

SAFEGUARDING PROTOCOL FOR THE LOCALLY-**ADAPTATION METRICS FOR AFRICA (LAMA) PROJECT**

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Abbreviations and Acronyms

ARIN- Africa Research and Impact Network

HR- Human Resources

IDRC- International Development Research Center

LAMA- Locally-led Adaptation Metrics for Africa

LLA- Locally-Led Adaptation

OVCs- Orphaned and Vulnerable Children

PWDs- Persons Living with Disabilities

SEAH- Sexual Exploitation Abuse and Harassment

Introduction

Safeguarding refers to the prevention and response to sexual exploitation, abuse or harassment, and any broader forms of violence, exploitation and abuseⁱ. Safeguarding measures allow people to live free from sexual abuseⁱⁱ, harmⁱⁱⁱ, discrimination and neglect. In this document, the safeguarding procedures detail how safeguarding commitments will be enacted across the <u>Locally-Led Adaptation Metrics for Africa</u> (LAMA) project by the <u>Africa Research and Impact Network</u> (ARIN).

1. Objective and Scope

This protocol has been developed to affirm ARIN's commitment to protecting all those involved in the LAMA project from any form of Sexual Exploitation, Abuse and Harassment (SEAH)^{iv}. This protocol applies to everyone who is employed at, participates in or comes into contact with ARIN through this project.

1.1 Protocol Principles

As embedded in ARIN's **Section 11 of the <u>Human Resource Policy</u>**, ARIN has a zero-tolerance approach to inaction against misconduct for any form of harassment that interferes with the ability of any employee to perform their duties and/or creates an intimidating, uncomfortable and hostile work environment.

This means that, subject to disciplinary action, up to and including termination of employment or association, ARIN will have the liberty to decide on the appropriate disciplinary action based on how serious the incident is.

2. Country Specific Laws in Place

The Republic of Kenya has laws in place as per its constitution, which aim to protect and uphold the dignity of workers. They are enacted through the <u>Employment Act</u> of Kenya. Some sections of the Act that are of relevance to this protocol are:

Non-discrimination: Section 5 of the Employment Act of Kenya

This section prohibits discrimination by employers directly or indirectly, against an employee or prospective employee or harass an employee or prospective employee on grounds of race, color, sex, language, religion, political or other opinion, nationality, ethnic or social origin, disability, pregnancy, mental status or HIV status.

Prohibition of Sexual Harassment: Section 6 of the Employment Act of Kenya

This section prohibits sexual harassment and provides various scenarios for sexual harassment. According to the Act, an employee is sexually harassed if the employer or a representative of that employer or a co-worker does the following:

- a) Directly or indirectly requests that employee for sexual intercourse, sexual contact or any other form of sexual activity that contains an implied or express:
 - Promise of preferential treatment in employment.
 - Threat of detrimental treatment in employment.
 - Threat about the present or future employment status of the employee.
- b) Uses language whether written or spoken of a sexual nature
- c) Uses visual material of a sexual nature
- d) Shows physical behaviour of a sexual nature which directly or indirectly subjects the employee to behaviour that is unwelcomed or offensive to that employee and that by its nature has a detrimental effect on that employee's employment, job performance, or job satisfaction.

The Employment Act also outlines that an employer who employs twenty or more employees shall, issue a policy statement on sexual harassment after consulting with the employees or their representatives if any.

3. Institutional Policies and Reporting Procedures in Place

ARIN Human Resource policy

ARIN is committed to providing a work environment free of all forms of harassment which includes sexual harassment as well as other discrimination based on race, religion, colour, national origin, age, sexual orientation, disability (including, but not limited to, HIV/AIDS), veteran status, or any other characteristic protected by law.

ARIN will take appropriate measures to correct any violations, up to and including termination. If anyone feels that they have been harassed or that an employee has discriminated against them, they should immediately report to the line manager or the Human Resources office.

Reporting procedure

As stipulated in the ARIN HR policy, any employee who feels they have been sexually harassed, discriminated against, or otherwise treated negatively because of their race, religion, gender, or other characteristics, should report the harassment to one of the following persons:

- Human resources employee.
- The direct manager/supervisor.
- Anyone in their supervisory line (manager, director, etc.)

