

BAYLOR COLLEGE OF MEDICINE CHILDREN'S FOUNDATION
UGANDA (BFU)

CONSOLIDATED SAFEGUARDING POLICY AND PROCEDURES

JULY 2025

APPROVAL

This Consolidated Safeguarding Policy and Procedures has been approved by the Board of Directors of Baylor Foundation Uganda and takes effect from the date of approval.

Name	Title	Signature	Date
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Dr. Dithan Kiragga	Executive Director		July 11, 2025

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Section 1: General Overview

1.0 Introduction

Baylor College of Medicine Children's Foundation-Uganda (BFU) is a leading provider of Integrated, High-Quality, High Impact comprehensive HIV, TB, RMNCAH and global health security (GHS) services in Uganda. Our mission is to provide high-quality family-centred health care, education and research. Our goal is to reduce morbidity and mortality due to infectious, non-communicable, maternal, and childhood conditions.

BFU maintains zero tolerance for all acts of abuse, child abuse and neglect, sexual abuse, sexual exploitation or threats by our employees, consultants, volunteers or anyone associated with the delivery of our programs and services and takes seriously all complaints of misconduct brought to our attention.

This policy is designed to extend protection from our own personnel to the people and communities we serve. It builds upon existing BFU Policies against Discrimination, Harassment, Sex Trafficking, Trafficking in Persons and Forced Labour.

This policy covers three broad areas;

- Child Safeguarding
- Vulnerable Adults safeguarding
- Protection from Sexual Exploitation and Abuse

Safeguarding is the responsibility that organizations have, to make sure their staff, operations, and programmes do no harm to children, beneficiaries and communities where they operate. That is they do not expose individuals to the risk of harm and abuse, and any concerns the organization has about the safety of any individuals within the communities in which they work, are reported to the appropriate authorities.

'Do no harm' refers to organizations' responsibility or 'do no harm or minimise the harm' they may be doing inadvertently as a result of inappropriate programming

2.0 Purpose

This policy aims to establish clear guidelines and procedures to safeguard children, vulnerable adults, and all BFU beneficiaries in all our operations while ensuring adherence to both national and international safeguarding standards as well as donor guidelines.

3.0 Scope of the Safeguarding Policy

This policy applies to all staff and associates who must comply with its requirements and understand the sanctions that may be applied for breaches of the policy.

Staff include:

- All staff, national and international
- All volunteers, locums/temporary, HRH, interns, seconded staff to Baylor, individual contractors (services agreement)

Associates include:

- All contractors e.g., consultants, service providers, vendors
- All board members
- Implementing partners including local community-based partners
- Guests and visitors
- Trainees (interns, clinical attachments, field students)

Section 2: Child Safeguarding Policy (Module A)

A1: Rationale

Baylor Foundation Uganda is a healthcare support organisation providing care and treatment to children, adolescents and their families aim to establish robust safeguarding measures to prevent and address concerns related to child abuse, exploitation, and neglect. It ensures that both personnel working with children in the design and implementation of projects prioritize the protection of children.

A2: Principles

BFU considers the following principles for child safeguarding:

- All children have equal rights to protection from harm.
- Everyone has responsibility to support the protection of children.
- Organizations have the responsibility to take care for children, with whom they work, or who are affected by their work and operations.
- Organizations/ partners working with Baylor Foundation Uganda have the responsibility to meet the minimum requirements on protection of children and vulnerable adults.
- All actions on safeguarding are taken in the best interests of the victim.

Child safeguarding is based on principles of: keeping children safe; child safeguarding standards; the UN convention on the Rights of the child, 1989 (and its optional protocols); the UN statement for the elimination of sexual abuse and exploitation and all child-related UN conventions; The African charter on the rights and welfare of the child; The constitution of the Republic of Uganda 1995 and law of the children Act, of Uganda

A3: Definitions and Terms

3.1 child

Is any person under the age of 18 years.

3.2 Physical abuse:

Actual or potential physical harm perpetrated by another person, adult or child. It may involve hitting, shaking, poisoning, drowning and burning. Physical harm may also be caused when a parent or caregiver fabricates the symptoms of or deliberately induces illness in a child.

It also includes hitting, slapping, kicking and misuse of medication, restraint or inappropriate sanctions in vulnerable adults.

3.3 Child sexual exploitation:

A form of sexual abuse that involves children being engaged in any sexual activity in exchange for money, gifts, food, accommodation, affection status, or anything else that they or their family needs. It usually involves a child being manipulated or coerced, which may involve befriending children, gaining their trust and subjecting them to drugs and alcohol. The abusive relationship between victim and perpetrator involves an imbalance of power where the victim's options are limited. It is a form of abuse that can be misunderstood by children and adults as consensual.

Child sexual exploitation manifests in different ways. It can involve an older perpetrator exercising financial, emotional or physical control over a young person. It can involve peers manipulating or forcing victims into sexual activity, sometimes within Gang and in gang-affected neighbourhoods. It may also involve opportunistic organised networks of perpetrators who profit financially from trafficking young victims between different locations to engage in sexual activity with multiple men.

3.4 Neglect and negligent treatment:

Allowing for context, resources and circumstances, neglect and negligent treatment refers to a persistent failure to meet an individual's basic physical and /or psychological needs, which is likely to result in serious impairment of their health, physical, spiritual, moral and mental development. It includes the failure to properly supervise and protect children and vulnerable adults from harm and provide for nutrition, shelter and safety living/working conditions.

It may also involve maternal neglect during pregnancy as a result of drug or alcohol misuse and the neglect and ill treatment of a disabled child.

3.5 Emotional abuse:

Persistent emotional maltreatment that impacts a child's emotional development. Emotionally abusive acts include restrictions of movement, degrading, humiliating, bullying (including cyber bullying), and threatening, scaring, discriminating, ridiculing or other non-physical forms of hostile or reflecting treatment.

3.6 Commercial Exploitation:

Exploiting a child in work or other activities for the benefit of others and to the detriment of the child's physical or mental health, education, moral or social-emotional development. It includes, but is not limited to, child labour.

A4: Prohibited Conduct

In the context of this policy;

- a) BFU staff shall not engage in sexually inappropriate behaviour with children, including but not limited to sexual abuse of a child; touching a child in an illegal or culturally inappropriate manner; or participating

directly or indirectly in creating child pornography or making pornography or other sexually inappropriate materials available to a child.

- b) BFU staff are prohibited from having sexual relationships with children. These relationships are often based on unequal power dynamics and may undermine the credibility and integrity of our humanitarian and development work.
- c) BFU staff shall not engage in hiring children, as defined in this policy, for any purpose, as “house helps” or otherwise.
- d) BFU staff shall not engage in any other form of physical or corporal punishment, or allow such conduct by others, while the child is in BFU care or participating in BFU activities.
- e) BFU staff shall not be directly or indirectly be responsible for the neglect of children under their care whether these are biological or adopted children

A5: Safeguarding Procedures

5.1 Prevention/ Protection

Prevention and protection will be addressed through the following steps:

5.1.1 Risk assessment/risk mitigation and safe programme design

A risk assessment of all BFU operations, programmes, projects and activities will be conducted. Risk mitigation strategies will be developed to minimise risks, and incorporated into the design, delivery and evaluation of programmes, operations and activities, which involve or impact upon children.

Risk assessment and mitigation will include the context, scope and setting of the organization. Baylor Foundation Uganda will take various steps to encourage a culture of safety in the workplace, and prevent or reduce the risk of harm to children. This includes developing an organizational culture where safeguarding is considered relevant and important to the organization and which is open and transparent about its measures and how it addresses concerns and incidents.

5.1.2 Safe Recruitment

BFU will ensure that it applies the highest standards in its recruitment and vetting policies across the organization. Safe recruitment practices are essential to minimize the risk of hiring individuals who may pose a risk to children.

Key steps to be considered shall include:

- i. Job Advertisements and Descriptions:
 - a) Every job advertisement will include clear statements about BFU’s commitment to safeguarding.
 - b) Job descriptions shall outline the responsibilities and expectations related to child and vulnerable children’s protection.
 - c) All candidates shall be required to fill out and sign a self-declaration
 - d)
- ii. Screening Processes:
 - a) BFU shall carry out background checks specifically to verify any criminal records, especially for offenses related to safeguarding.

- b) BFU shall subject all potential recruits to a reference Check. References shall be obtained from at least two references, including one from the most recent employer. The reference check shall specifically ask about safeguarding.

iii. Interview Questions:

- a) A safeguarding specific question shall be made to assess the applicant's understanding of child protection particularly for roles that shall be working directly with children.

iv. Probation Period:

- a) All new recruits shall be subjected to a probation period in which time their behavior shall be monitored and feedback on safeguarding practices provided.

5.1.3 Behaviour Protocols/code of conduct

Code of conduct: Is a clear and concise guide of what is and is not acceptable behaviour or practice when employed or engaged by BFU. It includes acceptable and unacceptable behaviour.

- a) All staff and associates including volunteers working with Baylor Foundation Uganda should agree to the code of conduct when they are employed and or start their job. Failure to comply will result in corrective action, up to and including dismissal from employment or leading to civil or criminal liability. The organization will take such action and impose such penalties as mentioned above.
- b) Baylor Foundation Uganda staff need to follow the code within and outside the workplace. This means adopting appropriate behaviour and reporting on concerns they have about a child whether at work or outside. Annexure A provides the code of conduct.

5.1.4 Training and Capacity Building

a) Mandatory Safeguarding Training

All staff and associates shall receive a safeguarding training to help them understand why it is necessary to safeguard and protect children and to be fully aware of the procedure for reporting concerns. These trainings shall be done at least annually, and it will be mandatory for all staff to complete safeguarding training on joining and then at least once every 2 years

b) Specialised Training

Staff with responsibility relating to children will be provided with a more in-depth training within 2 months of their engagement. Staff in positions with a high level of contact with children e.g. clinical team shall have more in-depth training on the policy during the induction sessions.

c) Capacity building for associates

Associates will be briefed on safeguarding and their responsibilities under the policy upon engagement with the organization and will be required to sign the code of conduct.

d) Awareness raising for beneficiaries and communities

The communities that BFU serves will be informed on the Baylor Foundation Uganda commitment to safeguarding and what to do if they have concerns. All materials including the safeguarding policy and other operational tools will be translated to local languages.

All training records will be maintained and regularly monitored for compliance and identify gaps.

5.1.5 Communications – use of images and children’s information

In our use of information and visual images, both photographic still pictures and videos, our overriding principle is to maintain respect and dignity in our portrayal of children, families and communities. Baylor Foundation Uganda has a consent procedure which does not allow any photographs or images of children printed, published or stored without their assent and the consent of their guardians. Consent forms for this purpose are available and filled whenever need arise. Our communications policy/code of conduct details our procedures to be followed (SEE ANNEX B).

5.1.6 Social Media

Baylor Foundation Uganda uses internet and social media as a means of communication. A social media policy is developed to ensure safeguarding principles are observed when using social media platforms. Refer Annex C for social media policy.

A6: Incident Reporting and Response

6.1 Reporting channels

BFU has put in place a robust reporting and response system to ensure that all concerns are addressed promptly and appropriately. These reporting channels include

- Suggestion boxes in accessible locations.
- Whistle blow Hotlines with 24/7 availability.
- Safeguarding focal persons with representatives in all BFU locations.

All staff must report any concerns immediately, regardless of their severity.

Safeguarding focal persons shall constitute the safeguarding committee and are responsible for receiving reports of concerns from other Baylor Foundation Uganda staff. (Safeguarding Committee TOR- Annex F). All staff and associates must report all concerns they have using the reporting flow chart (chart 1 below) with clearly designated staff to receive and manage reports. Baylor Foundation Uganda will also have user friendly versions (translated to relevant local language) of such document to inform children and the communities how to report.

Baylor Foundation Uganda will receive disclosures with sensitivity and will strive not to re traumatise victims in the handling of complaints.

If a child or young person tells you they are being, or have been, abused:

- Listen to and accept what the child or young person says but do not press for information.
- Let the child or young person know what happens.
- Take the alleged abuse seriously.
- Record carefully what you have heard on the reporting/referral form Annex D.

6.2 Handling reports

- a) A designated safeguarding committee member through the Director Human Resources shall review and act on reports within 24 hours and notify relevant authorities in cases of criminal behaviour (e.g., police, child protection services). They will monitor the situation to prevent retaliation or further harm and provide updates to stakeholders while maintaining confidentiality.
- b) The subject of the complaint (alleged perpetrator) and all witnesses must cooperate fully and openly with internal, statutory investigations and hearing with due regard to maintaining confidentiality.
- c) Allegations against a staff member would normally result in suspending the staff member from their employment immediately subject to investigation of the issue. If the allegation is a criminal issue, this will be reported to the formal authorities before acting or informing the allegation.
- d) Person(s) with the skills to do so shall conduct internal investigations. BFU has trained the Safeguarding Committee members and as well lined up a pool of external resources that are well equipped to handle victim centred investigations.
- e) The investigation will involve interviews of all parties involved including witnesses to gather all relevant details of the allegation. Investigations shall follow an established procedure.
- f) Disciplinary measures shall be taken in the event that the allegation is found to be true in accordance with BFU disciplinary code. If the allegation is found to be without base, appropriate steps should be taken to minimise damage to the reputation of the individual accused.
- g) Internal investigations related to allegations of criminal behaviour should be discussed with the formal authorities prior to embarking on this course to ensure that the organization does not compromise the formal investigation. Support and counselling should be made available for those involved in the report and response.
- h) Take appropriate action to the best of its capacity to protect persons from retaliation when allegations are made in good faith.

Section 3: Safeguarding Vulnerable Adults (Module B)

B1: Rationale

BFU aims to adhere to the Safeguarding Vulnerable Persons at Risk of Abuse National Policy and procedures and to minimize the negative impacts of risk, while respecting and upholding the human rights and inherent dignity of all people involved with Baylor Foundation Uganda.

