



INFECTIOUS DISEASES INSTITUTE

SAFE GUARDING POLICY

Effective April 2021

Signed by:

Dr. Andrew Kambugu
Executive Director

Susan Lamunu Shereni
Head Dep't Finance & Administration

Contents

1. Policy statement	3
2. Scope of the policy	3
3. Safe recruitment and selection of personnel and partners.....	4
4. Responsibilities	4
5. Education and training.....	5
6. Safeguarding function and Safeguarding committee	6
8. Ramifications of Misconduct.....	7
9. Policy monitoring and review	7
10. Key definitions.....	8
11. Appendix A. Implementation.....	8
12. Appendix B. Implementation guidelines of IDI's partners.....	10
13. Appendix C. Safeguarding reporting forms	11

1. Policy statement

The Infectious Diseases Institute (IDI) is fully committed to responsive safeguarding of all children and adults at risk from all forms of violence. We take very seriously our responsibility and duty to ensure that we, as an institute, and anyone who represents us does not in any way harm, abuse or commit any other act of violence against children and adult at risk or place them at risk of the same.

We promote safe practices, approaches, interventions and environments that respect, recognise and respond to the specific safeguarding needs and addresses the safeguarding risks of any one who comes into contact with our programs and projects. We will challenge, and do not tolerate inequality, discrimination or exclusion. We ensure all who work with and engage with us understand and are supported in meeting their safeguarding roles and responsibilities. We take positive action to prevent anyone who might be a risk to children and adults from becoming involved with us and take stringent measures against any Staff, Associate or Visitor who perpetrates an act of violence against a child.

This Safeguarding Policy should be considered alongside other relevant policies and procedures in IDI's Human Resource Manual including; Child Protection policy, Whistle blowing, Harassment (which includes sexual harassment and bullying), among others.

2. Scope of the policy

The purpose of this policy is to protect people, particularly children, at risk adults and beneficiaries of assistance, from any harm that may be caused due to their coming into contact with IDI.

IDI is fully committed to safeguarding children and adults at risk against any form of harm (physical or mental violence, injury and abuse, neglect or negligent treatment, maltreatment, sexual abuse and sexual exploitation) and acknowledge that we have a duty to promote the gender responsive safeguarding of children and young people and particularly those with whom we work or are in contact. The purpose of this policy is to ensure that:

- All who work for and engage with us are skilled, confident, understand, and are well supported in meeting their responsibilities to safeguard children, young people and adult at risk from violence and engage positively with them in ways that enhance the achievement of our Purpose;
- We have in place procedures to prevent and deal with the actions/behaviour of our Staff, Associates, Visitors, contractors and suppliers or us as an organisation that result in violence against a child, young person or adult at risk and/or places them at risk of the same; and
- Children, young people and adult at risk we work with are aware of our responsibilities to prevent and respond to any harm against them arising from actions and behaviours of our Staff, Associates and Visitors, contractors, suppliers and, the routes for reporting such incidents.

The Policy applies to all staff, full time, part time, volunteers and to those engaged on short-term contracts e.g. consultants, researchers, sub-contractors and suppliers of IDI. The policy also applies to staff and representatives of partner agencies and any other individuals, groups or organisations who have a formal/ contractual relationship with IDI that involves any contact with children or vulnerable adults (unless it is formally agreed that a partner organisation enforces its own safeguarding policy).

Donors, journalists, politicians and other people who visit any of IDI's programmes or offices must be made aware that this Safeguarding Policy applies to them. IDI expects that all those above, when representing IDI, must act in accordance with this policy in both their professional and personal lives during and outside of working hours.

3. Safe recruitment and selection of personnel and partners

- IDI applies robust safe recruitment approaches when recruiting and selecting staff, and volunteers. A zero-tolerance safeguarding commitment is in all job descriptions and full background checks are carried out on all prospective staff. IDI's Recruitment and Selection Policy will align with this Safeguarding Policy. Organisations selected to work in partnership with IDI will be supported to have a Safeguarding Policy in place that is rigorous and appropriate, and aligned with IDI's commitment and expectations towards safeguarding. Partnership agreements shall reflect our commitments and obligations towards safeguarding (**see Appendix B. Implementation guidelines of IDI's partners**)
- Partnership agreements between IDI and partners will show clearly that all safeguarding issues must be reported immediately and within 24 hours to the Executive Director of IDI. The concerned organisation will continuously update the office of ED on how the case is being handled until its logically concluded
- A clear Code of Conduct will be shared and adhered to by all partner personnel, sub-contractors, and other representatives.