This policy does not require that an employee reports to his or her manager or supervisor, the alleged harasser or discriminator, or to anyone who is believed to be participating in the objectionable behaviour. Rather, he or she may choose among those listed above with whom he or she is most comfortable in speaking about the incident.

At the organization level, the human resource point of contact is:

Name: Amon Mtunji

Mobile contact: (available on call and WhatsApp): +254111616801

Email address: human-resource@arin-africa.org

a.mtunji@arin-africa.org

As guided by this protocol under the LAMA project, ARIN will:

- Respond effectively to all breaches of this protocol.
- Ensure that the reporting procedure is simple, fair and easily accessible to all stakeholders.

- Carry out investigations of incidents objectively under the guidance of professionals.
- Ensure that a safeguarding register is established and data is anonymized but analyzed regularly by the safeguarding lead.

Safeguarding points of contact for the LAMA project are:

a) Name: Amon Mtunji

Email address: a.mtunji@arin-africa.org

b) Name: Leah Aoko

Email address: l.aoko@arin-africa.org

c) Name: Edna Kowenje

Email address: e.kowenje@arin-africa.org

Should ARIN receive any concerns affiliated with the project, it can be escalated to the IDRC team via:

a) Program Officer and Safeguarding Specialist- safeguarding@idrc.ca

b) IDRC's incident reporting hotline: +1 (866) 737-3512

c) The IDRC ClearView platform- https://clearviewconnects.com/#/

Survivor centered approach

In order to uphold the importance of treating survivors with respect and sensitivity, and to provide a supportive environment as recommended by the Sexual Exploitation, Abuse and Harassment investigation guide, ARIN will obtain informed consent from the survivor(s) before proceeding with any investigation. This means that the survivor will be fully informed about the nature and process of the investigation, the potential consequences, and their rights pertaining to the investigation.

ARIN will create a safe and supportive environment for the survivor(s) throughout the investigation process. This may involve providing access to counseling or other support services, as well as ensuring that the survivor feels comfortable, safe and respected. The survivor will be kept updated on the progress of the investigation. This will help to alleviate their anxiety and ensure that they feel involved in the process.

4. Vulnerable groups and the circumstances under which they can be vulnerable and mitigative measures

From previous engagement under the LAMA project, the following groups were identified as vulnerable in the study area. This section highlights how they can be vulnerable to harassment, sexual abuse, exploitation and discrimination during the project implementation period and the mitigative measures that will be adhered to.

Vulnerable groups	Mitigative measures
People Living with Disabilities (PWDs) - Project information or participation might be inaccessible to them due to disabilities. PWDs might be more reliant on project staff, increasing their vulnerability to exploitation and sexual harassment. They might be excluded from project benefits such as transport and accommodation reimbursement or face negative stereotypes due to underlying discriminatory attitudes.	 Mitigative measures The project team will ensure project information and activities are accessible for people with disabilities (e.g., Braille, sign language interpretation, ramps). Project staff will be trained on working effectively with PWDs to prevent unintentional discrimination.
Fishing communities- Their dependence on project resources can create vulnerability to exploitation and sexual harassment by project personnel. Lack of understanding about project goals or rights can lead to manipulation. Geographic location and language barriers can make it harder for them to report abuse.	 Community members will be appointed as links to bridge any potential or existing communication gaps and address cultural sensitivities. Gender awareness training will be conducted within fishing communities to address potential issues of exploitation or harassment.
Widows and widowers-They might be pressured into sexual activity in exchange for project benefits due to economic dependence. They could also be vulnerable to harassment or discrimination based on their marital status, underlying stereotypes and existing stigma. Their voices might be unheard during project implementation due to limited decision-making power. Casual and migrant workers- The fear	 Project staff will be trained on handling situations involving widows and widowers with empathy and respect.
of losing their job can make them hesitant to report sexual abuse and	

harassment or exploitation. Migrant workers. especially undocumented ones, might have limited protections. Difficulty understanding in regulations, terms, or reporting mechanisms due to language and lead cultural barriers may exploitation.