In accordance with safeguarding vulnerable persons at Risk of Abuse, Abuse is understood as ‘any act, or failure to act, which results in a breach of a vulnerable person’s human rights, civil liabilities, physical and mental integrity, dignity or general wellbeing, whether intended or through negligence, including sexual relationships or financial transactions to which the person does not or cannot validly consent, or which are deliberately exploitative. Abuse may take a variety of forms

Vulnerable person

A vulnerable person is defined as a person who is 18 years of age or over, and who is or may need community care services by reason of mental or other disability, age or illness and who is or may be unable to take care of him/herself, or unable to protect him/herself against significant harm or serious exploitation

B2: Types of Abuse in vulnerable adults

- a) Physical Abuse – includes hitting, slapping, kicking and misuse of medication, restraint or inappropriate sanctions.
- b) Sexual abuse – includes rape and sexual assault, or sexual acts to which the vulnerable person has not consented, or could not consent, or into which he or she was compelled to consent
- c) Psychological abuse - includes emotional abuse, threats of harm or abandonment, deprivation of contact, humiliation, blaming, controlling, intimidation, coercion, harassment, verbal abuse, isolation or withdrawal from services or supportive networks
- d) Financial or material abuse – includes theft, fraud, exploitation, pressure in connection with wills, property, inheritance or financial transactions, or the misuse or misappropriation of property, possessions or benefits.
- e) Discriminatory abuse – includes ageism, sexism that based on a person's disability and other forms of harassment, slurs or similar treatment.
- f) Neglect and acts of omission – include ignoring medical or physical care needs, failure to provide access to appropriate health, social care and educational services, the withholding of the necessities of life such as medication and adequate nutrition.
- g) Institutional abuse – may occur within residential care and acute setting including nursing homes, acute hospitals and any other in-patient settings, and may involve poor standards of care, rigid routines and inadequate responses to complex needs.

B3: Barriers for Vulnerable People to Disclose Abuse

Barriers to disclosure may occur due to some of the following:

- a) Fear on the part of the service user of having to leave their home or service because of disclosing abuse.
- b) A lack of awareness that what they are experiencing is abuse.
- c) A lack of clarity as to whom they should talk.
- d) Lack of capacity to understand and report the incident.
- e) Fear of an alleged abuser.
- f) Contradiction regarding a person who may be abusive.
- g) Limited verbal and other communication skills.
- h) Fear of upsetting relationships.
- i) Shame and or embarrassment

B4: Guidelines for Responding to Disclosures of Abuse by Vulnerable Adults

A vulnerable adult may carefully select a person to confide in. That chosen person will be someone they trust and have confidence in. It is important that a vulnerable adult who discloses abuse feels supported and facilitated in what may be a frightening and traumatic process for them. A vulnerable adult may feel perplexed, afraid, angry, despondent and guilty. It is important that any negative feelings they may have are not made worse by the kind of response they receive. A vulnerable adult who reveals abuse has engaged in an act of trust and their disclosure must be treated with respect, sensitivity, urgency and care. It is of the utmost importance that disclosures are treated in a sensitive and discreet manner. Anyone responding to a vulnerable adult making such a disclosure should take the following step;

- (a) Take what the vulnerable adult says seriously.

- (b) React calmly, as over-reaction may intimidate the vulnerable adult and increase any feelings of guilt that they may have.
- (c) Reassure the vulnerable adult that they were correct to tell somebody what happened.
- (d) Listen carefully and attentively.
- (e) Never ask leading questions.
- (f) Use open-ended questions to clarify what is being said and try to avoid having them repeat what they have told you.
- (g) Do not promise to keep secrets.
- (h) Advise that you will offer support but that you must pass on the information.
- (i) Do not express any opinions about the alleged abuser to the person reporting to you.

Explain and make sure that the vulnerable adult understands what will happen next. Do not confront the alleged abuser

B5: Safeguarding Procedures

5.1 Prevention/ Protection

Prevention and protection will be addressed through the following steps:

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Risk assessment and mitigation will include the context, scope and setting of the organization. Baylor Foundation Uganda will take various steps to encourage a culture of safety in the workplace, and prevent or reduce the risk of harm to children and vulnerable adults. This includes developing an organizational culture where safeguarding is considered relevant and important to the organization and which is open and transparent about its measures and how it addresses concerns and incidents.

5.1.2 Safe Recruitment

BFU will ensure that it applies the highest standards in its recruitment and vetting policies across the organization. Safe recruitment practices are essential to minimize the risk of hiring individuals who may pose a risk to children and vulnerable adults. Key steps to be considered shall include:

- v. Job Advertisements and Descriptions:
 - e) Every job advertisement will include clear statements about BFU's commitment to safeguarding.
 - f) Job descriptions shall outline the responsibilities and expectations related to child and vulnerable children protection.
 - g) All candidates shall be required to fill out and sign a self-declaration
- vi. Screening Processes:
 - c) BFU shall carry out background checks specifically to verify any criminal records, especially for offenses related to safeguarding.

- d) BFU shall subject all potential recruits to a reference Check. References shall be obtained from at least two references, including one from the most recent employer. The reference check shall specifically ask about safeguarding.

vii. Interview Questions:

- b) A safeguarding specific question shall be made to assess the applicant's understanding of safeguarding. particularly for roles that shall be working directly with children.

viii. Probation Period:

- b) All new recruits shall be subjected to a probation period in which time their behavior shall be monitored and feedback on safeguarding practices provided.

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- d) Baylor Foundation Uganda staff need to follow the code within and outside the workplace. This means adopting appropriate behaviour and reporting on concerns they have about a child whether at work or outside. Annex A provides the code of conduct.

5.1.4 Training and Capacity Building

e) Mandatory Safeguarding Training

All staff and associates shall receive a safeguarding training to help them understand why it is necessary to safeguard and protect children and vulnerable adults and to be fully aware of the procedure for reporting concerns. These trainings shall be done at least annually, and it will be mandatory for all staff to complete safeguarding training on joining and then at least once every 2 years

f) Specialised Training

Staff with responsibility relating to children will be provided with a more in-depth training within 2 months of their engagement. Staff in positions with a high level of contact with children e.g. clinical team shall have more in-depth training on the policy during the induction sessions.

g) Capacity building for associates

Associates will be briefed on safeguarding and their responsibilities under the policy upon engagement with the organization and will be required to sign the code of conduct.

h) Awareness raising for beneficiaries and communities

The communities that BFU serves will be informed on the Baylor Foundation Uganda commitment to safeguarding and what to do if they have concerns. All materials including the safeguarding policy and other operational tools will be translated to local languages.

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Baylor Foundation Uganda will receive disclosures with sensitivity and will strive not to re-traumatise victims in the handling of complaints.

6.2 Handling reports

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- j) The subject of the complaint (alleged perpetrator) and all witnesses must cooperate fully and openly with internal, statutory investigations and hearing with due regard to maintaining confidentiality.
- k) Allegations against a staff member would normally result in suspending the staff member from their employment immediately subject to investigation of the issue. If the allegation is a criminal issue, this will be reported to the formal authorities before acting or informing the allegation.
- l) Person(s) with the skills to do so shall conduct internal investigations. BFU has trained the Safeguarding Committee members and as well lined up a pool of external resources that are well equipped to handle victim centred investigations.
- m) The investigation will involve interviews of all parties involved including witnesses to gather all relevant details of the allegation. Investigations shall follow an established procedure.

- n) Disciplinary measures shall be taken if the allegation is found to be true in accordance with BFU disciplinary code. if the allegation is found to be without base, appropriate steps should be taken to minimise damage to the reputation of the individual accused.
- o) Internal investigations related to allegations of criminal behaviour should be discussed with the formal authorities prior to embarking on this course to ensure that the organization does not compromise the formal investigation. Support and counselling should be made available for those involved in the report and response.
- p) Take appropriate action to the best of its capacity to protect persons from retaliation when allegations are made in good faith.

Section 4: PROTECTION FROM SEXUAL EXPLOITATION AND ABUSE (PSEA) (Module C)

C1: Rationale

PSEA is meant to safeguard all BFU beneficiaries from acts of sexual exploitation and abuse (SEA). These could be direct or indirect beneficiaries of BFU programs and include adults, children and the wider community in which BFU operates.

C2: Definitions

2.1 Sexual abuse:

Actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive and manipulative conditions this could include, rape, oral sex, penetrative or non-penetrative acts such as masturbation, kissing, rubbing, and touching. It may also include involving children in looking at, or producing sexual images, watching sexual activities and encouraging children to behave in sexually inappropriate way. Sexual relations with a child is characterised as sexual abuse.

Includes rape and sexual assault, or sexual acts to which a vulnerable person has not consented, or could not consent, or into which he or she was compelled to consent.

2.2 Sexual Exploitation

Actual or attempted abuse of position of vulnerability, power differential or trust for sexual purposes including but not limited to profiting monetarily, socially, or politically as an incentive or form of coercion. This can include coercing a person into, or engaging in, a sexual act, prostitution, or pornography, with or without the person's consent, when this is done in exchange for goods, services, money, drugs, shelter, food, protection, social or political advantage, or any other benefit.

2.3 Six principles of PSEA

- Acts of SEA constitute gross misconduct and are grounds for termination of employment.
- Sexual activity with persons under the age of 18 is prohibited no matter the local age of consent or cultural norms of the land.
- Exchange of money, employment, goods, or services for sex is prohibited.
- Sexual relationships between BFU staff and beneficiaries are prohibited.
- BFU staff and associates must report concerns regarding SEA by fellow staff.
- BFU staff especially those in leadership positions, are obliged to create and maintain an environment that prevents SEA.

C3: BFU's mandate towards PSEA

Awareness: Ensuring that all staff and associates are aware of the high standards of behavior and conduct expected of them to protect beneficiaries from any form of sexual abuse and exploitation both in the line of work and outside of private and working lives.

Prevention: Ensuring, through awareness and good practice, that staff and associates of BFU minimize the risks of any form of sexual exploitation and abuse, including but by not limited to conducting relevant vetting and background checks of staff as part of their recruitment process.

Reporting: Ensuring that all staff and associates of BFU are clear on what steps to take where suspicions or concerns arise regarding allegations of sexual exploitation or abuse.

Responding: Ensuring that immediate action is taken to identify and address reports of sexual exploitation and abuse and ensure the safety and well-being of the person being sexually exploited or abused. Victims should receive appropriate assistance in form of medical care, legal services, psychological and social care.

C4: Examples of Prohibited Conduct

The following is an illustrative, but not exhaustive, list of unacceptable conduct by personnel towards anyone they interact with, including, but not limited to, program participants and beneficiaries:

- a) Engaging in a sexual relationship or any other kind of inappropriate physical or sexual behaviour with a beneficiary regardless of the country-specific legal age of consent.
- b) Fondling, holding, kissing, hugging or touching beneficiaries in an inappropriate or culturally insensitive way.
- c) Using language, making suggestions, or offering advice which is inappropriate or abusive, including language that causes shame or humiliation, or is belittling or degrading.
- d) Spending excessive or unnecessary time alone with a beneficiary, away from others or behind closed doors or in a secluded area.
- e) Encouraging or responding to sexual overtures from a beneficiary, whether s/he behaves in a sexually inappropriate manner.
- f) Condoning or participating in behaviour with children which is illegal, unsafe, or abusive, including harmful traditional practices, or spiritual or ritualistic abuse.
- g) Using telephone, text messaging, email, or other electronic or social media to harass or use inappropriate language, engage in suggestive communications or conduct, or to unnecessarily expose beneficiaries of any age to sexually graphic, explicit, or otherwise inappropriate materials or activities.

N.B. Where possible and practical, personnel should follow the "two adult" rule while conducting BFU work, under which two or more adults are always present and visible in connection with activities involving children.

C5: Examples of Acceptable Behavior

The following is an illustrative, but not exhaustive, list of acceptable conduct by personnel towards anyone they interact with, including, but not limited to, program participants and beneficiaries:

- a) Responsibly recruiting children as volunteers or short-term employees in research or program implementation in a manner that does not interfere with their education or livelihoods.
- b) Using sexually explicit language or images to carry out trainings, research, and other program activities that are considered age-appropriate for the intended audience;
- c) Being alone with a beneficiary or child in the context of confidential discussions, such as research surveys, medical procedures, or HIV counselling and testing, in compliance with all other BFU policies and guidance.

C6: Safeguarding Procedures

6.1 Prevention/ Protection

Prevention and protection will be addressed through the following steps:

6.1.1 Risk assessment/risk mitigation and safe programme design

A risk assessment of all BFU operations, programmes, projects and activities will be conducted. Risk mitigation strategies will be developed to minimise risks, and incorporated into the design, delivery and evaluation of programmes, operations and activities, which involve or impact upon children and vulnerable adults.

Risk assessment and mitigation will include the context, scope and setting of the organization. Baylor Foundation Uganda will take various steps to encourage a culture of safety in the workplace, and prevent or reduce the risk of harm to children and vulnerable adults. This includes developing an organizational culture where safeguarding is considered relevant and important to the organization and which is open and transparent about its measures and how it addresses concerns and incidents.

6.1.2 Safe Recruitment

BFU will ensure that it applies the highest standards in its recruitment and vetting policies across the organization. Safe recruitment practices are essential to minimize the risk of hiring individuals who may pose a risk to children and vulnerable adults. Key steps to be considered shall include:

- ix. Job Advertisements and Descriptions:
 - h) Every job advertisement will include clear statements about BFU's commitment to safeguarding.
 - i) Job descriptions shall outline the responsibilities and expectations related to child and vulnerable children protection.
 - j) All candidates shall be required to fill out and sign a self-declaration
- x. Screening Processes:
 - e) BFU shall carry out background checks specifically to verify any criminal records, especially for offenses related to safeguarding.
 - f) BFU shall subject all potential recruits to a reference Check. References shall be obtained from at least two references, including one from the most recent employer. The reference check shall specifically ask about safeguarding.
- xi. Interview Questions:
 - c) A safeguarding specific question shall be included to assess the applicant's understanding of child protection particularly for roles that shall be working directly with children.

xii. Probation Period:

- c) All new recruits shall be subjected to a probation period in which time their behavior shall be monitored and feedback on safeguarding practices provided.

6.1.3 Behaviour Protocols/code of conduct

Code of conduct: Is a clear and concise guide of what is and is not acceptable behaviour or practice when employed or engaged by BFU. It includes acceptable and unacceptable behaviour.

- e) All staff and associates including volunteers working with Baylor Foundation Uganda should agree to the code of conduct when they are employed and or start their job. Failure to comply will result in corrective action, up to and including dismissal from employment or leading to civil or criminal liability. The organization will take such action and impose such penalties as mentioned above.
- f) Baylor Foundation Uganda staff need to follow the code within and outside the workplace. This means adopting appropriate behaviour and reporting on concerns they have about a child whether at work or outside. Annex A provides the code of conduct.