4. Responsibilities

IDI management:

- Ensure all staff have access to, are familiar with, and know their responsibilities within this policy
- 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 IDI. This includes the way in which information about individuals in our programmes is gathered and communicated
- The management shall provide safe channel through which staff and communities can use to report a concern; and that it will take immediate action upon receipt of a reported concern.
- Management shall have plan of action on safeguarding with dedicated resources aiming at ensuring compliance to standards on safeguarding.
- All departments shall have awareness program on safeguarding in their department to build the capacities of their staff. Before the program or project commences, a safeguarding risk assessment shall be carried out and mitigation plan developed
- HR department incorporate safeguarding in all the processes including background check; assessing values of application during the written test and interviews, induction on safeguarding and safeguarding in performance objectives and management.
- Follow up on reports of safeguarding concerns promptly and according to due process
- Appoint and train safeguarding focal persons for every department and geographical area to receive safeguarding complaints in their department. Clear terms shall be developed to enable the operate
- IDI shall designate an officer who will coordinate activities of safe guarding in the institution and ensure compliance with safe guarding standard both internally and externally (sub grantees and contractors)

Safe guarding officer

- Coordinate the activities of safe guarding in the institution and ensure compliance with safe guarding standard both internally and externally (sub grantees and contractors)

- Coordinate the safeguarding focal persons
 - Chair the safeguarding committee (members: safeguarding focal persons and selected members of the senior management team)
 - Support training on safeguarding; community awareness and management of safeguarding concerns
 - Shall initiate the safeguarding audits of the partner organisation
- Support the capacity building of partner organisation to build systems that adhere to safeguarding

All staff

Child safeguarding

IDI staff and associated personnel must not:

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

Adult safeguarding

IDI staff and associated personnel must not:

- Sexually abuse or exploit at risk adults
- Subject an adult at risk to physical, emotional or psychological abuse, or neglect
- Engage or facilitate exploitive business like modern slavery; trafficking of person or commercial sex

Protection from sexual exploitation and abuse

IDI staff and associated personnel must not:

- Exchange money for sexual activity with *anyone* (zero tolerance)
- Exchange employment, goods or services for sexual activity. This includes any exchange of assistance that is due to beneficiaries of assistance
- Engage in any sexual relationships with beneficiaries of assistance, since they are based on inherently unequal power dynamics (Ref: Anti Sexual Harassment Policy 2021)

Additionally, IDI staff and associated personnel are obliged to:

- Commit and 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 IDI staff member or associated personnel to the appropriate staff member

IDI Associates

Organisations that work with us in carrying out our programmes, projects, processes, events and/or activities involving children and adult at risk must comply with the Safeguarding our safeguarding policy or develop their own Safeguarding policy. IDI shall monitor compliance with this Safeguarding Policy through the mandatory tracking and auditing of the Safeguarding Implementation Standard.

5. Education and training

The Senior Management team of IDI will ensure that opportunities are available, including via online, to staff, volunteers and others as appropriate to develop and maintain the necessary skills and understanding in safeguarding.

This will include:

- An induction process that includes training on acceptable and unacceptable sharing of information and general communication about children and vulnerable adults, reporting and reaction protocol, and ramifications of misconduct. This will ensure a common understanding of safeguarding and protection issues, standards of practice, and the organisational implications of these. Induction will take place within one month of a new recruit's start date.
- Inclusion of safeguarding in six-monthly and annual staff appraisals to ensure staff knowledge and skills can be assessed to identify appropriate education and training.
- Sharing of the reporting mechanism ensuring it is understood by all IDI representatives.
- Ensuring that safeguarding reporting mechanism is prominently displayed in all IDI offices and is easily accessible via the website.
- When visiting IDI's and partner projects, all visitors, will be given a pre-departure briefing on safeguarding. This will outline key risks, issues to be aware of, expectations of visitor behaviour, rules around taking photographs and distributing gifts, and what to do if a visitor witnesses or suspects any safeguarding issue.