• Training to migrant workers on their rights and project protocols will be conducted

Orphaned and Vulnerable Children (OVC)-

They are susceptible to exploitation and sexual harassment due to their age and dependence on caregivers. They may also not understand what constitutes abuse or how to report it. They are therefore vulnerable to manipulation by project staff, other project participants or people in positions of authority.

Child-headed households- They are highly vulnerable to sexual and other forms of exploitation in exchange for basic necessities. Limited adult guidance makes them more susceptible to manipulation, sexual abuse and exploitation.

• The project team will adhere to existing child protection policies and guidelines on interactions with children. Background checks on project personnel interacting directly with children will be conducted.

Adolescent Girls and Young Women-They are more at risk of sexual harassment or exploitation, especially if the project is male-dominated. Project benefits if not properly strategized, might not address underlying gender inequalities. Societal pressures regarding female roles can limit their participation and decision-making.

The elderly- Dependence on others for project participation can increase their vulnerability to harassment, sexual abuse and discrimination.

- Encourage adolescent girls and young women to voice their concerns to improve their decision-making abilities.
- The project team will create safe spaces within project areas where girls and women can access resources and support from female staff.
- Use of simple language and alternative communication methods (e.g., use of local dialects, visuals) will be adopted to ensure information reaches the elderly.
- Project staff will be trained on sensitive and respectful communication skills when interacting with the elderly.

Persons Living with HIV- The fear of				
disclosure can prevent them from				
accessing project benefits or reporting				
abuse. Discrimination can lead to their				
isolation and increased vulnerability to				
harassment and sexual abuse.				

 An awareness training for project staff and beneficiaries will be conducted to combat stigma and discrimination

4.1 Mitigative Measures based on project activities.

The vulnerable groups identified above can be at risk from the different project activities as outlined in the table below. At ARIN, there is an inhouse Risk management guideline statements for all projects that defines how risks associated with the organization will be identified, analyzed and managed. It outlines how risk management activities will be performed, recorded and monitored throughout the life cycle of projects. For the LAMA project, potential safeguarding risks and their respective mitigative measures are outlined in the table below.

Table 1: Project Activities, safeguarding risks and mitigative measures

Project	Potential safeguarding risk	Safeguarding mitigation
activities Workshops and webinars	Accessibility barriers especially to people with different disabilities Cyberbullying - Participants may experience verbal or emotional abuse, including threats, insults, or discrimination. Sexual harassment- Participants may be subjected to unwanted sexual advances, comments, or images during online sessions. Personal data leakage-Unauthorized access to sensitive participant information, such as contact details, demographics, or project-specific data.	and workshops are accessible to participants with disabilities. - Using secure online meeting platforms and implementing measures to protect against cyber threats. - Putting in place procedures to monitor online interactions and address any incidents of

		and ensuring compliance with the project data protection guidelines.
Data Collection	Privacy breaches-This can happen through incidences such as exposure of personal information. Physical and psychological harm - Participants might experience emotional distress or retraumatization when discussing sensitive topics. -Sharing personal information could lead to potential social stigma or discrimination. - Participants may feel uncomfortable sharing personal information and fear negative consequences. - Vulnerable individuals could be exploited or manipulated during the data collection process. Informed consent issues - Participants may not fully understand the implications of their participation or may be coerced into participating.	-Strictly adhering to the guidelines listed under section 7: Research through informed consent' and section 10: Ethical application of research methods and findings, and clearly explaining to the participants these sectionsRegular monitoring and evaluation to ensure that
Gender intersectionality analysis and vulnerability assessment	Breaches on confidentiality-This can occur on personal information such as gender identity, sexual orientation, race, ethnicity, disability, and socio-economic status. Stigma and Discrimination-Participants may fear stigmatization or discrimination if their personal information is disclosed. This could deter them from participating in the research or providing accurate information. Power Imbalances- Power imbalances between researchers and participants can influence the collection and analysis of data. This	training for research staff

can lead to biased or inaccurate findings.

Cultural Sensitivity-Intersectionality analysis requires a deep understanding of cultural differences and power dynamics. Failure to consider these factors can lead to insensitive or harmful research practices.

