff or personnel contracted by RVI.
- The design and implementation of the RVI's programmes and activities.

The policy lays out the commitments made by the Rift Valley Institute, and informs staff, consultants and partners formally contracted by RVI of their responsibilities in relation to safeguarding.

This policy does not cover:

- Sexual harassment in the workplace , which is covered in Rift Valley Institute's Anti Bullying and Harassment Policy.
- Safeguarding concerns not perpetrated by Rift Valley Institute or associated personnel.
- Discrimination and diversity in the workplace which is covered in RVI's staff handbook.

2. SAFEGUARDING

What is safeguarding?

Safeguarding means taking all reasonable steps to prevent physical or psychological harm, or the infringement of individual rights, particularly sexual exploitation, abuse and harassment from occurring; to protect people, especially children and vulnerable adults from that harm; and to respond appropriately when harm does occur. We apply this to the safety and welfare of people who are either the subject of our work, or who are on contract with RVI and conduct work on behalf of RVI.

Further definitions relating to safeguarding are provided in the glossary below.

Scope of policy

The safeguarding policy relates to:

- All personnel contracted by Rift Valley Institute, including permanent and temporary staff, and consultants.
- "Associated Personnel", who we define as individuals directly engaged with RVI's work or visitors to RVI to whom the Institute has a duty of care, including but not limited to the following: consultants; teachers; interns; volunteers; trainees; contractors; visitors including journalists, celebrities and politicians.

3. POLICY STATEMENT

RVI believes that everyone the Institute comes into contact with, regardless of age, gender, disability, religion or ethnic origin, has the right to be protected from all forms of harm, abuse, neglect and exploitation. RVI will not tolerate abuse and exploitation by staff or associated personnel. RVI commits to safeguarding individuals involved in or affected by its work, through the actions of prevention, reporting and response.

4. PREVENTION

Rift Valley Institute Responsibilities

To prevent harm, RVI will:

- Ensure all staff have access to and are familiar with these policies and their safeguarding responsibilities.
- Design and undertake all its programmes and activities in a way that protects people from any risk of harm that may arise from their coming into contact with RVI. This includes the way in which information about individuals in our programmes is gathered and communicated.
- Implement safeguarding procedures when recruiting, managing and deploying staff and associated personnel.
- Ensure staff receive training on safeguarding at a level commensurate with their role in the organization.
- Follow up on reports of safeguarding concerns promptly and according to due process.
- Contribute to creating and maintaining an environment that prevents safeguarding violations and promotes the implementation of the Safeguarding Policy.
- Report any concerns or suspicions regarding safeguarding violations by an RVI staff member or associated personnel to the appropriate staff member.

Staff Responsibilities

Child safeguarding

To protect children from harm RVI staff and associated personnel must not:

- Sexually abuse or exploit children.
- Engage in sexual activity with anyone under the age of 18.
- Subject a child to physical, emotional or psychological abuse, or neglect.
- Engage in any commercially exploitative activities with children including child labour or trafficking.

Adult safeguarding

To protect vulnerable adults, RVI staff and associated personnel must not:

- Sexually abuse or exploit at-risk adults.
- Subject an at-risk adult to physical, emotional or psychological abuse, or neglect.

Protection from sexual exploitation and abuse

To prevent sexual exploitation and abuse, RVI staff and associated personnel must not:

- Exchange money, employment, goods or services for sexual activity. This includes any assistance that is due to beneficiaries.
- Engage in any sexual relationships with beneficiaries of assistance, since they are based on inherently unequal power dynamics.

5. REPORTING

RVI will ensure that safe, appropriate, accessible means of reporting safeguarding concerns are available to staff and the communities we work with.

Any staff reporting concerns or complaints will be protected by RVI's Disclosure of Malpractice in the Workplace (Whistleblowing) Policy.

Rift Valley Institute will act on complaints from external sources such as members of the public, partners and official bodies.