6.1.4 Training and Capacity Building

- i) Mandatory Safeguarding Training

All staff and associates shall receive a safeguarding training to help them understand why it is necessary to safeguard and protect children and vulnerable adults and to be fully aware of the procedure for reporting concerns. These trainings shall be done at least annually and it will be mandatory for all staff to complete safeguarding training on joining and then at least once every 2 years

- j) Specialised Training

Staff with responsibility relating to children will be provided with a more in-depth training within 2 months of their engagement. Staff in positions with a high level of contact with children e.g. clinical team shall have more in-depth training on the policy during the induction sessions.

- k) Capacity building for associates

Associates will be briefed on safeguarding and their responsibilities under the policy upon engagement with the organization and will be required to sign the code of conduct.

- l) Awareness raising for beneficiaries and communities

The communities that BFU serves will be informed on the Baylor Foundation Uganda commitment to safeguarding and what to do if they have concerns. All materials including the safeguarding policy and other operational tools will be translated to local languages.

All training records will be maintained and regularly monitored for compliance and identify gaps.

6.1.6 Social Media

Baylor Foundation Uganda uses internet and social media as a means of communication. A social media policy is developed to ensure safeguarding principles are observed when using social media platforms. Refer Annexure C for social media policy.

C7: Incident Reporting and Response

7.1 Reporting channels

BFU has put in place a robust reporting and response system to ensure that all concerns are addressed promptly and appropriately. These reporting channels include

- Suggestion boxes in accessible locations.
- Whistle blow Hotlines with 24/7 availability.
- Safeguarding focal persons with representatives in all BFU locations.

All staff are encouraged to report any concerns immediately, regardless of their severity.

Safeguarding focal persons shall constitute the safeguarding committee and are responsible for receiving reports of concerns from other Baylor Foundation Uganda staff (Safeguarding Committee TOR- Annex F). All staff and associates must report all concerns they have using the reporting flow chart (chart 1 below) with clearly designated staff to receive and manage reports. Baylor Foundation Uganda will also have user friendly versions (translated to relevant local language) of such document to inform children and the communities how to report.

Baylor Foundation Uganda will receive disclosures with sensitivity and will strive not to re-traumatise victims in the handling of complaints.

7.2 Handling reports

- q) A designated safeguarding committee member through the Director Human Resources shall review and act on reports within 24 hours and notify relevant authorities in cases of criminal behaviour (e.g., police, child protection services). They will monitor the situation to prevent retaliation or further harm and provide updates to stakeholders while maintaining confidentiality.
- r) The subject of the complaint (alleged perpetrator) and all witnesses must cooperate fully and openly with internal, statutory investigations and hearing with due regard to maintaining confidentiality.
- s) Allegations against a staff member would normally result in suspending the staff member from their employment immediately subject to investigation of the issue. If the allegation is a criminal issue, this will be reported to the formal authorities before acting or informing the allegation.
- t) Person(s) with the skills to do so shall conduct internal investigations. BFU has trained the Safeguarding Committee members and as well lined up a pool of external resources that are well equipped to handle victim centred investigations.
- u) The investigation will involve interviews of all parties involved including witnesses to gather all relevant details of the allegation. Investigations shall follow an established procedure.
- v) Disciplinary measures shall be taken in the event that the allegation is found to be true in accordance with BFU disciplinary code. If the allegation is found to be without base, appropriate steps should be taken to minimise damage to the reputation of the individual accused.
- w) Internal investigations related to allegations of criminal behaviour should be discussed with the formal authorities prior to embarking on this course to ensure that the organization does not compromise the formal investigation. Support and counselling should be made available for those involved in the report and response.

- x) Take appropriate action to the best of its capacity to protect persons from retaliation when allegations are made in good faith.

C8: Support for Survivors

Providing timely and compassionate support is crucial to the recovery process as such BFU shall ensure systems are in place to help survivors including but not limited to;

- a) Immediate Assistance: That may include first aid, if necessary, and removal of the survivor from the harmful situation. Trained personnel shall be assigned to provide immediate emotional support.
- b) Referral Pathways: BFU has established a network of service providers, including medical, psychosocial, and legal support. This will be displayed prominently in all BFU offices, partner offices and facilities.
- c) Monitoring and Follow-Up: Regular follow ups will be made on the survivor to assess their wellbeing and to ensure they are receiving adequate care. Support plans will be adapted as the survivor's needs evolve.

For investigations and survivor assistance refer to Annexure E- Victim Centered Investigations and Survivor Assistance

Section 5: Responsibilities for those covered by the scope of the policy (Module D)

D1: Roles, responsibilities and accountability

The organisation's leadership: Senior management and the Board shall approve this policy and will be accountable for the implementation of this policy.

The responsibilities detailed below are mandatory for all those who fall within the scope of the policy.

All staff and Associates must:

- a) Report any abuse and protection concerns they have in accordance with applicable Baylor Foundation Uganda procedures and this policy. Staff may also use Baylor Foundation Uganda's whistle blowing policy in this event.
- b) Respond to an individual (child and vulnerable adult) who may have been abused or exploited in accordance with this policy.
- c) Cooperate fully and confidentially in any investigation or concerns of abuse.
- d) Contribute to building an environment where children are respected and encouraged to discuss their concerns and rights.
- e) At all times, treat children and vulnerable adults in a manner which is respectful of their rights, integrity and dignity, consider their best interests and not expose them to any form of risk or harm.
- f) Not disclose, or support the disclosure of information that identifies supported families or individuals, through any medium (include paper, photographs and social media), unless that disclosure is in accordance with standard Baylor Foundation Uganda policies and procedures and/or has the explicit consent of Baylor Foundation Uganda

- g) Comply with the behaviours detailed in Baylor Uganda's Code of conduct.
- h) Ensure that, whilst engaged with Baylor Uganda, Associates sign up to uphold appropriate behaviour in accordance with this policy.
- i) Ensure that they comply to procedures that are consistent with this safeguarding policy including reporting and responding to abuse and protection issues.
- j) Ensure that appropriate care, support and protection in dealing with all aspects of a reported case is provided including any safety concerns and potential reprisals which may arise from the incident or from the reporting of such concerns.

Partners

Agreements with partners will include a statement that partners who do not have a child safeguarding policy will either abide by Baylor Foundation Uganda policy or develop their own as a condition of the partnership actions taken by a staff or associate out of working hours that are seen to contradict this policy will be considered a violation of this policy.

D2: Ramifications of Misconduct:

Any violation of the safeguarding policy by staff will result in appropriate disciplinary measures. BFU is committed to conducting timely, fair, and transparent investigations into disciplinary matters, ensuring that all cases are handled in accordance with established procedures. Decisions regarding disciplinary actions, including dismissal, will be made based on thorough and impartial investigations.

D3: Monitoring and review

Child safeguarding is incorporated into the organisation's risk register and quarterly and annual reporting processes. The monitoring and evaluation department will be monitoring and assessing risk against policy implementation and reporting results to the Executive Director shall regularly to ensure that safeguarding measures are in place and effective.

This policy will be reviewed at least every 2 years or when it is shown necessary that additional issues need to be identified and addressed through this policy.

Annexures

- **Annexure A:** Code of Conduct
- **Annexure B:** communications policy/code of conduct
- **Annexure C:** Social Media policy
- **Annexure D:** Incident Reporting/ Referral Form
- **Annexure E:** Victim Centered Investigations and Survivor Assistance
- **Annexure F:** Safeguarding Committee TOR

ANNEXURE A: CODE OF ETHICAL CONDUCT IN BUSINESS

FOREWORD

Baylor Foundation Uganda founded on key values and our success has been, and continues to be, dependent not only on the quality of our services, but on the way in which they are delivered.

We expect every Baylor Foundation Uganda employee, and others who work on our behalf, to conduct themselves according to consistently high professional and ethical standards. This expectation applies to each of us, whatever our role and wherever we are located.

There is no conflict between behaving ethically and delivering high standards of services for our stakeholders. An individual who decides to drop his/her ethical standards may deliver may profit in the short term but, over time, the values that bind you with the organization will be eroded, trust will be diluted and your images and the organizations image or brand will be damaged

It is the purpose of this Code of conduct to provoke serious thought - to cause us to consider all possible outcomes when faced with difficult ethical dilemmas. By their very nature, such decisions are neither straightforward nor easily reached.

Throughout Baylor- Uganda, we aspire to timeless values: Care, Loyalty, Innovation, integrity, Excellence, Innovation Teamwork.

This code of conduct builds on our values and provides a helpful steer towards the relevant policies, sources of further guidance, and external standards and initiatives which govern our relationships with suppliers, clients, government agencies, Donors' and others. The policies and practices outlined here are not new, but are a consolidation of existing guidance and requirements signposted for easy access. No regulatory framework or code of conduct, however comprehensive, can cover all the ethical issues and dilemmas we may encounter in the course of our work. The need for personal accountability and individual good judgment therefore remains paramount.

Our reputation is precious. In regard to compliance with the standards we describe in this document - both by our company as a whole and by each of us as individuals - as a personal priority for us all.

1.0 Certification

1.1. Each of us is required periodically to certify that we have read, understand, and agree to comply with the Code of Ethical Conduct in Business.

2.0 Compliance

2.1. Each of us is responsible for our own compliance with the Code of Ethics and all other organizational policies, as well as local laws and regulations. Supervisors and managers have additional responsibility to help their staff understand and apply these values and to maintain an environment that promotes consistent compliance.

2.2. No action that would otherwise be precluded by these rules is permissible merely because it is customary in a particular location or area of business.

2.3. Employees who do not comply with the Code of Ethical Conduct in Business may be subject to disciplinary action, including termination of employment.

3.0 Compliance with Local Law

3.1. All Baylor- Uganda employees must, at all times, comply with the letter and spirit of all relevant laws and regulations.

3.2. Special care must be applied in areas where the law is evolving or being extended to situations not previously covered. The organization should seek to adopt the more conservative position whenever conflict arises.

4.0. Confidential Information

4.1. We must avoid intentional or unintentional disclosures of sensitive or confidential information. Such information should be used only in connection with our job responsibilities. Sensitive or confidential information may only be shared in the following circumstances:

- a. With other Baylor- Uganda employees who have a need and are authorized to have this information.
- b. With third parties where this has been authorized in writing by the Executive Director, Client, Supplier or other owner of the information.
- c. Pursuant to a statute or regulation, a court order or other legal process.

4.2. Sensitive or confidential information includes (but is not limited to):

- a. Client information.
- b. Baylor- Uganda business secrets and know-how, etc.
- c. Management information systems, data, and reports.
- d. Non-public Information.
- e. Information arising from our dealings with donors, regulators and government agencies.
- f. Supplier/vendor information.
- g. Any information that is potentially prejudicial to the interest of the Baylor- Uganda.

5.0. Conflict of Interest

5.1. We must avoid circumstances in which our personal interests conflict, or may appear to conflict with the interests of Baylor- Uganda for example:

- a. Participating in decisions to do business with companies or organizations in which you or a close family member has an interest or from which personal benefit may accrue.
- b. Business done with Baylor- Uganda only through friendship, family ties, giving or receiving gifts, or to gain favour.
- c. Misuse of Baylor- Uganda organizations name for personal benefit.

6.0. Corporate Payments

6.1. No corporate payment, gift of value or other inducements may be made or offered to any outside party, including any government official, political candidates or official, clients or suppliers, for the purpose of securing or retaining business for Baylor- Uganda or influencing any decision on its behalf. An exception to this general rule applies to promotional items provided to partners.

6.2. We do not solicit or accept any personal payment or gift to influence, support or reward any services, transaction or business involving Baylor- Uganda, or that appears to be made or offered to us in anticipation of any future service, transaction or business opportunity.

7.0. Corporate Values

7.1. Shared corporate values and goals should take precedence over individual or personal concerns.

8.0. Asset Protection

8.1. All assets owned by Baylor- Uganda are to be used solely for Baylor- Uganda business. They must not be used for personal benefit or personal consumption except where permitted by Baylor- Uganda in line with local market practices and each of us is responsible for safeguarding corporate assets under our control.

8.2. Assets include physical property, intellectual property (e.g., computer programs and models), services, customer information and business plans. Copying, selling or distributing information, software and other forms of intellectual property in violation of licence agreements is strictly prohibited.

9.0. Ownership Rights

9.1. In the event of termination of an employment relationship, all rights to property and information generated or obtained as part of the employment relationship remain the exclusive property of Baylor- Uganda.

10.0. Data and Records

10.1. The records, data and information owned, used and managed by Baylor- Uganda must be accurate and complete at all times. Each of us is responsible for the integrity of information, records and reports under our control.

10.2. Financial information provided to Stakeholders, Government Agencies and others requires the highest standards of fairness and accuracy. Making false or misleading statements to anyone including internal or external auditors, and other Baylor employees or Donors' or partners constitutes a falsification of records and is prohibited.

11.0. Record Keeping

11.1. Critical records should be retained for a period of ten years or as per by local law to enable Baylor- Uganda to answer questions that may arise from audits, tax reviews, legal proceedings, etc.

12.0. Employment

12.1. Baylor- Uganda and its employees must continually take positive action to ensure equal opportunity in employment and a business environment free of discrimination. We are committed to personal

integrity and respect for each person. Discrimination of any kind is counterproductive to our performance and is prohibited.

13.0. Personal Appearance

13.1. Employees are expected to maintain a modest, business-like, neat and clean appearance as determined by the needs and requirements of the work environment.

Dress and appearance should:

- a. Not be offensive or distracting to Clients or other employees.
- b. Be in keeping with the business-like atmosphere of Baylor- Uganda.

14.0. Personal Authority

14.1 Each employee must make decisions and commit Baylor- Uganda only up to the limits of personal authority. Key levels of authority will be explicitly delegated to each person.

15.0. Safety in the Workplace

29.1 Safety of people in the workplace is a primary concern of Baylor-Uganda. Each of us must comply with existing policies on safety.

16.0. Employment of Relatives

16.1 Baylor- Uganda employs the relatives of Baylor- Uganda employees as long as it does not create a potential conflict or the appearance of a conflict of interests. For the purposes of this Code, relatives are your spouse, children, parents and siblings. Specifically, relatives should work at different locations.

16.2. No one may be assigned to a position where he or she may have the opportunity to check, process, review, approve, audit or otherwise affect the work of a relative.