4.1.1 General Mitigative Measures

- This document defines unacceptable behavior and outline consequences for violations. The project implementation team will make sure it is understandable and accessible to all project participants.
- Workshops and trainings will be conducted bi-annually for project staff, contractors, and beneficiaries on preventing harassment, sexual exploitation, and discrimination.
- A clear and accessible process for reporting incidents will be established that guarantee confidentiality and protection from retaliation.
- Regular meetings with project-affected communities will be held to discuss any arising concerns and ensure their voices are heard.



5. Expectations of project implementers (ARIN)

- 1. Duly follow the requirements of this protocol relating to safeguarding.
- 2. Treat all participants involved in the project with dignity and respect and act with the highest standards of integrity and professionalism.
- 3. Recognize that inherent power imbalances exist and take all possible reasonable steps to mitigate them within this project.
- 4. Engage in equitable partnerships throughout the dissemination of the project activities to avoid exploitative approaches.
- 5. Be aware of how to respond to and report concerns about sexual exploitation, abuse and harm.
- 6. Raise any concerns that they, or those that reported to them have, through the appropriate channels in their organization.

6. Safeguarding support that the community involved in the project should expect

- To have all their roles, responsibilities and rights pertaining to the project clearly explained in a way that allows them to fully understand and act upon them.
- 2. To have the expected conduct of project implementers clearly explained to them before they begin their involvement in the project.
- 3. To have the safeguarding protocol explained to them and how they can recognize and report unacceptable conduct.
- 4. To have a clearly explained reporting pathway of any safeguarding breach.
- 5. To have designated safeguarding contacts identified to them and to be provided with ways of contacting them.
- 6. To be assured of no reprisals if they report a safeguarding concern.
- 7. To receive the appropriate legal and emotional support, if they are a victim of a safeguarding breach.

7. Research through Informed Consent

This section will outline ARIN's ethical responsibility in conducting consent informed research throughout the project implementation period. This will be achieved by the standards and guiding principles outlined below.

Voluntary participation as a result of valid and genuine informed consent

Participants in the research should agree to take part in the research voluntarily, after getting adequate information on what the research entails.

Guiding principles

- ARIN will not coerce any participant into taking part in the project.
- ARIN will seek formal consent of participants beforehand.
- Participants are entitled to decline to answer any question without giving reason regardless of their formal consent.
- Participants are entitled to ask for their data to be excluded from the project where necessary.
- ARIN will ensure that participant needs are taken care of according to this safeguarding protocol.

Enabling Socially Inclusive participation

ARIN will facilitate and ensure that there is inclusive participation of community members regardless of their different groups of identities.

Guiding principles

- ARIN will ensure participation of all gender identities represented without any form of discrimination.
- ARIN will ensure translation of research tools and all other supporting documents to the participants should language barriers arise.
- ARIN will address mobility challenges should they hinder participation of anyone by recognizing that other participants may be have mobility disabilities.
- ARIN will address potential literacy and learning difficulties that may hinder voluntary and informed consent participation.

8. Avoiding personal and social harm of participants

Since our research involves direct contact with participants, the major risk to participants is causing emotional, psychological or physical harm. It is ARIN's responsibility to ensure that these kinds of harm are not perpetuated throughout the project implementation period.

Guiding principles

- ARIN will not force the participation of individuals deemed vulnerable in any form.
- ARIN will not carry out activities that may trigger negative emotions of participants
- ARIN will not carry out any activities that may suppress true depiction of participants' views.
- ARIN will not carry out any activities that will bring out negative concerns or escalate existing ones.

Follow-up protection mechanisms

Because of the likelihood of the research interviews, discussions or activities to discuss potential difficult and sensitive subjects such as sexual exploitation, abuse and harassment, ARIN will take appropriate measures as outlined below to protect the well-being of the project participants. These include:

- Offering immediate support- Participants will be provided with contact information for reporting, counselling services and any other relevant resources that will offer immediate support to address distress during and after the research.
- Follow-up check-ins- ARIN will conduct follow-up check-ins with participants to assess their well-being and offer additional support if needed.
- Confidentiality and privacy: ARIN will assure participants that their responses will be kept confidential and that their privacy will be protected as needed.
- Trained researchers: ARIN will ensure that researchers conducting the interviews are trained in sensitive interviewing methods and are equipped to handle potentially distressing disclosures.
- Clearly communicate boundaries: The boundaries of the research and the scope and limits of the support that can be provided will be clearly communicated to participants to avoid any misunderstanding.