How to report a safeguarding concern

Staff members who have a complaint or concern relating to safeguarding should report it immediately to the Safeguarding Lead or line manager. If the staff member does not feel comfortable reporting to the Safeguarding Lead or line manager (for example if they feel that the report will not be taken seriously, or if that person is implicated in the concern) they may report to any other appropriate staff member. For example, this could be a senior manager, a member of the Management Team, or Trustee or if the case involves the Executive Director, a Trustee.

6. RESPONSE

RVI will follow up safeguarding reports and concerns according to policy and procedures (see Procedures for reporting and response to safeguarding concerns in Associated Policies).

RVI will apply appropriate disciplinary measures to staff found in breach of the safeguarding policy to which they have agreed.

RVI will offer support to survivors of harm caused by staff or associated personnel, regardless of whether a formal internal response is carried out (such as an internal investigation). The type of support offered will be agreed with the survivor.

Confidentiality

It is essential that confidentiality is maintained at all stages of the process when dealing with safeguarding concerns. Information relating to the concern and subsequent case management should be shared on a need to know basis only and should be kept secure at all times.

7. ASSOCIATED POLICIES

Code of Conduct

Anti-Bullying and Harassment policy

Disclosure of Malpractice in the Workplace (Whistleblower) policy

Dealing with Safeguarding reports procedure

Grievance Policy

Procedures for safeguarding in staff recruitment - see staff handbook p 19.

8. GLOSSARY OF TERMS

Child: A person below the age of 18.

Harm: Psychological, physical and any other infringement of an individual's rights.

Psychological harm: Emotional or psychological abuse, including (but not limited to) humiliating and degrading treatment such as bad name calling, constant criticism, belittling, persistent shaming, solitary confinement and isolation.

Protection from Sexual Exploitation and Abuse (PSEA): The term used by the humanitarian and development community to refer to the prevention of sexual exploitation and abuse of affected populations by staff or associated personnel. The term derives from the United Nations Secretary General's Bulletin on Special Measures for Protection from Sexual Exploitation and Abuse (ST/SGB/2003/13).

Safeguarding: Safeguarding means taking all reasonable steps to prevent harm, particularly sexual exploitation, abuse and harassment from occurring; to protect people, especially vulnerable adults and children, from that harm; and to respond appropriately when harm does occur. We apply this to the safety and welfare of people involved in the delivery or receipt of humanitarian aid and development assistance.

Sexual abuse: The term 'sexual abuse' means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

Sexual exploitation: This means any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.

Survivor: The person who has been abused or exploited. The term 'survivor' is often used in preference to 'victim' as it implies strength, resilience and the capacity to survive, however it is the individual's choice how they wish to identify themselves.

At risk adult: Sometimes also referred to as vulnerable adult. A person who is or may be in need of care by reason of mental or other disability, age or illness; and who is or may be unable to take care of him or herself, or unable to protect him or herself against significant harm or exploitation.



1. INTRODUCTION

The Rift Valley Institute (RVI) is committed to the principle of equal opportunities for its staff. This means the Institute will make good faith efforts to comply with the spirit and letter of the United Kingdom employment equality law and other applicable national employment laws in the countries where staff are employed.

RVI will promote a conducive and harmonious working environment in which employees, interns, volunteers, and board members will be treated with dignity and respect. Bullying and harassment in the workplace will not be tolerated on the grounds of:

- Sex
- Pregnancy, maternity, or caring responsibilities
- Gender reassignment
- Marital or civil partnership status
- Religious or philosophical belief
- Political opinion
- Racial or ethnic group
- Sexual orientation
- Disability
- Age
- Social class

2. WHAT IS HARASSMENT?

Harassment is unwanted conduct related to the above characteristics which has the purpose of damaging, a person's or persons' dignity or of creating an intimidating, hostile, degrading, humiliating or offensive environment for that person or persons.

Many forms of behaviour may amount to harassment. Examples include:

- Physical conduct such as assaulting a person or making obscene gestures.
- Verbal conduct such as making racist, sexist, sectarian or homophobic remarks; making derogatory comments about a person's age or disability; or singing songs of this nature.
- The production of visual or written material containing racist, sexist, sectarian, homophobic or other derogatory words or pictures (e.g. in posters, graffiti, letters, emails or on social media) targeted at a person or persons.
- Isolating a person, or refusing to co-operate or help them at work or by excluding them from work-related social activities.
- Forcing a person to offer sexual favours or to take part in religious or political activities.