16.3. No one may be assigned to a position where he or she may influence the salary progress, promotion or terms and conditions of employment of a relative.

17.0. Gifts and Entertainment

17.1. Employees of Baylor- Uganda should not accept gifts.

17.2. Gifts in this context include anything of value - an item, a service, hospitality, lavish entertainment. Employees of Baylor- Uganda should not accept gifts from suppliers or other outsiders, Except for gifts of very nominal value such as calendars, Dairies or a pen. The value of the gift should not exceed Ushs 20,000. Such gift should be given or received without corrupt intent and could not be perceived as such.

Exceptions may only be granted by the Executive Director.

17.3. In situations where refusing or returning the gift is truly impractical or would adversely affect the relationship, you may accept the gift and make a report thereof in writing to the Executive Director who will determine how to dispose of it.

18.0. Insider Dealing

33.1 The rules strictly prohibit any officer or employee of Baylor- Uganda whenever and in whatever capacity employed, from trading for his or her own account, or for the profit of family members or friends, on the basis of inside information. The rule also prohibits an officer or employee from disclosing inside information to another officer or employee or to persons outside Baylor- Uganda so that they may profit from such information.

18.2. Employees should use business-like judgement in personal financial affairs and should avoid financial situations that could reflect unfavourably on Baylor- Uganda or themselves.

19.0 Publishing and Public appearances

19.1. Publishing, making speeches, giving interviews or making public appearances requires prior approval, and should not lead to personal profit if it is a normal outgrowth of your employment with Baylor-Uganda and not a result of your general knowledge or specific expertise.

20.0 Political Activities

20.1. We are politically neutral and have a longstanding policy of not making contributions to political parties or campaigns. Employees participating as individuals in political activity or campaigning do so in their personal capacity and not as Baylor- Uganda representatives. Lobbying activity conducted by Baylor-Uganda is in accordance with accepted good practice and undertaken only by those employees authorised to do so. If there is doubt as to the effect of such political activity clearance should be obtained from the Executive Director.

21.0. Inter-personal Relationships

21.1. Harassment and intimidation in the workplace are prohibited. Baylor- Uganda employees must continually take positive action to ensure a business environment free of harassment.

21.2. If you believe that you are being subjected to harassing or unwelcome behaviour, you should report it to your supervisor or Human Resources, or directly to the Executive Director. All allegations of harassment will be investigated.

22.0. Suppliers

22.1. It is the policy of Baylor- Uganda to purchase all equipment, supplies and services on the basis of quality, utility and price offered by the vendor.

22.2. Purchasing decisions should be based on objective judgement of the vendor's reliability and integrity, and on the value of the offering in view of short and long-term considerations and objectives. No preference is to be given to businesses related to directors, staff or members of their families.

23.0. Inducements

23.1. No kick-backs or other inducements, including 'in-kind" or soft consulting services may be requested or accepted by Baylor-Uganda employees in dealings with vendors.

23.2. All dealings and contracts between Baylor-Uganda and suppliers must be handled with honesty, integrity and high ethical standards. Any breach of this rule will result in severe disciplinary action and could lead to termination of appointment.

24.0. Supplier and Application of Baylor- Uganda Code of Conduct

24.1. Suppliers and service providers should be required to adhere to relevant parts of the Code of Conduct where appropriate. For example, outside companies that print documents for Baylor- Uganda should be required to apply Baylor- Uganda standards of confidentiality. Such arrangements should be documented and signed.

25.0. Staff Acknowledgment

“I, the undersigned staff of Baylor- Uganda hereby acknowledges that I have seen, read and understand the Baylor- Uganda Code of Business Ethics and hereby undertake to comply with them so long as I remain a staff of Baylor- Uganda

NAME: _____

SIGNATURE: _____

TITLE: _____

DATE: _____

STANDARD OPERATION PROCEDURE (SOP) FOR MANAGING RISKS IN INTERNAL AND EXTERNAL COMMUNICATIONS AT BAYLOR FOUNDATION UGANDA

Action by	Signature	Date
Prepared by:		
Reviewed by:		
Approved by:		

Document Revision History

Date of Revision	Page(s) Revised	Revision Explanation

BACKGROUND



ABOUT BAYLOR FOUNDATION-UGANDA: Baylor Foundation-Uganda is a leading provider of integrated, high-quality, and comprehensive HIV, tuberculosis (TB), reproductive maternal, neonatal, child, and adolescent health (RMNCAH), and global health security services. Established in 2006 as an indigenous, not-for-profit organization, Baylor Foundation-Uganda aims to provide provide high-quality family-centered health care, education and research to reduce morbidity and mortality from infectious and non-communicable diseases and maternal and childhood conditions.

ABOUT THE SOP FOR MITIGATING RISK IN INTERNAL AND EXTERNAL COMMUNICATIONS

Baylor Foundation Uganda (BFU) aims to mitigate risks in both internal and external communication with the aim of safeguarding the reputation of the organization. The different ways the organization aims to accomplish this is by:

- Implementing well-defined communication protocols and delivering comprehensive training to employees on the proper handling and distribution of sensitive information.
- Educating staff on how to effectively represent the organization when communicating through various channels.
- Ensuring consistent provision of training sessions pertaining to data security protocols as well as the adoption of encryption technologies in order to fortify the protection of sensitive information exchanged within the organization.

I. OUR COMMUNICATION CHANNELS

- Electronic mail communications
- WhatsApp platforms
- Additional social media platforms e.g. LinkedIn, X (formerly Twitter), YouTube, Instagram etc.
- Meetings
- Memos
- Intranet platforms
- Newsletters

2. DEFINITIONS AND AIMS

The purpose of this section is to provide clear definitions and outline the objectives of this SOP.

Internal communication within an organization encompasses the dissemination of information to individuals or groups within the organization. The effective utilization of internal communication facilitates the alignment of objectives, dissemination of critical information, and fostering of collaborative efforts within the team.

External communication refers to the exchange of information and messages between an organization and external parties, including customers, suppliers, investors, and the general public. Ensuring the maintenance of relationships, promotion of the organization's brand, and attraction of new opportunities are of utmost importance in all external engagements.

Data breaches refer to incidents where unauthorized individuals gain access to sensitive or confidential information. These incidents can occur due to various factors such as cyberattacks, system vulnerabilities, or human error. The occurrence of these breaches can lead to significant financial losses, reputational harm, and legal ramifications. Ensuring the implementation of robust security measures is therefore of utmost importance to effectively prevent and respond to data breaches.

3. RISK MITIGATION IN INTERNAL COMMUNICATIONS

Managing internal communication risks considers:

Issue	Mitigation measure
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The unauthorized disclosure of sensitive information to individuals who do not have the proper authorization.	Having a designated person to communicate sensitive information.
The presence of ambiguity resulting in misinterpretations among staff members;	Follow up with physical calls or one-on-one talks.
Identification of potential vulnerabilities that may pose a risk to the organization's operations or reputation.	Reviewing and updating the policy on internal and external communications annually and on a case-by-case basis.

The responsibility of disseminating important internal messages in an effective and compassionate manner shall be assigned by the Executive Director to a designated individual or team. All news pertaining to any issue should be directed to the designated individuals listed, who will provide guidance on how and when to effectively communicate the message to the appropriate audience. The following messages are relevant to:

Designation Matter	Designate
Any member of the staff, regardless of the nature of the news (positive or negative)	Executive Director or the Human Resources department.
The whole organization	The Executive Director because he oversees the organization as a whole or his designate
Directorates	Directors/Executive Director
Departments	Department Heads/Executive Director
Regional Offices	Program Managers/Executive Director
Communications & Public/Media Relations	Executive Director, Directors, PR Manager
Clients	Head of Programs/Executive Director
Vendors or suppliers	Head of Procurement/Director of Operations/Executive Director

4. RISK MITIGATION IN EXTERNAL COMMUNICATION

Misrepresentation (Verbal or Print)

- To prevent any potential miscommunication, it is imperative that staff members refrain from engaging in conversations or disclosing any information to media professionals without first obtaining authorization from the Executive Director.
- Staff members who have been authorized to communicate with media practitioners are expected to prepare comprehensive background information on BFU and the proposed question and answer content. These documents should be shared with the Executive Director for approval and future reference.
- If there are any minor errors in the written or printed format (that need to be clarified), it is advisable to compose an email and send a letter to the Executive Editor, formally requesting the publication of the accurate information in the newspaper. It is recommended to promptly follow up the action by placing a phone call to the Executive Editor. This call should serve to confirm the receipt of the communication and to acquire the precise date on which the correction will be published.
- In the event of major errors that have a significant impact on the reputation of BFU, it is recommended to inform the lawyer and seek guidance on whether to issue a paid press release to media outlets. This press release should clarify the inaccurate information and provide accurate information in its place.

Defamation

- BFU will respond appropriately to instances of slander or libel, taking into consideration the source and severity of the defamatory statements.
- With the guidance of the organization's legal team, a response can be effectively communicated through the distribution of a press release. A paid press release will be prepared and distributed to news editors with the objective of refuting the libelous claims.
- With the guidance of the organization's legal counsel, it is advisable to consider communicating a response through a press conference. This would involve inviting media practitioners with the objective of mitigating any potential damage to the organization's reputation.

Unauthorized Content Usage

- To effectively manage consent forms acquired through photography, a maximum of three (3) pertinent photos will be captured from all program areas, departments, or units for each activity conducted. This will streamline the process of obtaining consent from all individuals depicted in the photographs. The consent forms for each photograph, along with the corresponding photos, are securely stored in the consent form database located on the server. The implementation of this feature facilitates the process of retrieving the name and product associated with a specific individual, primarily for the purpose of authentication.
- If a complaint is brought to the attention of BFU, it is imperative that the individual responsible for publishing the content reaches out to the designated communications personnel to ascertain whether a consent form has been duly submitted, containing the relevant information of the complainant.
- If the consent form containing the complainant's details is available. The document should be physically reproduced and distributed to the individual who filed the complaint. It is important to communicate to the individual that by providing an explanation alongside their signature, they have effectively relinquished their rights and granted BFU authorization to utilize the photograph, assuming BFU deems it to be valid. This authorization remains in effect until such time that the complainant formally requests BFU, via written correspondence, to discontinue the use of any photograph in which they are depicted.

- If a consent form is not available, it is necessary to inform the Head of the Directorate/Department to which the person responsible for publishing the content belongs. This will facilitate a discussion among the Senior Management Team (SMT) members to determine an appropriate solution to the matter at hand.

5. SOCIAL MEDIA POLICY FOR THE ORGANIZATION

Introduction

Social media refers to any platform or medium used for online publication and commentary. This includes, but is not limited to, blogs, wikis, and popular social networking sites such as Facebook, LinkedIn, Twitter, Google+, Flickr, and YouTube. The policy serves as a supplementary measure that complements any current or forthcoming policies pertaining to the utilization of technology, computers, e-mail, and the internet.

Establishing Social Media Accounts

For assistance with the creation of personal social media accounts and their settings, individuals can seek guidance from BFU's Communications team. Alternatively, if the Communications team is unavailable, individuals can reach out to BFU's IT Department for support. Employees of BFU are prohibited from incorporating BFU's name into their personal social media account usernames.

BFU employees are required to adhere to this policy whenever they publicly associate themselves with BFU, engage with BFU's social media platforms, or make efforts to represent BFU via social media, irrespective of their privacy settings.

Engaging with BFU's social media pages

When a BFU employee engages with BFU's social media pages in an official capacity, they are obligated to adhere to the guidelines outlined in this policy. Engaging with BFU's social media platforms encompasses various activities, such as posting or leaving comments on BFU's social media pages or updates, as well as tagging BFU. Although these interactions typically pertain to the majority of social media platforms, there may be some variation in the types of interactions based on the specific platform. The following provides a comprehensive overview of the different forms of official engagement with BFU social media platforms, categorized by platform:

Neutral Interaction with IDI Social Media Pages, by Platform

1. Facebook: <https://www.facebook.com/bayloruganda>
 - a. Liking BFU's page
 - b. Liking BFU posts, pictures, and videos
 - c. Sharing updates from BFU's page (without alteration or comment)
 - d. Messaging BFU's page
2. Twitter: <https://twitter.com/bayloruganda>
 - a. Following BFU's stream
 - b. Favoriting a BFU tweet
 - c. Re-tweeting a BFU tweet (without alteration or comment)
 - d. Direct messaging BFU

3. YouTube: <https://www.youtube.com/@bayloruganda7051>
 - a. Subscribing to BFU's channel
 - b. Thumbs-up-ing a BFU video
 - c. Sharing a BFU video (without alteration or comment)
 - d. Sharing a BFU photo (without alteration or comment)
4. LinkedIn: <https://www.linkedin.com/company/5078481/admin/feed/posts/>
 - a. Following BFU
 - b. Liking an update by BFU
 - c. Sharing an update by BFU (without alteration or comment)

Official Interaction with BFU's social media pages, by Platform

1. Facebook: <https://www.facebook.com/bayloruganda>
 - a. Posting on BFU's wall (the homepage of BFU, as provided in the link above)
 - b. Commenting on BFU's posts, pictures and videos
 - c. Commenting on other's posts to BFU's wall
 - d. Tagging (using the @ command) BFU in a status update or comment
2. Twitter: <https://twitter.com/bayloruganda>
 - a. Replying to a BFU tweet
 - b. Replying to a tweet that BFU is tagged in
 - c. Tagging BFU in a tweet
3. YouTube: <https://www.youtube.com/@bayloruganda7051>
 - a. Commenting on BFU videos
 - b. Commenting on videos that BFU is tagged in
 - c. Tagging BFU
4. LinkedIn: <https://www.linkedin.com/company/5078481/admin/feed/posts/>
 - a. Commenting on BFU's posts, pictures and videos
 - b. Tagging BFU in a status update

Several social media interactions can be considered neutral, such as engaging with a BFU social media page by following it, sharing updates from the page, and privately communicating with BFU social media accounts. These interactions are classified as unofficial interactions that fall outside the purview of this policy, as they are not applicable to the guidelines outlined within this policy. While the majority of these neutral interactions are applicable to various social media platforms, it is important to note that there are certain distinctions, which are elaborated upon below:

Efforts to Represent BFU

Regardless of whether or not a BFU employee engages with BFU's social media platforms, any employee who seeks to represent BFU on social media is obligated to adhere to the guidelines outlined in this policy. The act of representing BFU through social media encompasses a range of activities, which may include, but are not limited to, issuing statements about BFU or acting as a spokesperson for BFU on various social media platforms. This encompasses statements made in status updates as well as comments and responses.