9. Non-disclosure of personal information

The participants personal information and their identity will not be intentionally disclosed at any point in the project.

Guiding principles

- Only the immediate research team will know the identity of the participants.
- Publishable findings will be made in a way to ensure anonymity of participants.
- Where this is not possible, the limits to their confidentiality will be made clear and a consent form issued beforehand.
- ARIN will take responsibility for all personal information gathered during the project period.

10. Ethical application of research methods and findings

The aim of the LAMA project is to employ the intersectionality approach to coproduce with communities, indicators on locally led adaptation to support planning and financing of locally led climate actions in these communities. ARIN aims to further this through objective research.

Guiding principles

- ARIN has considered and will continue to consider carefully the impacts that the research findings will have.
- ARIN will, through this research, produce information that is beneficial to the communities involved.
- Participants are free to raise any complaints about the research in general or a researcher in particular.
- ARIN will address any issues arising in the research process as appropriate.

11.Accountability Measures

For this protocol to be practical and operational the following key standards will be adhered to:

- The management at ARIN will be provided with regular updates and reports on safeguarding.
- There will be a designated team to oversee safeguarding across the project and a team lead to act as point of contact.
- The protocol will be audited annually or as necessary within the project cycle to ensure compliance.

Recruitment

In line with international standards^{vi} and IDRC's guidelines for safeguarding good practice^{vii}, ARIN will take into account the following considerations in the recruitment of project personnel.

Reference Checks

- ARIN will incorporate questions related to Past Sexual Exploitation and Abuse History (PSEAH)^{viii} in reference checks to identify potential risks and prevent the hiring of individuals with a history of misconduct.
- Reference checks will be conducted rigorously and comprehensively and will not be limited to information provided by the candidate(s).
- ARIN will verify information obtained from references through independent sources to ensure accuracy and credibility.

Codes of Conduct

- ARIN has clear and concise Codes of Conduct which cover a wide range of misconduct behaviors, including sexual harassment, discrimination, and abuse of power.
- ARIN will ensure that new staff members and contractors receive training on the Code of Conduct to ensure they understand its implications and are committed to adhering to its principles.
- ARIN has effective reporting mechanisms in place to encourage individuals to report any violations of the Code of Conduct without fear of retaliation.
- ARIN will ensure that all staff have read and signed a copy of the code of conduct and know when and how to report breaches. Signed copies will be kept in the employees' personal files.
- ARIN will also ensure that all partners and visitors have read and signed their commitment to ARIN's safeguarding policy.

For quality assurance and sustainability of the safeguarding practices, ARIN will regularly review the safeguarding practices and update them to ensure that emerging challenges are addressed and best practices adopted. This will be guided by the IDRC's specific requirements and standards and the SCHR's Committee for Humanitarian Response Misconduct Disclosure Scheme^{ix} and other relevant international guidelines.

Data protection

This protocol applies to ARIN's staff and everyone else that ARIN collects data on throughout the LAMA project.

- ARIN has clear filming/photography and data protection guidelines that are adhered to.
- ARIN issues a data collection/filming/photography consent form before any activity.
- ARIN's digital application platforms and services are safe and secure.

Partnerships

• ARIN will ensure that safeguarding is integrated into all partnerships relating to this project.

Approaches to Publicizing the protocol

- Publishing on the ARIN website
- Training the LAMA staff on the protocol significance and use
- Sharing with staff and LAMA project implementation partners for reference in project activities



Annexes

Annex 1: Glossary of Terms

Child-headed Households- Refers to a family unit in which a minor (persons below the age of 18) assumes the primary responsibility for the household due to the absence, incapacitation, or death of adult caregivers.

Code of Conduct- Refers to the set rules that all employees of ARIN must adhere to whether they are directly involved in the LAMA project or not.