3. WHAT IS BULLYING?

Bullying is similar to harassment in that it is also offensive, hostile or oppressive behaviour. The main difference is that bullying behaviour need not be related to the grounds listed in the introduction on page 7/above, but may be done for other reasons, such as jealousy or personal dislike or revenge or insecurity.

4. IMPLICATIONS OF HARASSMENT AND BULLYING

Harassment and bullying can damage the health, confidence, morale and performance of employees who are affected by it. Harassment is unlawful under UK equality laws. Harassment and bullying may therefore be considered civil or criminal offences and contravene health and safety laws.

Both harassment and bullying are contrary to the standards of behaviour that RVI expects of employees and are not permitted or condoned. Such behaviour will be considered misconduct which may warrant dismissal from employment.

5. EMPLOYEES' RIGHTS

RVI employees have a right to work in an environment that is free from harassment and bullying and have the right to complain about such behaviour should it occur.

An internal grievance policy exists to deal with such complaints and aggrieved employees are encouraged to use it. All complaints will be dealt with seriously, promptly and confidentially. Employees who make complaints, and others who give evidence or information in connection with such complaints, will not be victimised; they will not be discriminated against, harassed or bullied in retaliation for their actions. Victimisation is also discrimination contrary to the UK equality laws and this policy. We will treat it as misconduct which may warrant dismissal from employment.

The internal grievance procedure does not replace the right of aggrieved employees to also pursue complaints in their local jurisdiction. All employees are governed by the laws stated in their contracts.

6. EMPLOYEES' RESPONSIBILITIES

All RVI employees must comply with this policy and treat each other with dignity and respect. They must not commit any acts of harassment or bullying against any person, including co-workers, job applicants, partners or clients. Such behaviour will not be permitted or condoned and may warrant dismissal from employment.

All RVI employees should discourage harassment and bullying by making it clear that they find such behaviour unacceptable and by supporting co-workers who suffer such treatment. Managers have a responsibility to set a good example for other employees to follow and intervening where necessary. Any employee who is aware of any harassment or bullying of a colleague should alert a manager or Safeguarding Lead in order that the behaviour can be dealt with promptly. (See RVI's policy on Disclosure of Malpractice in the Workplace (Whistleblowing)).

7. EMPLOYER'S RESPONSIBILITIES

RVI will continually strive to create a working environment that is free from harassment and bullying. To implement this policy, RVI will:

- Provide all employees, line managers and supervisors with a copy of this policy and explain it to them.
- Provide appropriate training to managers and supervisors.
- Ensure that all complaints of harassment and bullying are dealt with promptly, seriously and confidentially and in accordance with RVI's internal grievance policy.
- Set a good example by treating employees with fairness, dignity and respect.
- Be alert to unacceptable behaviour and take appropriate action to stop it.
- Monitor all incidents of harassment and bullying and review the effectiveness of this policy periodically.

8. RESPONDING TO HARASSMENT OR BULLYING

A person who believes they are being harassed or bullied, may wish to raise the problem informally with the person responsible. Explaining the situation or event and making clear the impact may give the person responsible the opportunity to change or stop their behaviour.

If that fails to resolve the matter, it should be raised formally according to our grievance policy procedures. All complaints will be investigated in accordance with that policy. If it is concluded that there is sufficient evidence of harassment or bullying appropriate action will be taken. This may include invoking RVI disciplinary procedures. Whether or not your complaint is upheld, consideration will be made on how best to manage any ongoing working relationship between you and the person concerned.

June 2020 (to next be reviewed June 2021)



Rift Valley Institute
Disclosure and Reporting of Malpractice in the Workplace Policy (whistleblowing)

PURPOSE

It is vital that everyone who works for the Rift Valley Institute maintains the highest standards of conduct, integrity and ethics, and complies with local legislation.