Identification as a BFU Employee

Regardless of whether an employee engages with BFU's social media platforms or makes any statements regarding BFU, the employee is bound by this policy if they explicitly identify themselves as an employee of BFU.

An employee of BFU may identify themselves as such through various means, which may include, but are not limited to:

- Incidental references to one's place of employment on personal social media profiles. Secondly, References to one's place of employment in status updates, comments, responses, and other forms of communication.

6. GUIDELINES FOR SOCIAL MEDIA USE

Privacy

While BFU advises employees against disclosing personal information, it is important to note that BFU employees have control over the privacy settings of their personal social media accounts. Nonetheless, it is important to note that when an individual identifies themselves as an employee of BFU, engages with BFU's social media platforms, or endeavors to officially represent BFU, they are obligated to adhere to the guidelines outlined in this policy, regardless of their chosen privacy settings being public or restricted.

Disclaimers

In order for a BFU employee to officially identify themselves as such, engage with BFU's social media platforms, or act as a representative of BFU, it is necessary for them to include a disclaimer on their personal page. The disclaimer should be prominently displayed and explicitly indicate that the expressed views belong solely to the individual and may not necessarily align with the perspectives held by BFU.

Confidentiality

BFU employees are permitted to identify themselves as employees of BFU, engage with BFU's social media platforms, and act as representatives of BFU. However, it is important that they refrain from disclosing any confidential information pertaining to BFU. The scope of confidential information encompasses a wide range of data, including, but not limited to, undisclosed information pertaining to BFU's software, financial matters, research endeavors, and other related subjects. It is important to refrain from disclosing any undisclosed information pertaining to BFU and its operations. Furthermore, it is necessary to obtain explicit consent before mentioning or making any direct references to clients, partners, or suppliers associated with BFU. When discussing projects, it is permissible to provide general information and utilize non-identifying pseudonyms, such as "Client 123," as long as this does not breach any existing non-disclosure agreements or disclose the client's identification. Employees of BFU are advised to reach out to their respective Heads of the Directorates/Department (HoD) in case they have any uncertainties regarding the confidentiality of certain information.

Ethics

When engaging with BFU's social media platforms or acting as a representative of BFU, it is imperative for BFU employees to disclose their true identities by using their real names and specifying their current or past roles within the organization. It is important for employees to refrain from using pseudonyms or anonymous accounts when engaging with BFU social media pages or when representing BFU.

The organization strongly upholds the principles of transparency and honesty. Employees of BFU who identify themselves as such, engage with BFU's social media platforms, or represent BFU, are required to exercise caution in order to prevent the dissemination of any information that is deceptive, false, or misleading. When a BFU employee needs to address a misrepresentation of BFU in the media, it is important to respond in a respectful manner and provide accurate information based on the facts. When BFU employees desire to express their opinions or provide information about individuals or organizations, it is crucial to exercise caution and ensure that all statements are based on facts and refrain from making derogatory remarks about the other party. The guidelines encompass not only explicit prohibitions on ethnic slurs, offensive comments, defamatory remarks, personal insults, and obscenity, but also the imperative to exercise due regard for privacy and to exercise caution when discussing potentially contentious or provocative subjects, such as politics and religion.

It is of utmost importance that employees of BFU demonstrate appropriate reverence for the legal regulations pertaining to copyright and fair use, as well as the fair dealing of copyrighted material that is owned by external parties, including BFU's own copyrights and brands. It is imperative for employees to refrain from quoting extensive portions of another individual's work. Instead, they should limit themselves to using brief excerpts and consistently acknowledge the original author or source. Adhering to the principle of good general practice, it is recommended to include links to the work of others instead of duplicating it.

Error Correction

If a BFU employee, who clearly identifies themselves as such, engages with BFU's social media platforms or attempts to represent BFU, and subsequently makes an error through social media, it is imperative for the employee to promptly rectify the mistake. For example, in the event that an employee of BFU is accused of posting inappropriate content (such as copyrighted material or a defamatory comment), it is advisable for the employee to promptly remove the content in order to mitigate the risk of potential legal consequences.

Other Commitments

BFU employees are permitted to engage with BFU's social media platforms or act as representatives of BFU, provided that such engagement does not disrupt their regular work responsibilities.



Consent for participation in photography and videography documentation related content under Baylor Foundation Uganda programs.

STANDARD PHOTO RELEASE AGREEMENT

I, the undersigned, grant permission to Baylor Foundation Uganda to take and use my photograph, video record my image and/or voice. Permission is granted for the Baylor to release, publish, broadcast or quote this material in public information programs and not profit activities. Additionally, I agree to editing, quoting, reproduction, release, distribution, exhibition, publishing, broadcasting, transmitting or otherwise use of such recorded information in future speeches, on the Internet, and through multiple broadcast channels and print media.

If I decide to participate, my identity will be known in the places where the material is published. I understand that these photographs will be published and read/shared with different stakeholders both here in Uganda and abroad. I understand that my story/picture(s) when published will have positive impact on all who will access it nationally and globally. I understand that my information will not be used for commercial purposes, and that I will receive no compensation for its use and for my participation in this photography/videography sessions.

Name of Subject

Date and Place of Photography/videography

Signature.....
.....

Contact Information.....

Witness's name and signature:_____

BAYLOR COLLEGE OF MEDICINE CHILDREN'S FOUNDATION UGANDA PARTICIPANT FORM

ACTIVITY.....VENUE.....ACTIVITY LEAD.....DATE.....

PREPARED BY SIGN..... DATEREVIEWED BY..... SIGN..... DATE.....

No	NAME	TITLE	TELEPHONE	EMAIL	TIME		PHOTO CONSENT YES/NO	SIGN
					IN	OUT		
1								
2								
3								
4								
5								
6								
7.								

Annexure C: SOP FOR SOCIAL MEDIA

Definitions

Social media

Social media is a set of online platforms and tools used to create, share and engage with content and people. In contrast with traditional media, the nature of social media is highly interactive. Social media may be any website or medium that allows for public communication, including but not limited to social and professional networking sites, blogs, micro-blogging sites, video and photo-sharing sites, forums, discussion boards and groups, podcasting sites, and instant messaging services.

Users

Baylor Foundation Uganda (BFU) staff (full-time and part-time employees), consultants, contractors, third-party suppliers, and/or those authorized to generate content for social media platforms associated with BFU or any other person participating in social media and who may be identified as having an association with the organization or uses BFU infrastructure to access social media.

Undesirable conduct

Inclusive of, but not limited to, the generation of content that is detrimental to the image or reputation of BFU, that is defamatory, pornographic, proprietary, harassing and/or false and damaging, or conduct that may create a hostile work environment, amounts to unfair discrimination, bullying and/or hate speech.

SOCIAL MEDIA STANDARD OPERATING PROCEDURE

1. Introduction

Baylor College of Medicine Children's Foundation-Uganda (Baylor Foundation Uganda) recognizes the importance of social media in today's digital landscape as a communication tool to boost engagement with the organization's content. This content boosts our visibility and markets our organization's brand and work. It is however imperative that employees that interact with or represent Baylor Foundation Uganda (BFU) on this platform demonstrate the highest ethical standards and conduct by following the guidelines in the social media standard operating procedure (SOP).

2. Purpose

This SOP outlines the guidelines for the use of social media by BFU employees, contractors, and other stakeholders that interact with or represent BFU. It aims to promote positive publicity and mitigate or prevent negative publicity.

3. Scope

This SOP applies to BFU staff who identify themselves as such, interact with BFU's social media pages, and or represent BFU through the social media pages. This SOP does not aim to regulate communication by or between staff and/or clients unless it contravenes the BFU Code of Conduct for staff or is detrimental to BFU's brand.

4. Types of social media platforms

4.1 Social Networking Platforms

- Facebook
- LinkedIn
- X (formerly Twitter)
- WeChat
- QQ

- Qzone
- Telegram (*also messaging*)
- Skype (*also messaging/calling*)
- WhatsApp (*primarily messaging, but has social elements*)

4.2 Microblogging & Discussion Platforms

- X (formerly Twitter)
- Reddit
- Quora
- Sina Weibo
- Tumblr (*blog + microblog hybrid*)

4.3 Blogging Platforms

- WordPress
- Blogger
- Tumblr

4.5 Photo Sharing Platforms

- Instagram
- Pinterest
- Snapchat (*also includes ephemeral video sharing*)

4.6 Video Sharing Platforms

- YouTube
- Vimeo
- TikTok
- Snapchat (*short-form video as well*)
- Instagram (*Reels/Stories features overlap here too*)

4.7 Messaging & Calling Platforms

- WhatsApp
- Telegram
- WeChat
- Skype

5 Interacting with Different BFU's social media Pages

5.1 Official Interaction with BFU Social Media Pages

If a BFU employee officially interacts with BFU's social media pages, he or she is bound to the guidelines provided in this SOP. Officially interacting with BFU's social media pages includes, but is not restricted to:

- Posting on BFU's wall
- Commenting on BFU social media pages or updates (posts, pictures and videos)
- Commenting on other's posts to BFU's wall
- Tagging BFU in a status update or comment

5.2 Neutral Interaction with BFU Social Media Pages

Some social media interactions are neutral in nature, such as:

- Following/subscribing to the BFU social media page
- Liking the BFU page
- Liking/favoriting/ Thumb-up-ing BFU posts, pictures and videos
- Reposting content
- Sharing BFU social media updates (without alteration or comment)

5.3 Representing BFU

If a BFU staff represents BFU through social media, he or she is bound to the guidelines provided in this SOP. Representing BFU includes making statements about or on behalf of BFU via social media. This includes statements made in status updates and comments/responses.

5.4 Identifying Oneself as a BFU Employee

Even if an employee does not interact with BFU's social media pages and does not attempt to make statements about or on behalf of BFU, the employee is held to this SOP if he or she identifies him or herself as an BFU employee.

A BFU employee may identify him or herself as such in several ways, including but not limited to:

1. Incidental mentions of place of employment on personal social media pages.
2. Mentions of place of employment in status updates, comments, responses, etc.

6. Standard Operating Procedure (SOP) statement

Given that social media gives users a public platform to express themselves, BFU must establish clear guidelines regarding responsible behavior, standards of conduct, and expectations that users must adhere to when using social media for official purposes or where the use of social media impacts the organization. BFU recognizes the importance of social media as a communication tool and, with this SOP, aims to encourage transparent, responsible, honest, and open communication on social media platforms. BFU values entrenched rights such as freedom of expression, association, and the ability to disseminate diverse views. However, it is important to note that freedom of speech and/or expression is not absolute but limited and measured against the existing norms, standards, and regulations. These include:

- The Constitution, especially The Computer Misuse (Amendment) Act, 2022 of The Republic of Uganda, and any other relevant legislation.
- BFU's vision, mission, values and strategic objectives, codes of conduct, and other applicable rules, regulations, policies, and procedures.
- The right to freedom of expression, speech, and association is limited where such expression infringes on other fundamental rights and may result in discrimination based on race, age, religion, marital status, nationality, origin, physical or mental disability.

7. Guidelines for Social Media Use

Privacy

- i. Although BFU cautions employees against disclosing personal details, BFU employees have jurisdiction over the privacy settings of their personal social media accounts.

- ii. However, when identifying oneself as BFU employee, interacting with BFU's social media pages, and/or officially representing BFU, as determined above, employees are bound to the guidelines provided in this SOP whether or not their privacy settings are set to public or restricted settings.

Confidentiality

Do not share confidential information about BFU. Confidential information includes patient medical records, research data, staff personal information, financial information, agreements with partners and donors, and Board meeting minutes.

Consent

- i. Caution must be exercised before releasing identifiable images, audio, and videos, and permission must be obtained before release.
- ii. Users must refrain from disseminating any private or confidential information of third parties on social media without their consent.
- iii. The Use of abusive, vulgar, demeaning, or any other statement that may inflict psychological, emotional, or physical harm on the target person is strictly prohibited, and whoever involves themselves shall be liable to disciplinary action.

Personal use of social media

Personal use of social media must be conducted in a manner that indicates no association with BFU.

- a) Users of social media for private purposes must ensure that they do not engage in undesirable conduct.
- b) Where opinions are expressed on social media in a user's private capacity, it must be made clear that the opinion is that of the originator and not that of BFU. Use disclaimers such as "Opinions are my own" to clarify that your views are not representative of the organization.
- c) Users must be aware that any dissemination of undesirable conduct on social media will be attributed to that user. This includes liking, sharing, re-tweeting, posting, or reacting to any social media activity that constitutes undesirable conduct.
- d) Respect copyright and intellectual property laws by not sharing or using copyrighted materials without permission.
- e) BFU may take disciplinary steps should users make use of social media in a manner that has a direct, indirect, or potentially negative impact on the organization's reputation or interests.

Official Social Media Accounts

- i. Only authorized representatives of BFU are permitted to create and manage official social media accounts. These authorized staff who manage BFU social media accounts shall be held liable for any breaches or commission of an offense.
- ii. All content posted on official social media accounts must be reviewed by the Communications Manager and approved by the Directors.
- iii. All official social media accounts must adhere to BFU's brand guidelines.

Compliance

Ensure that all social media activities comply with applicable laws and regulations.

Consequences of non-compliance

Users are expected to be mindful that any activity on social media platforms impacts the image of BFU and should always refrain from any activity that may tarnish this image.

- i. Users are expected to engage on social media in a responsible manner.
- ii. Failure to comply with this SOP may result in disciplinary action, including termination.
- iii. The guidelines, rules, and regulations governing users' conduct during normal interaction as set out in the BFU code of conduct apply to users' conduct online.
- iv. BFU reserves the right to monitor social media activities to ensure compliance with this SOP.

Identification

- i. If a BFU employee interacts with BFU's social media pages and/or represents BFU, he or she must identify themselves by using their real names and revealing the capacity in which they work or have worked for BFU.
- ii. When interacting with BFU social media pages and or representing BFU, employees should not use pseudonyms or anonymous accounts.