Confidentiality- Refers to the belief that people have the right to choose to whom they will, or will not, tell their story. Maintaining confidentiality means not disclosing any information at any time to any party without the informed consent of the person concerned.

Discrimination- Refers to the unjust or prejudicial treatment of different categories of people, especially on the grounds of their ethnicity, age, sex, or disability.

Harm-Refers to an infringement to the rights, safety or welfare of a research participant that may include physical, psychological, social, financial or economic factors.

Incident- Refers to an act(s) of violence or abuse by a perpetrator(s). May involve multiple types of violence (physical, sexual, emotional, economic, socio-cultural), and may involve repetition of violence over a period of time.

Personal harm- Refers to actions or situations that may cause physical or psychological harm, which may lead participants to experience mental, physical, emotional trauma, injury or death.

Personal Information- Refers to any data that can be used to identify an individual, such as name, address, phone number, email address, or financial information.

Project beneficiaries- Refers to the individuals or groups who stand to benefit from the outcomes of the project. They are the target audience for the project's services or products.

Project staff- Refers to the individuals who are directly involved in the execution of the project. They are responsible for carrying out the tasks and activities that contribute to the project's objectives.

Reprisal- Refers to an act of retaliation or revenge, often in response to an injury or perceived wrong.

Safeguarding Breach - Refers to the failure to protect someone from harm or abuse, especially a vulnerable person at risk. This can include physical, emotional, or sexual abuse, neglect, or exploitation

Safeguarding concern - Refers to any suspicion or worry about the safety or well-being of an individual, especially a vulnerable person.

Safeguarding contacts – Refers to the individuals or organizations responsible for protecting vulnerable people from harm. They can provide guidance, support, and report concerns about potential abuse or neglect.

Safeguarding good practice- Refers to the procedures and actions taken to protect vulnerable individuals from harm or abuse. It involves creating a safe environment, recognizing and responding to signs of harm, and reporting concerns to relevant authorities or personnel.

Safeguarding- Refers to the prevention and response to sexual exploitation, abuse or harassment, and any broader forms of violence, exploitation and abuse.

Sexual Abuse- Refers to any act of sexual contact that a person suffers, submits to, participates in, or performs as a result of force or violence, threats, fear, or deception or without having legally consented to the act.

Sexual exploitation -Refers to 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. It includes but is not limited to exchanging money, employment, goods or services for sex. This includes transactional sex regardless of the legal status of sex work in the country. It also includes any situation where sex is coerced or demanded by withholding or threatening to withhold goods or services or by blackmailing

Sexual harassment-Refers to any unwelcomed conduct of sexual nature that might reasonably be expected or perceived to cause offence or humiliation. Sexual harassment may occur in or outside the workplace and during or outside working hours, including during official travel or social functions related to work. While typically involving a pattern of conduct, sexual harassment may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct will be considered.

Social harm- Refers to actions or situations that may be harmful to the social position of an individual or may be detrimental to groups of people in the participant's community.

Survivor centered approach- Refers to the framework used in responding to and supporting individuals who have experienced trauma, such as abuse or violence. This approach prioritizes the needs, rights, and autonomy of the survivor in all interactions.

Survivor- Refers to an individual who has experienced abuse, whether physical, emotional, psychological, sexual, or financial, but continues to live beyond the trauma and harm.

Vulnerable groups- Refers to individuals who are more susceptible to harm, exploitation, or disadvantage due to a variety of factors such as age, race, socioeconomic status, ethnicity, sexual orientation, health status, location etc.

References

IDRC Safeguarding glossary of terms

[&]quot; UNHCR: Defining sexual exploitation and abuse and sexual harassment

iii Human Research Ethics Committee (HREC)

^{iv} WHO: Preventing and Responding to Sexual Exploitation, Abuse and Harassment

^v Sexual Exploitation, Abuse and Harassment (SEAH) investigation guide

vi Misconduct Disclosure Scheme

vii Safeguarding and Reporting misconduct

viii Inter-Agency Standing Committee: Global report on protection from Sexual Exploitation and Abuse and Harassment 2021

ix CHS Alliance's Misconduct Disclosure Scheme



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