If an employee, volunteer, partner, consultant or contractor has any genuine concerns about malpractice in the work place, they must be able to communicate these without fear of reprisals and in the knowledge that they will be protected from victimisation and dismissal.

Malpractice includes, but is not limited to the issues listed below:

- Financial wrongdoing including theft, bribery, fraud, money laundering and aid diversion
- A failure to comply with any legal obligations
- Sexual misconduct, including sexual abuse, harassment or exploitation (see Rift Valley Institute Safeguarding Policy)
- Abuse or exploitation of children, vulnerable adults or beneficiaries (see Rift Valley Institute Safeguarding Policy)
- Breach of the Rift Valley Institute policies
- Abuse of position
- Endangering the health and safety of individuals
- Malicious damage to the environment
- Improper conduct or unethical behaviour
- Activity which would bring the organisation into serious disrepute
- The deliberate concealment of information relating to any of the matters listed above

RVI employees have a responsibility to report genuine concerns about malpractice involving RVI staff, and associated personnel. A staff member will not be at risk of losing their job or from suffering any form of retribution as a result, even if later discovered to be mistaken. Any individual who maliciously raises a matter they know to be untrue, who is found to be making false allegations or who is involved in any way in the malpractice will have disciplinary action taken against them.

When it is believed that the actions of someone who works for Rift Valley Institute could lead to or has resulted in malpractice, the procedures below should be followed. These procedures are not intended to replace the Rift Valley Institute's Grievance Policy, which continues to be the appropriate way to raise personal issues relating to the specific job or employment.

In the first instance, the matter should be raised with a line manager, who will consult with the appropriate focal point. If unable to raise the matter with a line manager, it should be raised with a more senior manager.

At the point of raising a concern it would be useful for the staff member to share information describing:

- Whether anyone is at immediate risk of harm?
- What happened? If possible make note of dates, times, places, people.
- Who is involved?

- How do you know about it?
- When were you first concerned about it?
- Have you told anybody about it?
- Was any action taken?

All staff should:

- Report incidents of theft, fraud, or corruption immediately to Rift Valley Institute's Head of Finance
- Report Safeguarding concerns relating to sexual abuse or exploitation of children, vulnerable adults, beneficiaries or any Rift Valley Institute representative to Rift Valley Institute's Safeguarding Lead
- Report any other incidents of malpractice in the workplace to the Head of Finance and Operations

A decision will be made on whether it is appropriate to handle such complaints under this policy. Where not appropriate, the complainant will be informed and their permission sought to divert the issue to the appropriate human resources procedures.

When matters are reported, an investigation will be followed in line with RVI's Fraud and Corruption policy. The investigation will be undertaken by the Safeguarding Lead. The outcome may involve taking disciplinary action if misconduct has been proved, which may include dismissal. RVI will take appropriate action, which may end in dismissal, in accordance with the relevant procedure against any employee, volunteer or consultant who:

- Has been found to be victimising another individual for using this procedure, or deterring them from reporting genuine concerns under it.
- Made a disclosure maliciously that is known to be untrue or without reasonable grounds for believing that the information supplied was accurate.

Staff will be notified once the matter has been resolved, but outcomes are subject to confidentiality and will not be communicated.

FREQUENTLY ASKED QUESTIONS

What if the line manager is involved in the alleged malpractice in some way?

If the line manager is involved in the alleged malpractice, the matter should be raised with the next senior manager. Concerns regarding financial wrongdoing may be raised directly with the Head of Finance and concerns relating to sexual abuse or exploitation of children, vulnerable adults, beneficiaries or any Rift Valley Institute representative, with the Safeguarding Lead.

Can the disclosure be made anonymously?

Staff are strongly encouraged not to make anonymous disclosures as details and further concerns cannot then be checked with and this may seriously limit the ability of investigators to pursue the matter. All disclosures, made anonymously or otherwise, will be reviewed but lack of information may limit the nature, extent and outcome of the investigation.

Who will conduct the investigation?