Ethics

- i. Be Respectful: Treat others with respect and dignity, even if you disagree with their views.
- ii. Be Professional: Maintain a professional tone and demeanor in all social media interactions.
- iii. BFU employees that identify themselves as such, interact with BFU's social media pages, and/or attempt to represent BFU, must take care to ensure that no information is dishonest, untrue, or misleading.
- iv. If a BFU employee wishes to respond to a misrepresentation of BFU in the media, the response should be made with respect and with the facts.
- v. If BFU employees wish to make statements about other people or organizations, care should be taken to ensure that all statements are factual and do not disparage the other party. This includes not only the obvious (no ethnic slurs, offensive comments, defamatory comments, personal insults, obscenity, etc.) but also proper consideration of privacy and of topics that may be considered objectionable or inflammatory—such as politics, religion and family matters.

Copyright

- i. It is critical that BFU employees show proper respect for the laws governing copyright and fair use or fair dealing of copyrighted material owned by others, including BFU's own copyrights and brands.
- ii. Employees should never quote more than short excerpts of someone else's work, and always attribute such work to the original author/source. It is good general practice to link to others' work rather than reproduce it.

Correcting Errors

- i. If a BFU employee that identifies him or herself as such, interacts with BFU's social media pages, or attempts to represent BFU, makes an error through social media, the employee must try to correct it quickly.
- ii. If someone accuses a BFU employee of posting something improper (such as copyrighted material or a defamatory comment), the employee should try to remove it immediately to lessen the possibility of a legal action.

Other Commitments

BFU employees may only interact with BFU's social media pages or attempt to represent BFU if this activity does not interfere with their normal work commitments.

8. Enforcement**Culpability**

Violations of this Social Media SOP may result in disciplinary action, up to and including termination of employment or engagement, depending on the severity and impact of the violation.

Responsibility for Implementation

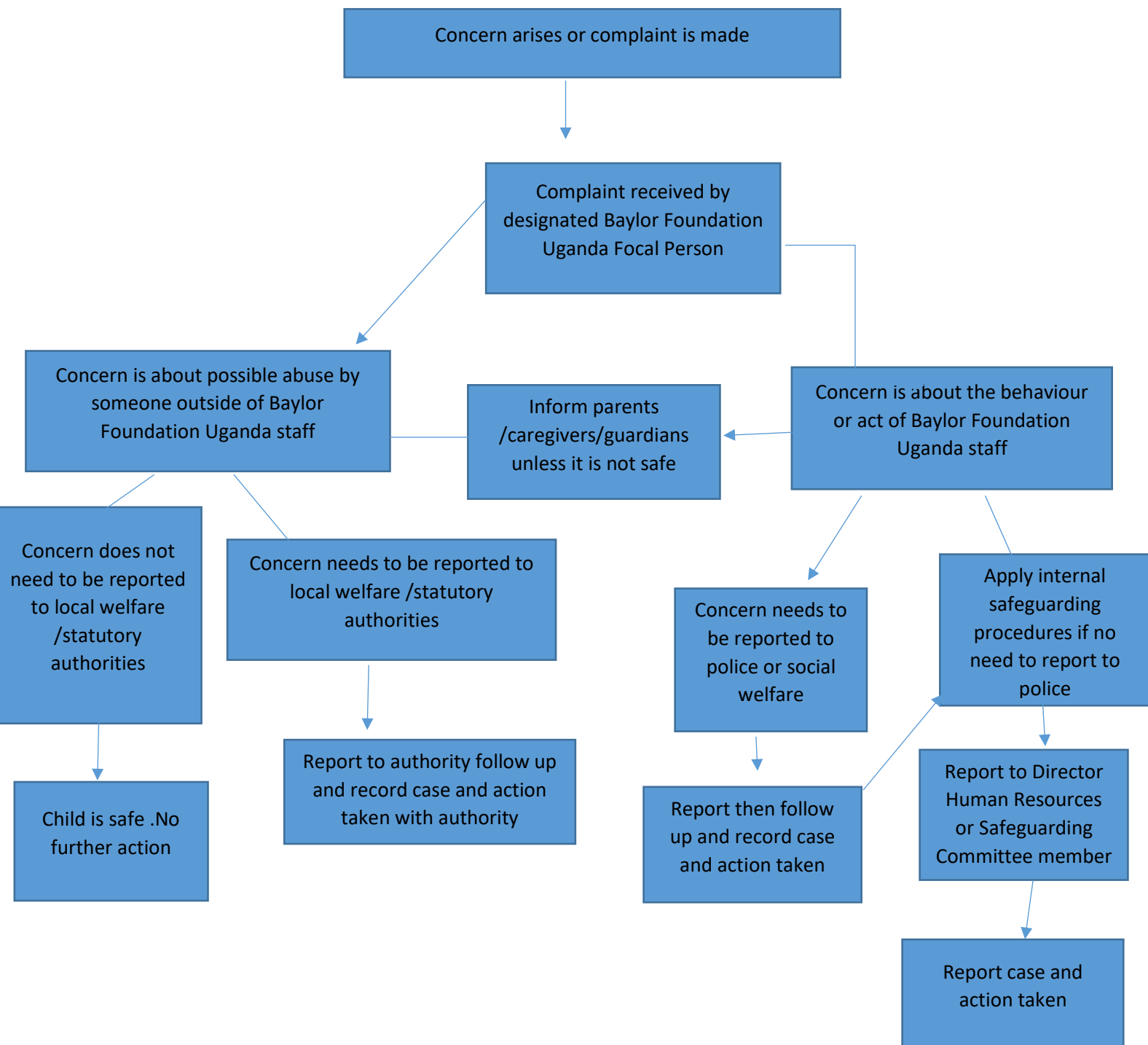
Senior Management Team (SMT) members, Project Managers, Heads of Units, and other supervisors are responsible for ensuring that team members are aware of this SOP. They **SHOULD** take reasonable steps to promote compliance and address any breaches promptly and appropriately.

Annexure D: REFERRAL FORM

Child name	Case no:
------------	----------

Referral details:		
Time :	Date:	
Place:		
Referrer's details		
Name:		
Address:		
Contact telephone no:		
Occupation:		
Relationship to child		
Child's details(where available):		
Name:		
Age:	Date of birth:	Gender:
Address:		
Household structure:		
School:	Class:	Teacher:
Ethnicity/tribe:	Language spoken:	
Religion:	Any Disability:	

Identity no: status/whose legal responsibility:



ANNEURE E: VICTIM CENTERED INVESTIGATIONS AND SURVIVOR ASSISTANCE

GLOSSARY

Allegation –an assertion of facts that one intends to prove at trial or during an inquiry.

Child – any individual under the age of 18, irrespective of local country definitions of when a child reaches adulthood.

Standards of conduct – a set of behavior that staff of BFU are obliged to adhere to.

Complaint – specific grievance of anyone who has been negatively affected by an action of BFU or its staff or who believes that BFU has failed to meet a stated commitment.

Complainant – the person making the complaint, including the alleged survivor/ victim of the sexual exploitation and abuse or another person who becomes aware of the wrongdoing.

Whistle blow mechanism or procedure – processes that allow individuals to report concerns such as breaches of organizational policies or codes of conduct. These include, whistleblower policy, ethical point and safeguarding focal person.

Confidentiality – an ethical principle that restricts access to and dissemination of information. In investigations on sexual exploitation, abuse, fraud and corruption, it requires that information is available only to a limited number of authorized - personnel for the purpose of concluding the investigation. Confidentiality helps create an environment in which witnesses are more willing to recount their versions of events and builds trust in the system and in the organization.

Evidence – information gathered during the investigation that proves or disproves an allegation.

Focal point – a person designated to receive complaints of cases of sexual exploitation and abuse.

Investigation procedures or protocol – a clear framework which assists to conduct quality, confidential, safe and transparent investigations into allegations of staff misconduct.

Physical abuse of a child – act/s or omission/s which result in actual or potential physical harm to a child from an interaction or lack of interaction, which is reasonably within the control of a parent or a person in a position of responsibility, power or trust.

Risk – the possibility of loss or harm and/or the probability of an adverse occurrence.

Sexual abuse – an actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions Any sexual act or relationship with a child is sexual abuse.

Sexual abuse of children – the involvement of a child in sexual activity that s/he does not fully comprehend, give informed consent to, or for which s/he is not developmentally prepared and cannot give consent, or that violates the laws or social taboos of society. It is evidenced by an activity between a child and an adult or another child who by age or development is in a relationship of responsibility, trust or power, the activity being intended to gratify or satisfy the

needs of the other person. It may include, but is not limited to, the inducement or coercion of a child to engage in any unlawful sexual activity, the exploitative use of a child in prostitution or other unlawful sexual practices, the exploitative use of pornographic performances and materials.

Sexual exploitation – 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.

Sexual exploitation and abuse (SEA) prevention strategy – plans and actions designed and implemented to reduce the risk of sexual exploitation and abuse of BFU beneficiaries. Common measures include awareness-raising, staff training, improved recruitment policies, whistleblowing policies, complaint mechanisms, investigation procedures and standards of conduct.

Staff – in the context of the BFU Policy On Safeguarding (Child Protection and Preventing Sexual Exploitation and Abuse), staff refers to BFU employees, consultants, volunteers, contractors, vendors, implementing partners and partner staff or anyone associated with the delivery of BFU programs and services.

Subject of the Complaint – the person alleged to have perpetrated the misconduct in the complaint.

Witness – a person who gives testimony or evidence in the investigation, including the survivor, the complainant, a person of concern, a staff member of a partner agency, the subject of the complaint or another staff member.

Victim or survivor – the person who is, or has been, sexually exploited or abused. The term ‘survivor’ and “victim” are used interchangeably.

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Introduction

These Guidelines provide an overview of the key steps and issues BFU shall consider when investigating and responding to allegations of SEA by staff. They summarize the 'who, what, when, where and how'. They are meant to provide systematic direction to investigating SEAH allegations and providing assistance and support to survivors while ensuring the safety of all involved.

The Guidelines are divided into two sections.

Section 1: Victim centered SEAH investigations.

Section 2: Survivor support and assistance

1: Victim Centered SEAH investigations.

Victim centered SEAH investigations involve engaging with victims in a way that prioritizes listening, avoids re-traumatization, and systematically focuses on their safety, rights, well-being, expressed needs and choices. The purpose is to give back as much control to the victim as feasible and ensure empathetic delivery of services in a non-judgmental manner.

Investigations of SEAH allegations shall follow the below steps.

1.1 Receiving an allegation.

The initial complaint to BFU shall be made using the ethics reporting channels that have been instituted or in person to the Safeguarding focal person. In either case, it should give basic information about who the complainant is and what they allege happened (roughly), who did it, when, where, who else was there and how the complainant can be contacted again (if they wish to be contacted). BFU will proceed with any complaint even if the complainant does not wish to be contacted.

Sometimes, a concern regarding SEAH does not come in the form of a complaint. Staff or community members may hear rumors, or witness behavior that concerns them, but they are not sure if it relates to a misconduct. In these instances, the staff who is made aware of this shall report it immediately through the ethics reporting channels / their supervisor/ safeguarding focal point and document the concerns in form of a potential complaint. If an investigation is later conducted, the staff or community member who raised the concern will be considered the 'complainant', even if they are not the alleged victim in the case.

Anonymous complaints

Anonymous complaints are complaints in which the victim/complainant is not known. It is good practice to investigate anonymous complaints, if there is sufficient background information and/or good leads to witnesses who can give strong testimony about the alleged abuse. Anonymous complaints shall be treated seriously because of the potential for future abuse and harm, and BFU has a responsibility to create a safe environment.

1.2 Deciding whether to investigate.

1.2.1 Jurisdiction to investigate.

BFU has the jurisdiction to administratively investigate acts allegedly committed by staff members because of their contractual obligations.

1.3 Validation of a complaint

BFU will determine based on the criteria below if there is sufficient information to form a complaint:

- a) Does the concern constitute a potential breach of BFU policy and standards of Conduct?
- b) Is there an identified victim and Subject of Complaint?
- c) Is further information required to determine either of the above? In this case, it may be decided to look for further information to provide sufficient information to take forward the complaint. This shall be done in an extremely careful manner, following the same principles as an investigation as per BFU procedures and guidelines.

Information gathering shall be done in a way that does not jeopardize a potential investigation (for example by making the potential Subject of Complaint, witnesses, or other stakeholders aware that a complaint has been made) or present a protection risk to anyone concerned. A decision to undertake an investigation shall be undertaken when:

- a) there is sufficient information to constitute a complaint and
- b) Evidence is required to determine whether the complaint can be upheld.

At this stage, immediate health and protection concerns regarding those involved shall be assessed and dealt with. Victims have to be able to receive assistance as soon as possible therefore, providing victim assistance should come first to reporting and investigation.

A more detailed protection risk analysis shall also take place when the investigation team is in place

1.4 Dealing with a criminal offence.

It is possible that the complaint alleges a criminal offence e.g rape, molestation. In this case, a decision will need to be made on how to proceed. When considering when to refer an allegation to the authorities, the primary consideration shall be the safety of all concerned including the victim, witnesses and the Subject of Complaint. A risk assessment is necessary before a decision is made

BFU will not share reports with local authorities unless there is urgent, convincing, and imminent danger. Such cases will also then be immediately reported to BFU's legal counsel. The legal counsel will advise the Executive Director whether to involve the local authorities after considering the factors below.:

1. The need for criminal accountability
2. Available evidence
3. Laws and human rights standards
4. Confidentiality

5. The interests of BFU and its personnel and beneficiaries

6. Victim and witness security.

Where the allegation is referred, a decision shall be made on whether BFU shall go ahead with its own internal administrative investigation. The following will be considered when deciding.

1. BFU's own internal policy
2. Would continuing to carry out an administrative investigation pose protection concerns for those involved? For example, requiring the victim to be interviewed twice.
3. Is the organization's evidence gathering likely to jeopardize a criminal investigation? For example, alerting the Subject of Complaint that s/he is under suspicion.

It is also possible that a criminal offence is identified in the course of the investigation, or upon its completion. In these instances, the same process applies in deciding both a) whether to refer the case, and b) if so, whether to continue with the administrative investigation once the case has been referred.

1.5 Appointing the investigation team.

1.5.1 Investigation team

The Human Resource Director will appoint an investigation team.

BFU shall use both internal and external investigators. Investigators shall be chosen based on their integrity, understanding of sexual exploitation and abuse issues, knowledge of human resource practice and ability to negotiate conflicting interpersonal and institutional interests.

When selecting the investigator, due consideration shall be given to who should conduct the disciplinary hearing, if one becomes necessary, and any potential appeal hearing.