6. Safeguarding function and Safeguarding committee

- Appointment of a suitably trained designated person with a clearly defined role responsible for implementing the safeguarding policy to ensure a clear understanding among all representatives of the organisation of all relevant issues relating to safeguarding.
- The safeguarding committee will be nominated by the Senior Management Team and will be formed by representative of each department and geographical region. Their roles will be to monitoring and enforcing compliance of this policy among staff within the Institute and its other stakeholders. The committee will also make quarterly reports regarding compliance with this policy.

7. Reporting

IDI will be proactive in creating a safe culture that enables beneficiaries, including children, staff and others to report any incidences, or suspicion of incidences, that breach this Safeguarding policy. (**Appendix C. Safeguarding reporting forms**) An incident, or suspicion of an incident, **MUST** be reported to IDI immediately or within 24 hours.

- Reporting of safeguarding cases is **mandatory** and failure to report any safeguarding concerns as bystander is punishable in line HR manual.
- Staff members who have a complaint or concern relating to safeguarding shall report it immediately to their **Safeguarding Focal Point or line manager** who will in turn report to the safe guarding committee. If the staff member does not feel comfortable reporting to their Safeguarding Focal Point or line manager they may report to any other appropriate staff member, for example, a senior manager or a member of the HR Team or Executive Director, who will then report to the safeguarding committee. The reporting person is supposed to report the issue as it is; not to investigate or judge.
- IDI will follow up with partners to ensure appropriate action has been taken.
- IDI will report any incidences to the donor, any reports will be confidential.
- Anyone that reports a concern regarding a colleague in good faith or a beneficiary reporting an IDI representative, will be protected under IDI's **Whistle blowing policy 2012 section 2.1.4.**

- Senior management team and board shall receive a briefing on safeguarding status of the institute on monthly bases. A report of proved incidences will be shared at IDI's senior management weekly meeting at the earliest opportunity.
- If an incident occurs in a health facility or hospital where we work, the incident will be reported to the facility head, the relevant Ministry of health representative and the focal person in the relevant IDI office, and if a crime has been committed, to the police.
- Nothing in the policy shall preclude a victim from reporting a matter of violence to governmental authorities for redress
- Victims will be linked to psychosocial support to reduce the stressful impact of the situation.

No retaliation statement. Anyone that reports a concern regarding a colleague in good faith or a beneficiary reporting an IDI representative, will be protected under IDI's Whistle blowing procedure.

No hardship, loss, benefit or penalty may be imposed on an employee in response to:

- Filing or responding to a bona fide complaint of safeguarding
- Appearing as a witness in the investigation of a complaint.
- Serving as an investigator of a complaint.

Lodging a bona fide complaint will in no way be used against the employee or have an adverse impact on the individual's employment status. However, filing groundless or malicious complaints is an abuse of this policy and will be treated as a violation.

8. Ramifications of Misconduct

IDI takes safeguarding seriously and will implement this policy rigorously across the Institute. In the event that anyone acting on behalf of IDI violates any aspect of this policy, appropriate and commensurate action will be taken.

Child abuse, including sex with children, and sex for money with anyone is a 'gross misconduct' as listed in the Human Resource Manual and will result in summary dismissal.

Abuse or suspicion of abuse not reported or a false allegation made, will be dealt with according to IDI's disciplinary procedures detailed in the Human Resource Manual. Grievance procedures are also detailed in the Human Resource Manual.

9. Policy monitoring and review

IDI's Senior Management Team and Board will review this policy every two years. Anyone acting on behalf of IDI will be asked to read and sign that they have understood this policy. Whenever the policy is revised, all must re-sign.

IDI receives advice from its legal advisor and HR consultants on the formulation, enforcement and revision of the Safeguarding policy and other policies and procedures linked to it.

Declaration

I _____ fully understand and agree to abide by IDI's Safeguarding Policy and Code of Conduct. I understand that any breaches of the Code of Conduct and this Safeguarding Policy will be reported to the Executive Director of IDI and appropriate action will be taken in accordance with the relevant policies and procedures.

I have read the attached policy and all the annexes.