A Decision Maker from within Rift Valley Institute will be appointed. On rare occasions, or for complex safeguarding cases, external investigation support may be sought.

What if the matter involves a criminal offence?

The issue may also be reported to the police if a criminal offence, such as fraud or theft, or sexual assault has been committed.

What if the matter is a complaint about the performance or behaviour of a manager or colleague against me?

Such complaints will be directed for action to the appropriate human resources policy unless the concerns relate to concerns of sexual misconduct or other forms of malpractice listed in this policy.

February 2020 (to be reviewed February 2021)



Rift Valley Institute Policy for Dealing with Safeguarding Reports

PURPOSE AND SCOPE

The purpose of this document is to provide procedures for RVI staff to deal with reports of breaches of the Rift Valley Institute's Safeguarding Policy, where the violation is reported to be:

- Against staff or members of the public,
- Perpetrated by staff, partners or associated personnel.¹

PROCEDURES: INDIVIDUAL RESPONSIBILITIES

1. Report is received

1.1 Reports can reach the organization through various routes, such as a letter, e-mail, text or message on social media, or in the form of informal discussion or rumours. If a staff member receives a direct report or hears something in an informal discussion that they think is a safeguarding concern, they should report this to the appropriate staff member in their organization.

1.2 If a safeguarding concern is disclosed directly to a member of staff, the person receiving the report should bear the following in mind:

- Listen
- Empathize with the person
- Ask who, when, where, what but not why
- Repeat the questions to check your understanding of the situation
- Report the matter to the appropriate staff member (see below)

1.3 The person receiving the report should then document the following information:

- Name of person(s) making report
- Date of the report
- Name(s) of alleged survivor(s) of safeguarding incident(s) if different from above
- Name(s) of alleged perpetrator(s)
- Description of incident(s)
- Dates(s), times(s) and location(s) of incident
- Who, if anyone, has been informed about the incident(s)

The report should be signed and dated.

1.4 The person receiving the report should then forward this information to the designated Safeguarding Lead or another appropriate staff member within 24 hours.

¹ Associated personnel include (but is not limited to) consultants, volunteers, contractors, staff of partner organizations and visitors to and guests of RVI.

1.5 Due to the sensitive nature of safeguarding concerns, confidentiality must be maintained during all stages of the reporting process, and information shared on a limited need to know basis only. This includes senior management who might otherwise be appraised of a serious incident.

1.6 The person who is alleged to have committed the safeguarding offence shall be treated as innocent until the allegations are legally proven. RVI recognises that the reporting and investigative process could cause significant psychological and professional harm, including to those falsely accused or in some way professionally implicated. Safeguarding will not be used as a pathway to address performance issues. The process will be managed in such a way that ensures confidentiality, respect, dignity and psychological safety to all involved.

1.7 If the reporting staff member is not satisfied that the Safeguarding Lead is appropriately addressing the report, they have a right to escalate the matter, either up the management line to more senior staff, to the Board of Trustees if the issue involves the Executive Director, or to an external statutory body. The staff member will be protected against any negative repercussions as a result of this report. See Rift Valley Institute Complaints Policy and Disclosure of Malpractice in the Workplace Policy.

2. HOW TO PROCEED WITH THE REPORT: ORGANISATIONAL RESPONSIBILITIES

2.1 Appoint a “Decision Maker”, for handling this report. In most cases this will be the Safeguarding Lead.

A case file should be opened and all related documents filed and kept in a confidential and secure location.

2.2 The Decision Maker determines whether it is possible to take this report forward against the following criteria:

- Does the reported incident(s) represent a breach of safeguarding policy?
- Is there sufficient information to follow up this report?

2.3 If the reported incident does not represent a breach of the RVI’s Safeguarding Policy, but represents a safeguarding risk to others (such as a child safeguarding incident), the report should be referred through the appropriate channels (e.g. local authorities) if it is safe to do so.