1.5.2 Responsibilities of investigators

Investigators are responsible for the day to day conducting of the investigation, as defined by the ToRs that shall be provided for each assignment. Normally, their responsibilities will include:

1. developing the investigation plan.
2. assessing and making recommendations on safety and confidentiality in coordination with the HR Director.
3. assessing protection risks, in cooperation with the safeguarding focal point as well as the HR Director if appropriate
4. making recommendations on the work status of the Subject of Complaint for the duration of the investigation
5. gathering, securing and making a finding on the evidence
6. preparing and submitting the investigation report

7. making recommendations/observations on the circumstances that may have enabled the exploitation/abuse to occur.

If a member of the investigation team has any previous direct knowledge of the complaint, they should declare immediately, and a decision should be made as to whether this would compromise the investigation, and if so, what action needs to be taken. In this event, the investigator is likely to be removed from the investigation.

1.5.3 Interpreters

Where necessary Interpreters shall be hired to support in the investigation. The interpreter shall be competent, discreet, independent and appropriate. In addition, the interpreter must understand the witnesses' language, including local slang and veiled allusions to sex.

Moreover, interpreters must sign a confidentiality agreement and should be relied on to maintain that agreement.

Interpreters must be instructed to interpret directly what witnesses say without comment or inference.

2.3 Other experts

Sometimes, consideration shall be made to taking expert advice or assistance from outsiders. Commonly, these will be lawyers with in country legal expertise and specialists in interviewing vulnerable witnesses.

1.6 Investigation Plan and undertaking a risk assessment.

1.6.1 Investigation plan

The investigator/s' initial task is to prepare an **Investigation Work Plan** as guided by Annex 1. This shall include:

1. Definition of the allegation: Description of the alleged or suspected SEA incident. When it happened, who was involved and details of reporting (when and how) without mentioning who reported. When was the investigation opened?
2. Definition of the applicable policies and/or legal norms: Identify the rules, regulations and standards of conduct that may have been violated by the alleged misconduct. Also identify the legal norms that apply to the disciplinary procedure in your context. This guides the investigation.
3. Identification of the subject of complaint: This is the alleged perpetrator. Collect all available information about the subject's contractual status, job description, working history and possible prior complaints against the same person.
4. Outlining the investigation steps, you will need to: identify the witnesses to be interviewed, the documents to be obtained, the electronic evidence to be collected.
5. Assess the risks for all persons involved. Where required, take action to minimize the risks.

1.6.2 Identifying and responding to immediate safety risks.

The safeguarding focal point shall ensure the safety of all parties involved in the case by assessing the immediate risks of all parties involved as soon as they receive the complaint and prioritizing them. This will help to ensure that BFU takes the necessary and timely action depending on the type of risk.

1.6.2.1 Identifying the risks.

Identifying risks means thinking broadly about what has happened and could happen to everyone involved in the investigation, including the alleged victim, the complainant, the witnesses, investigation team members and the Subject of Complaint.

Some risks are physical and may be obvious (e.g., pregnancy, injuries from attack by the Subject of Complaint or relatives etc.). Other risks may not be so obvious (e.g., sexual infections, psychological trauma and economic

loss). All of these are harmful and reduce a person's quality of life and may inhibit her/his ability (or desire) to contribute to the investigation.

The Subject of Complaint might also be at risk during an investigation – if the allegations become known, s/he might be under threat of retaliation from the affected community.

1.6.2.2 Prioritize the risks – which are most urgent?

After the risks are identified, they need to be ranked by person, type of danger and likelihood of those risks occurring i.e.: which risks are most pressing for each person and, between people, whose needs are most urgent? (Generally, the alleged victim's needs come first because s/he is likely to be most vulnerable).

BFU has a responsibility to reduce the likelihood of anyone involved in the investigation suffering harm. Mostly this means referring people at risk to specialists who have the expertise to help (e.g., doctors, trauma counsellors, security specialists, other organizations). Those experts then need to take steps to minimize the risks under the supervision of the Safeguarding focal point. Once the response to all risks has been formulated, a protection plan shall be designed in coordination and agreement with the investigation team.

1.6.3 Ensuring confidentiality.

Once the participants in the investigation are safe, the issue of confidentiality will become a primary focus for the investigation team.

Confidentiality means that information about the complaint and investigation can only be disclosed to a limited number of specified people on a need---to---know basis. Confidentiality is important because it protects the privacy and safety of all the people involved in the complaint. All witnesses may fear retaliation from the Subject of Complaint, community, or co-workers. Moreover, for victims, the experience of abuse can be very intimate and a matter of shame for them, their family and/or community; it may even lead others to reject or harm them.

Even the Subject of Complaint has an interest in confidentiality –s/he may be targeted in revenge attacks. Therefore, breaches of confidentiality undermine everyone's confidence and trust in

the organization and investigation itself. It will also undermine investigators' ability to find out what happened.

All individuals involved in the investigation shall be required to sign a confidentiality agreement. (Annexure II)

All aspects of a complaint are confidential, namely the fact and nature of the complaint, the identity of the key participants (the complainant, the victim, the Subject of Complaint and witnesses) and the investigation.

Data protection is critical to BFU and any failure to maintain confidentiality, may be grounds for disciplinary action.

1.6.4 Accidental and intentional disclosure

Confidentiality is breached by unauthorized disclosure, accidental or intentional. The investigation team, shall undertake a risk assessment of the impact of accidental and intentional disclosure, including measures to mitigate if a breach occurs. If the investigation team become aware of a breach in the course of the investigation, they will then need to confer with the safeguarding focal point as to the best course of action.

1.6.4.1 Accidental disclosure

Accidental disclosure occurs when key details about the complaint are inadvertently revealed, generally in casual conversation or by documents "falling into the wrong hands". To minimize the risks of accidental disclosure, investigators shall develop an action plan, which identifies the risks to confidentiality, defines who is responsible for addressing those risks in each stage of the investigation and identifies ways to prevent disclosure. Investigators shall also require anyone in the organization who knows about the complaint to sign a confidentiality agreement.

More generally, investigation teams will have separate document management systems including separate servers and printers to the extent possible.

1.6.4.2 Intentional disclosure

Intentional disclosure is more difficult to prevent – by definition it involves someone who is trusted with information disregarding the rules and telling others. This risk can be reduced by limiting the number of people who know about the complaint, choosing team members carefully, remaining alert to conflicts of interest and taking strong action against anyone who knowingly broadcasts confidential information about the case.

Generally, disclosure is allowed when:

1. it is required or permitted by policy or procedures.
2. It is required by management in the best interests of BFU and the parties.
3. It is needed to obtain specialist help for the victim or advice on the evidence.

The victim's identity should only be disclosed when it is in her/his best interests and the Executive Director approves the disclosure with the victim's consent

1.7 Substantive policies and policy elements

Investigators need to be clear about the substantive policies which have been allegedly breached and the composite elements of those policies.

1.7.1 Substantive policies to consider.

1. Standards of Conduct
2. Protection from Sexual Exploitation and Abuse policy
3. Child Safeguarding policy
4. Vulnerable adults safeguarding policy
5. BFU employee manual
6. Donor standards of conduct

1.7.2 Policy elements

These are the facts that must be proved to show that there was a breach

1. the Subject of Complaint is a staff member or BFU associate
2. Victim is a child; victim is a BFU beneficiary, victim is a vulnerable adult
3. actual or threatened sexual activity occurred.
4. Sexual activity with persons under the age of 18 occurred.
5. Exchange of money, employment, goods, or services for sex occurred.
6. Sexual relationships between BFU staff, and beneficiaries occurred.

1.8 Gathering background material and evidence.

Evidence is information that is relevant to deciding if an allegation is true or not i.e. information that makes an element more or less likely. It comes in several forms, the most common being:

1. witness testimony (e.g., statement about what someone saw, heard, smelt, etc.)
2. documentary evidence (e.g., forms, photographs, videotapes, computer files)
3. physical evidence (e.g., examinations of the site of the alleged abuse)
4. expert evidence (authoritative opinions about whether something is likely to have occurred).

To complete the investigation, it is necessary to gather evidence on each of the elements in 1.7.2 above. Investigators shall begin by making a checklist of the elements, the type of evidence that could be relevant to each element, where and from whom they may find it.

1.8.1 Documentary Evidence

Documentary evidence is all information that is relevant to the complaint and that is recorded in physical form. It includes staff records, attendance records, photographs, diagrams, handwritten notes and information stored electronically.

1.8.1.1 Importance of documentary evidence

Documentary evidence will vary in importance between investigations. Generally, and particularly when investigating complaints about sexual exploitation and abuse, it does not prove that the Subject of the complaint sexually exploited or abused the victim. However, it may establish the age of the victim or the role of the Subject of Complaint in the organization. Moreover, it can corroborate witness' accounts, provide leads for questioning, support witness testimony and/or give investigators a better understanding of the background to the complaint.

1.8.1.2 Managing documentary evidence.

Whenever possible, documents shall be reviewed on site. If this is not possible, a trusted staff member shall be designated to find, copy and send the documents to the investigator. Alternatively, if original materials are removed from the premises, the HR Director shall be informed and given a signed inventory of the materials. The inventory shall record the materials that have been handed over to the investigation team as well as the investigators' record of the documents reviewed. It should include a description of the materials, the name of the person who supplied them, the name of the office where they were kept, the date and time they were removed and the place they were removed from. A copy of the inventory shall be kept in the investigation file, and another given to the relevant person at the office where they were found.

1.8.1.3 Managing electronic evidence.

Computerized information (such as codes, saved files, digital photographs) may also be 'documents' relevant to the investigation. When handling electronic documents, investigators shall:

1. ensure that whoever obtains the electronic evidence has sufficient computer skills to extract the data completely and safely.
2. if seizing a computer to avoid the destruction of evidence, make a list of the computer's components, including the make, model and serial number of the monitor, computer, disk drives, cables and speakers
3. store seized equipment in a safe and secure location.
4. only ever log onto or browse computer directories and files with another appropriate staff member present. This is to verify that investigators did not tamper with evidence. The staff members will be required to maintain confidentiality relating to the investigation.
5. record the 'chain of custody' including the names of those present when information is accessed, the time of log-on and file names and pathways.

1.8.2 Physical evidence

Physical evidence shall be collected, photographed, photocopied and/or described in detail. It is recommended that investigators conduct a site visit soon after receiving the complaint as part of the investigation and photograph any relevant objects, locations or items.

To prevent tampering with documents or records, investigators should:

1. secure the Subject of Complaint's office computer or laptop.
2. back up (completely) her/his computer hard drive
3. remove, for the duration of the investigation, all data storage devices (flash drives etc.) that s/he has used and that belong to the organization.
4. Obtain any office records.
5. obtain all official telephone records, including mobile phone records.
6. obtain official records (car logbooks, visitor logbooks, attendance records, etc.)
7. place records in a secure environment such as a locked cabinet with access limited to the investigation team.

1.8.3 Medical evidence

It is very rare to use medical evidence in workplace SEAH investigations, given that in most cases it will not help establish whether it occurred. It is more common for the initial contact person to note any obvious physical signs of abuse when s/he first meets the victim and to record these details in the file – although this too is not confirmation of the physical abuse by the Subject of Complaint

1.8.4 Securing the evidence.

The first step is to review information about the case as soon as possible after receiving the allegation. This contributes to protecting witnesses from intimidation or interference by the Subject of Complaint or other parties.

1.8.5 Returning documents after the review

Investigators shall return original documents to their owner/custodian as soon as possible to minimize interruptions to work.

1.8.6 Validating evidence

As information is collected, it should be evaluated for consistency and reliability. Investigators determine consistency by comparing each new piece of evidence to each piece of existing evidence. If there are inconsistencies, the investigators shall seek further evidence or make a judgement as to which source is more reliable. There are no particular rules about reliability in workplace investigations. However, investigators shall avoid relying solely on hearsay or testimony from people who are obviously biased.

1.9 Updating the investigation plan and interviewing.

The information gained from gathering and studying documentary evidence shall then be used to update the investigation plan. The evidence may reveal new information that warrants a change in the plan – for example, a new witness for an interview. It provides information to feed into the interview plan.

1.9.1 Interviewing

The general principle is to interview the complainant first and the Subject of Complaint last. This means that the general order of interviewing is:

- 1) Complainant or primary victim. If the complainant and victim of the alleged abuse are different, the complainant should be interviewed first.
- 2) other potential victim
- 3) witnesses with indirect knowledge of the misconduct
- 4) witnesses with direct knowledge of the misconduct
- 5) Subject of Complaint

The order may change in the event if any of the interviewees is leaving the organization or place of the investigation. The Subject of Complaint is interviewed last so that as much information as possible can be gathered. This information can then inform the questions you put to the Subject of Complaint and enables them to provide a more complete response.

It is strongly recommended that the Subject of Complaint is not informed of the interviews taking place until as near a time as possible to their own interview. As this is an information gathering exercise, the Subject of Complaint does not usually have a right to know what is being taken. The reason for this is primarily to prevent the Subject of Complaint from tampering with evidence or intimidating witnesses --- we have a duty of care to try and mitigate any protection threats to witnesses. The Subject of Complaint does however have a right to know the allegations made against him/her should the investigation lead to a disciplinary hearing.

1.9.2 Conducting the interview.

It is generally better to conduct interviews in person. If this is not possible (e.g., because the witness has left the organization), investigators may arrange an interview by telephone, video---conference or e---mail exchange. They shall make sure to include a note in the record on how the interview was conducted and why.

If not conducted properly, interviews can compromise confidentiality and the welfare of the participants.

As this is not a disciplinary hearing, the interviewees shall not bring along a third party nor a lawyer as this is not a criminal investigation. However, in special circumstances where it may be deemed fit, a third party can only attend if BFU gives consent. S/he will remain silent during the interview and shall sign a confidentiality agreement.

1.9.3 Introduction and establishing rapport.

The purpose of the 'rapport' stage is for the interviewer to introduce her/himself and to tell the witness why s/he is being interviewed. The rapport stage is also important for gaining the interviewee's trust and enabling them to feel like they can give a full and frank account.

To establish rapport, the interviewer should:

1. introduce him/herself, the co---investigator and anyone else present at the interview.
2. explain the roles of everyone at the interview.
3. clarify the purpose of the interview, without giving details of the allegations.
4. clarify the ground rules.
5. ensure the witness knows her/his rights and obligations.