Signature; _____

Date: _____

10. Key definitions

- ‘Child’ is anyone under the age of 18 years old. This is defined in line with the United Nations Convention on the Rights of the Child and for the purposes of this safeguarding policy, is defined as any person – girl, boy, young woman, young man, and children of other gender identities - under the age of 18 years
- ‘Child Abuse’ consists of anything, which individuals, institutions or processes do or fail to do which directly or indirectly harms children or damages their prospect of safe and healthy development into adulthood. The main categories of abuse are defined by WHO as Physical Abuse, Emotional Abuse, Neglect and Negligent treatment, sexual abuse and exploitation.
- ‘Child Protection’ refers to the actions we take when we have specific concerns that a particular child is at risk of significant harm
- ‘Vulnerable Adult’ or ‘Adult at Risk’ refers to a person 18 years or over who is, or may be, unable to protect themselves against harm or exploitation, whether due to age, physical or mental disability or otherwise. It should also be acknowledged that other factors such as unequal power dynamics, poverty and gender amongst others, can also make a person more vulnerable.
- ‘Safeguarding’ is the responsibility of organisations to make sure their staff, operations and programmes do no harm to children and vulnerable adults or expose them to abuse or exploitation.
- ‘Sexual Exploitation’ 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 sexual exploitation or another.
- “Associate” refers to a range of contracted paid and non-paid individuals who have committed to work with or support IDI. It includes, among others, board members, volunteers (including community volunteers), interns, sponsors, researchers, donors, consultants and contractors, staff and/or representatives of partner organisations and local governments (when operating in partnership agreement with IDI).
- “Direct beneficiaries” are the people who are the target of and who we know will be immediately affected by one or more project outputs; irrespective of whether these are delivered directly by IDI or by partners or organisations who are acting on behalf of IDI
- “Harm” is any detrimental effect on a child’s or adult at risk including physical, psychological, or emotional wellbeing. Harm may be caused by abuse or exploitation whether intended or unintended.
- “Sexual Exploitation” 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 sexual exploitation or another.

11. Appendix A. Implementation

IDI’s management structure ensures implementation of the Safeguarding Policy including:

- Appointment of a suitably trained designated person with a clearly defined role responsible for implementing the safeguarding policy to ensure a clear understanding among all representatives of the organisation of all relevant issues relating to safeguarding.
- IDI shall appoint and train safeguarding focal persons in every department to receive safeguarding complaints in their department. Clear terms shall be developed to enable them operate

- Safeguarding committee shall be composed by focal persons from different departments and regions, its activities shall be coordinated by safeguarding officer. Safeguarding committee shall have a meet of SMT.
- Where possible, IDI will refer to helpful agencies any staff who require support after being involved in a safeguarding incident.
- Ensuring the storage and access to personal information on children and vulnerable adults is limited to those who need to know to ensure respect for their right to confidentiality and privacy, and to protect them from those who may use information for harmful purposes. Designated officer shall develop standard operating procedure that effect following company policy on data protection
- child and vulnerable adult shall participate in decision affecting them
- Overall responsibility for overseeing the implementation of the safeguarding policy lies with the IDI's Executive Director to ensure due importance is afforded to this area. A standing position on the Board will be a Safeguarding Champion.
- Accountability - The IDI ED has overall responsibility for creating the managerial environment and culture which enables and facilitates the implementation of all aspects of this policy, and other related policies such as the Whistle blowing and Harassment policies and procedures. The ED also holds overall responsibility for developing and implementing local procedures and for delegating responsibility to key posts including the Senior Management Team.
- IDI shall provide training on safeguarding to all its staff, Associates, partners, sub grantees and contractors to enable them understand safeguarding, their responsibilities and dos and don'ts. Refresher training shall be organised periodically
- IDI shall provide telephone numbers, emails and other appropriate means through which complaints can be reported
- Safeguarding committee shall endeavour to conclude the case in period not more than three (3) months
- IDI shall place information education and communication materials in all its public place as constant reminder of keeping safe environment for everyone

12. Appendix B. Implementation guidelines of IDI's partners

These Guidelines outline the requirements for safeguarding children and vulnerable persons that are applicable to organisations that work with IDI in carrying out our programmes involving children and vulnerable.

They are particularly applicable to sub grantees and partners assessed as having contact with children and vulnerable, working with children and vulnerable/ adults, and/or whose projects, programmes, processes, activities, advocacy and influence work impact on children and vulnerable persons. Organisations funded by contracted by IDI are expected to build on these guidelines as appropriate based on the nature of their activities and risks to children and vulnerable persons. The guidelines illustrate our commitment to support and respect children's and vulnerable person's rights to be protected from harm, and to provide a safe and protective environment for children and vulnerable persons who are involved with any programmes supported by IDI.