2.4 If the information is in the form of a rumour and not a direct or proven allegation it is important to avoid causing harm by inadvertently circulating the rumour within RVI. If a specific person is not named as an alleged victim or a perpetrator or as a witness, it will be necessary to speak to the original source. A decision will then be carefully taken as to whether there is sufficient information to merit further enquiry. If persons considered to be potential informants are approached for interview they will be asked to agree to the confidentiality of the enquiry up front, and will not, under any circumstances be invited to speculate on what or who may or may not be behind the rumour. The accused will be informed of an allegation and what steps are being taken in response. A report documenting what action was taken, conclusions reached and any wider lessons from the incident(s) will be prepared by the Safeguarding Lead and may be shared with the Executive Director. An unproven allegation will not be filed or recorded in the accused’s personnel file, or be used or referred to in any way should any grievance or disciplinary procedure follow. Additionally, the contents of the allegations will not be used in professional references.

2.5 If at any point in the process of responding to the report it becomes apparent that anyone involved is a child under the age of 18, the Decision Maker should be immediately informed and the Decision Maker should seek expert advice before proceeding.

2.6 If the decision is made by RVI to take the report forward, the Institute needs to ensure it has the relevant expertise and capacity to manage a safeguarding case. If the in-house expertise does not exist, RVI may need to seek external expertise.

2.7 Clarify what, how and with whom information will be shared relating to this case. Confidentiality should be maintained at all times, and information shared on a need-to-know basis only.

2.8 There may be other policies depending on the type of concern the report relates to. For example workplace sexual harassment is dealt with through RVI's Anti-Bullying and Harassment policy. If there isn't a policy for the type of report that has been made, follow these procedures.

2.9 The Institute's obligations on informing relevant bodies when a safeguarding report is received need to be checked. These include (but are not limited to):

- Funding organisations
- Umbrella bodies/networks
- Statutory bodies (such as the Charity Commission in the UK)

Some of them may require being informed when a report is received; others may require information on completion of the case. The confidentiality and libel implications of submitting information to these bodies must be carefully considered.

3. APPOINT ROLES AND RESPONSIBILITIES FOR CASE MANAGEMENT

3.1 The Institute will need to appoint a 'Decision Maker' for the case, who should be a senior staff member, not implicated or involved in the case in any way.

3.2 If the report alleges a serious safeguarding violation, RVI will initiate a meeting on the matter, to involve:

- Decision Maker
- Person who received the report (such as the safeguarding focal point)
- HR manager
- Safeguarding adviser (or equivalent) if there is one

The meeting should decide and document the next steps to take, including any protection concerns and support needs for the survivor and other stakeholders (see below).

4. Provide support to survivor where needed/requested

4.1 RVI, as part of its duty of care, will provide appropriate support to survivor(s) of safeguarding incidents where a decision is made that it is warranted. This should be provided even if the report has not yet been investigated. Support could include (but is not limited to):

- Psychosocial care or counselling
- Medical assistance
- Protection or security assistance (for example being moved to a safe location)

4.2 The survivor's request for support should be respected.

4.3 RVI has a duty of care to its staff and consultants who may be alleged, but unproven, to have been involved in any way in a safeguarding incident.

5. ASSESS ANY PROTECTION OR SECURITY RISKS TO STAKEHOLDERS

5.1 For reports relating to serious incidents, an immediate risk assessment should be undertaken to determine whether there are any current or potential risks to any stakeholders involved in the case, and develop a mitigation plan if required.

5.2 The risk assessment and plan should be updated on a regular basis throughout and after the case as required.

6. DECIDE ON NEXT STEPS

6.1 The Decision Maker decides the next steps. These could be (but are not limited to):

- No further action (for example if there is insufficient information to follow up, or the report refers to incidents outside the organization's remit)
- An Investigation is required to gather further information
- Immediate disciplinary action is taken if no further information is needed
- The case is referred to relevant authorities
- Legal advice may be taken before the case is referred to relevant authorities.

6.2 If the report concerns associated personnel (for example contractors, consultants or suppliers), the decision-making process will be different. Although associated personnel are not staff members, RVI has a duty of care to protect from harm anyone who comes into contact with any aspect of our programme. We cannot follow disciplinary processes with individuals outside our organisation, however decisions may be made for example to terminate a contract with a supplier based on the actions of their staff, or refer the matter to the individual's employer or relevant authorities.