6. offer the witness refreshments and inform her/him that s/he is entitled to reasonable breaks and refreshments during the interview.
7. clarify the need for taking notes and recording and seek his/her consent for this.

Open-ended questions may be used to enable the interviewee to provide an uninterrupted account of events. Take note of any ambiguities and request for clarification at the end to avoid any interruptions.

1.9.4 Types of questions recommended.

1. open---ended questions (e.g. "Tell me more about the health workers")
2. specific questions (e.g. "What happened after you went back to the clinic?")
3. closed questions (e.g. "What was he wearing when you went back to clinic?").

Interviewers shall avoid asking leading questions (e.g. "Was he wearing a red shirt?") as these may distort the interviewee's testimony. It helps to write down the questions beforehand – particularly questions that are difficult to word or risk giving away information traceable to other interviewees. But this should not close the interviewer off to unexpected lines of enquiry.

1.9.5 Re-interviewing

The general principle is to avoid re---interviewing interviewees whenever possible. However, if interviewees provide conflicting information or you find new information relevant to their testimony, it may be appropriate to seek a second interview, if this does not compromise their health or wellbeing.

1.9.6 Dealing with intentionally obstructive witnesses.

Sometimes interviewees may resist or refuse to co---operate. The interviewer's response will depend on how and why they are resisting and whether they are staff members of BFU.

Staff who are being intentionally and openly obstructive, can be 'reminded' that they are contractually obliged to cooperate with the investigation, to tell the truth and to maintain confidentiality and that they may be disciplined for failing to do so. Otherwise, any hostile behavior should be recorded in the record of the interview.

Non---staff are not legally obliged to answer questions or even attend the interview. That said, the interviewer can still stress the importance of assisting the investigation, and of being truthful, accurate and discreet as well as evoke any binding contracts or agreements with BFU.

1.9.7 Closure

The interviewee shall be given the record to review as soon as possible after the interview. S/he shall be given sufficient time (at least three working days) to read the record. S/he shall make changes or corrections by marking the document and signing her/his amendments. Alternatively, the interviewer shall immediately enter the corrections in an electronic version of the record, indicating the suggested changes, and reprinting the record for signature.

After the interviewee has reviewed the statement and made any changes, s/he shall be asked to sign the record in the presence of the investigators. Staff are obliged to sign the record once they have been given the chance to make changes. Non- staff may not be required to sign the record of interview, though it is preferable that they do. If they refuse to sign the records, the investigators shall prepare a record of conversation instead – this document is the same as the record of interview in content but is signed by the investigators rather than the interviewee.

1.9.8 Disagreements between interviewers and interviewees

If, immediately after the interview, there is a disagreement about the testimony, the second investigator/observer shall clarify the point, or the parties shall note their different opinions on the record. However, it is more common that interviewees will disagree with the record sometime after the interview took place (which is why it is important to obtain the interviewee's signature at the time of the interview if possible). If this occurs, the investigator shall record the specifics of the dispute (what both parties believe was said, when and to whom), before asking the observer for her/his recollection. The investigator should try to remain open-minded, as it is always possible that one of the parties was mistaken or simply misunderstood.

It is best practice not to give a copy of the record of interview to the interviewee, as this increases the likelihood of disclosure. However, if a copy of the record is given to the interviewee this shall be noted on the original (along with the reason for the giving her/him a copy) and signed by the interviewee. The interviewee shall be informed that s/he is responsible for unauthorized disclosures.

If the record is sent to the interviewee by post, the investigators should enclose two copies with a cover letter asking them to review, sign and return one copy by registered mail. Electronic copies should be in a format that cannot be amended or that allows a reader to identify any changes to the text. If the record is returned by e-mail, the interviewee's covering e-mail should state that it is a "true and accurate record of the interview".

1.9.9 Vulnerable interviewees

For the purpose of this section, reference to vulnerable interviewees is to children, youth and some people with disabilities or serious illnesses. And the primary consideration when interviewing children and other vulnerable people is how to elicit relevant information without causing (more) harm.

1.9.9.1 Interviewing children

Due to their specific vulnerability, it is not recommended to interview children as victims or witnesses unless it is strictly necessary for the investigation. It may be possible to gain sufficient evidence from other sources such as corroborated witness testimony that means it is not necessary to interview children as part of the process.

If it appears that it will be necessary to interview a young child as part of an investigation process, a risk assessment shall be undertaken first. Do the needs of the investigation outweigh the potential protection concerns relating to the child? If the decision is made to go ahead, children shall only be interviewed by someone with expertise in this area. The interview questions shall be adapted to suit the maturity and circumstances of the child interviewed.

When interviewing a child, they shall be accompanied by an adult, often a parent or guardian. This shall be someone they trust, who can provide a reassuring presence, and assist the child with

anything they might need in the interview. However, it can be the case that the person accompanying the child is implicated in the investigation or will inhibit the child from disclosing personal or distressing information. A judgment will need to be made as to whether it is appropriate to go ahead with the interview if there are concerns regarding the accompanying adult.

A vulnerable interviewee shall be interviewed in a place where s/he feels safe and that is confidential. When interviewing children, consider how to set up the room to make it child-friendly.

1.9.9.2 Interviewing vulnerable interviewees

Often, vulnerable witnesses will feel more comfortable if a trusted adult (e.g. a parent or family member) is present during the interview as a supporter. The supporter's role is to enable the interviewee to feel safe and comfortable speaking to people s/he does not know. (See above for specific issues regarding supporters and children).

The supporter shall only attend if:

1. the interviewee wants her/him to be present (i.e. the interviewee has given informed consent)
2. the supporter will not retaliate against the interviewee if they reveal details of the alleged incident
3. the supporter is not involved in the alleged exploitation or abuse
4. the supporter has been properly briefed on her/his role.

1.9.9.3 Assessing evidence from a vulnerable interviewee.

Vulnerable interviewees can behave in unexpected ways. Consequently, it is important that investigators do not rely solely on the child's or interviewee's behavior as an indication of his/her reliability. Instead, investigators should consider whether their account fits with the other information or evidence gathered. Then, s/he should determine if any action needs to be taken to ensure their safety and double check her/his testimony.

1.9.10 Interviewing the Subject of Complaint

The Subject of Complaint, like all other participants in the investigation, is entitled to a fair and impartial process. This means that s/he shall be able to respond to the allegations by hearing the evidence brought against him/her and by having the opportunity to refer the investigators to further evidence in his/her favor.

1.9.10.1 Who should interview the Subject of Complaint?

The most experienced interviewer on the team should interview the Subject of Complaint in the presence of another investigator or observer (this helps avoid accusations of investigator misconduct and allows to corroborate the Subject of Complaint's testimony). Generally, the Subject of Complaint shall not be allowed to reject a decision or proposal by the interviewer according to his/her personal preferences.

1.9.10.2 Where to interview the Subject of Complaint?

The venue for the interview shall be confidential as well as safe for the Subject of Complaint and for the investigators.

1.9.10.3 When to interview the Subject of Complaint?

As a rule, the investigators shall only interview the Subject of Complaint after speaking to all other witnesses. This gives the investigators maximum opportunity to check the Subject of Complaint's evidence against the other accounts.

1.9.10.4 How to interview the Subject of Complaint?

The Subject of Complaint shall be interviewed like all the other witnesses. However, given the potential consequences of the investigation for the Subject of Complaint, it is particularly important to cover the following points at the beginning of the interview:

1. the purpose of the interview
2. the roles of the participants in the interview
3. the process and potential consequences of the investigation
4. any internal avenues of appeal
5. his/her rights and duties in the interview

The Subject of Complaint has the right to address, in her/his own words, every piece of evidence in support of the allegation and to raise new evidence in support of her/his account.

The Subject of Complaint is not entitled to know the name of the complainant, or the source of the evidence brought against him/her.

The investigators have corresponding duties to follow up on relevant evidence identified by the Subject of Complaint and to give the Subject of Complaint an opportunity to respond to the complaint. Until this is done, there can be no findings.

The Subject of Complaint's responsibilities in the investigation are to maintain confidentiality, to tell the truth, cooperate with reasonable requests from the investigators and to refrain from talking to other witnesses about her/his evidence in the investigation.

1.9.11. Taking notes during the interview.

Notes shall be taken throughout the entire interview. These notes shall be detailed (almost verbatim) for the most relevant parts of the interview and in summary form for less relevant parts.

The information collected in the note form shall be recorded as soon as possible after the interview in a record of interview. A record of interview is the formal document that contains the details of the interview (the 'who, what, when where and how') and the information asked for and provided. It should:

1. be clear and concise.

2. be presented in a question---and---answer format.
3. include documents referred to and/or shown to the witness during the interview.
4. include the facts obtained from the interviewee as well their relevant opinions and impressions.

The investigator's own opinions, conclusions or analyses shall not be included. The record of the interview shall be written by the interviewer in his/her language.

1.10 Investigation report and management outcomes report

The investigation report shall contain the investigators' conclusions on whether, based on the available evidence, there has been a breach of the relevant standards of conduct. It sets out in narrative form how the alleged misconduct was discovered, to whom it was reported, the steps taken to gather the evidence, the investigators' conclusions and the evidence supporting those conclusions.

The investigators shall prepare separate investigation reports for each Subject of Complaint for submission to the Human Resource Director. Separate reports are prepared as this will facilitate the initiation of disciplinary proceedings, if misconduct is established. Investigators shall ensure that the reports are consistent.

Once the report has been filed, it shall be deemed to be the end of the investigator's role in the process. For reasons of confidentiality, the next steps are generally not disclosed to the investigators.

Section 2: Victim Assistance and survivor support

2.0: Introduction

Assistance and support shall be provided to **all persons victimized by SEA**.

2.1 Who receives assistance and support.

Three categories of persons victimized by sexual exploitation and sexual abuse shall receive assistance and support: complainants, victims and children born as a result of sexual exploitation and abuse. – Please ensure to note that assistance is given according to the preference of the victim. We don't force them to accept assistance. We advise the type of assistance available and ask them what they may need. And assistance should be given even if the victim does not want to be part of the investigation.

a) Complainants

To receive assistance as a "complainant," the allegation shall be officially reported to BFU and registered in the BFU complaints log.

However, the complainant does not need to identify the perpetrator if s/he is unable to do so, nor does s/he need to agree to cooperate with investigative processes in order to receive assistance. It is sufficient to make the allegation in order to receive assistance.

In some cases, certain types of assistance, such as urgent medical care, will need to be provided before an allegation can be fully processed. Should a person not wish to have his/her allegation officially registered, s/he should receive emergency assistance in the same manner as other survivors of violence, particularly gender- based violence (GBV).

b) Victims.

All victims shall be provided with assistance regardless of their sex and age.

c) Children born as a result of sexual exploitation and abuse

These are children who are found by a court of law to have been born as a result of sexual exploitation or abuse by BFU staff

All persons included in any of the categories above should receive assistance and support regardless of when the claim was submitted.

2.2 What assistance and support should be provided?

Assistance and support with respect to medical, legal, psychosocial, protection and immediate material care.

Direct financial assistance shall not be provided. BFU has profiled and maintains a database of service providers that will be referred to for assistance provision.

2.2.1 For complainants/ Victims

Complainants shall be provided with basic **assistance and support**. Basic assistance refers to services and treatment which cannot await the substantiation of claims. In many cases, for example, complainants will need to be helped to access medical treatment to meet urgent needs resulting from the suffered sexual exploitation or abuse.

Given that some of the more damaging consequences of sexual exploitation and abuse can be greatly reduced or even prevented if medical assistance is provided within 72 hours from the time of the abuse, complainants will need to be helped to access medical care in a timely manner. This applies, for example, for the prevention of certain sexually transmitted infections, such as through provision of HIV/AIDS Post Exposure Prophylaxis kits, where available. Similarly, emergency medical care may also be needed to treat injuries resulting from the abuse suffered.

In addition, complainants shall be helped to access psychological counselling when needed to address, for instance, trauma suffered as a result of sexual exploitation or abuse.

Complainants will be referred to find shelter, clothing or food when the suffering sexual exploitation or abuse impedes them from using their own.

They will be referred for protection if their security is at risk. Complainants shall also be assisted or referred for assistance with/ to understand how to pursue claims, both administrative and legal, against the alleged perpetrators.

Beyond referrals, complainants shall be assisted to navigate the relevant administrative process in pursuit of their claims. To do so, complainants shall be informed of the options available at each stage of the process and of actions taken in their cases.

Once a person's claim has been substantiated, that person's status shifts from complainant to victim. At this point, s/he can receive not only the basic assistance described above, but also additional help referred to as expanded assistance and support to address the broad range of consequences of sexual exploitation or abuse. For example, in the case of a girl who has to drop out of school upon becoming pregnant as a result of sexual exploitation or abuse, can be assisted to access alternative educational or vocational programs on income- generating skills so that she can support herself and her child.

All assistance to victims is to be provided according to both the specific needs resulting directly from sexual exploitation or abuse and the services locally available to other GBV survivors.

Facilitate the pursuit of paternity and child support claims for victims, where desired and legally applicable. This should be undertaken in conjunction with the relevant authorities. The process may include the coordination of DNA testing, which may take the form of DNA test financing or direct DNA collection, among others.

If paternity is substantiated during pregnancy, assist the victim/mother to access ante natal care and other support associated with the pregnancy.

13.2.3 For children born as a result of SEA

Children born as a result of sexual exploitation and abuse should be entitled to receive medical, legal and psychosocial care to meet the specific needs that may arise as a direct result of sexual exploitation or abuse. There is no time limit for the provision of assistance to these children. However, the goal is to enable the guardian/caretaker to address their children's relevant medical, psychosocial, legal and material needs without further assistance. In this respect, caretakers could be provided, for example, with educational or skill-building opportunities to help them to be socially and economically stable.

13.3 How should assistance and support be provided?

The main goal is to facilitate access to locally existing services. Such assistance mechanisms are meant to serve as a helping hand, a guide or companion to complainants, victims and children born as a result of sexual exploitation or abuse so as to make it as easy as possible to receive the services they need. Assistance shall be provided through the district local government structures through the District Probation Officer.

BFU will tap into the existing established National GBV referral pathways (Annex...) and/or inter-agency/ multi-agency referral pathways to help victims.

Persons qualifying for assistance shall be directed to the closest available services based on local capacities available to other survivors of violence and abuse. All assistance and support under the shall be provided in accordance with local protocols for the provision of assistance to victims of other forms of sexual and gender- based violence