1. **Prevention:** The Organisation must take appropriate measures to manage child and/or vulnerable persons safeguarding risk factors and prevent abuse and exploitation before it occurs.
2. **Code of Conduct:** Each Organisation is required to ensure that their personnel avoid any behaviour or conduct that compromises the safety and protection of children and/or vulnerable people within its activities, operations and programmes. Furthermore, programmes and activities working directly with children and/or vulnerable or involving direct contact between the same should develop guidance on expected and acceptable behaviour for children and/or vulnerable persons towards each other.
3. **Screening Procedures:** There should be detailed screening procedures for all personnel (including unpaid volunteers) who will come into contact with children and/or vulnerable persons (directly or indirectly). HR department can use its own referencing system to check out this
4. **Awareness:** The Organisation should ensure that all personnel, sub-contractors or consultants or affiliates involved with children and venerable people's programmes are aware of safeguarding risks, policies and procedures; and their safeguarding responsibilities. In addition, children and/or venerable persons engaged and their parents, guardians or carer takers should be informed of the same so that they know what behaviours to expect and how to report any concerns.
5. **Capacity Building:** The Organisation should develop the capacity of all who work with and for children and/or venerable person to appropriately prevent, detect, report and respond to safeguarding concerns. Efforts should be made to ensure organisational policies and practices are understood and can be effectively implemented through mandatory inductions and on-going training courses for all employees and volunteers and other associates.
6. **Reporting Mechanisms for children and/or vulnerable persons and Staff:** Mechanisms should be established that enable the safe reporting of safeguarding concerns. Such mechanisms should ensure appropriate escalation of concerns within the organisation, referral to the appropriate authorities and confidentiality. In addition, child reporting mechanisms should be accessible, friendly and sensitive to their differing needs.
7. **Response and Follow Up:** Organisational policies and procedures should include appropriate measures to support and protect children and/or young people when concerns arise. All measures taken to respond to a safeguarding concern should take into account the best interest of the child or victims and be sensitive to their differing gender and other

identities ensuring they are kept safe and protected. Organisations should ensure that those cases are followed to logical conclusion and have obligation to report to IDI any cases of safeguarding.

8. **Implementation, Monitoring and Review:** The implementation and monitoring the Safeguarding Policy for each Organisation should be reviewed at regular intervals as determined necessary by the Organisation, preferably at least every two years where possible.
9. **Sanction and Discipline of Organisation personnel:** The Organisation policies and procedures should provide for appropriate sanctions and disciplinary measures which ensure children and vulnerable persons are protected from further potential harm. This may include the immediate suspension of personnel until such time as the allegations are followed up and either substantiated or refuted and/or where personnel is convicted of abusing a child or vulnerable person, the said personnel is immediately terminated with cause from his or her position.
10. **Informed Consent:** The Organisation should provide children and/or vulnerable persons (and their parent(s)/legal guardian(s) where applicable), with all necessary details (including on any associated risk,) to make an informed decision regarding their participation in programmes and person (including how and where these will be used). Participation and/or usage of information and/or images should only take place after consent is obtained.
11. **Working with partners:** The Organisation should ensure adequate safeguarding assessments are made as part of its due diligence processes when it comes to partnership working. Third party entities that are contracted or supported to work with children must be subject to the same safeguarding principles and approach outlined in the Organisations policy and procedures. Vendors, suppliers and other contractors that may be in direct or indirect contact with children must also be subject to appropriate safeguarding measures.

13. Appendix C. Safeguarding reporting forms

This form is to be used to record basic information in the light of an allegation, suspicion or disclosure of a potential safeguarding concern. Completing this record should not stand in the way of contacting Police or Social Services in the event of an emergency or urgent safeguarding incident.

Name and contact of the person filling this form	
Date and time of completing this form:	
Name (s) of person (s) the safeguarding concern or incident is about	
Age and Date of Birth of alleged victim (if known):	
Address and contact of person the safeguarding concern is about:	
Name ,Telephone Number and Address of	

Parent, carer or guardian of alleged victim:	
Date and time of any incident:	
What have you seen or heard?	
Provide details of the incidence as per victim or bystander narration. Just record actual details) – Continue on another sheet if required	
<i>Any other relevant information:</i>	
Any other action taken (e.g Calling authority, protection and social service units and hospital)	