7. MANAGE INVESTIGATION IF REQUIRED

7.1 Refer to the organization's procedures for investigating breaches of policy. If these do not cover safeguarding investigations, external guidelines for investigating safeguarding reports, such as the CHS Alliance Guidelines for Investigations should be referred to.²

8. MAKE DECISION ON OUTCOME OF INVESTIGATION REPORT

8.1 The Decision Maker will make a decision based on the information provided in the investigation report. These should be made in accordance with existing policies and procedures for staff misconduct.

8.2 If at any stage in the process criminal activity is suspected, the case should be referred to the relevant authorities unless this is judged to pose a risk to anyone involved in the case. In this case, the Decision Maker together with other senior staff will need to decide how to proceed.

² https://www.chsalliance.org/files/files/Investigation-Guidelines-2015_English.pdf

This decision should be made bearing in mind a risk assessment of potential protection risks to all concerned, including the survivor and the person(s) accused.

9. CONCLUDE THE CASE

9.1 Document all decisions made resulting from the case clearly and confidentially.

9.2 Store all information relating to the case confidentially, and in accordance with RVI policy and data protection law.

9.3 Record anonymised data relating to the case to fulfil organizational reporting requirements (eg. to the Board, or to donors), and to inform learning for dealing with future cases.

February 2020 (to be reviewed February 2021)



Rift Valley Institute Grievance Policy

POLICY STATEMENT

Receiving feedback, criticism, complaints, grievances and responding to them is an important part of improving the Rift Valley Institute's (RVI) accountability. Ensuring that the people and organizations that the RVI works with can hold the Institute to account will improve the quality of our work.

SCOPE

This policy applies to the RVI and is global in its application.

DEFINITIONS

A grievance can be a criticism or a complaint and an expression of dissatisfaction about the standards of service, actions or lack of action, by RVI or its staff and associated personnel. A grievance may be made by an employee, a partner organisation, a community or an individual. It is a criticism about some action for which RVI is directly responsible or is within the Institute's sphere of influence, and that expects a response from RVI. It could include the following (which is not an exhaustive list):

- Concern by an individual or organisation about the quality or impact of our work delivery
- Concern from a member of the public or supporter about a particular fundraising approach or campaign action
- Concern about the behaviour of staff or associated personnel

A grievance is not:

- A general inquiry about RVI's work
- A request for information
- A contractual dispute
- A request to amend records e.g. to correct an address, cancel a donation
- A request to unsubscribe from a Rift Valley Institute service (e.g. a campaign newsletter or email).

The grievance procedures do not apply to complaints that are subject to current investigation by a regulatory body or other legal or official authorities in the UK and countries where the Institute operates. Such issues will be dealt with by the relevant regulatory body.

WHO CAN RAISE A GRIEVANCE?

This policy is global in application. A complaint can be made by:

- A Fellow or associate of RVI
- A partner organisation
- Community or individual with whom the Institute works
- Any member of the public who is affected by the work of RVI.

WHO IS NOT COVERED BY THIS POLICY?

Grievance complaints by employees are governed by RVI's procedures for dealing with problems in the workplace, such as the Anti Bullying and Harassment Policy. Complaints relating to serious incidents such as fraud and corruption or safeguarding concerns will be dealt with through the relevant policy and procedures.

PROCEDURES FOR RAISING A GRIEVANCE

Most concerns raised about RVI's work or behaviour should be dealt with immediately and informally by RVI staff at a local level. However, not all issues can be resolved in this way and a formal grievance procedure exists for those occasions when an individual or organisation wishes to make their complaint a matter of record and to receive a formal response. The procedure for making a formal complaint is:

- All formal complaints should be made in writing either directly by the individual or organisation making the complaint or via someone acting on their behalf.
- Complaints should first be directed to a line manager. Failing that, to the head of human resources or Safeguarding Lead. As a last resort a complaint may be lodged with the organisational Director.

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