

## Safeguarding Policy for External Collaborating Partners

(including the prevention of sexual exploitation, abuse and harassment)

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## Target Audience

People who need a detailed knowledge of the document	Principal Research Investigators Safeguarding leads from all collaborative partner organisations
People who need a broad understanding of the document	All staff involved in research and educational programmes from all the organisations working jointly on the programme
People who need to know that the document exists	Donors

## Annex of Modifications

Version	Date of issue	Details of modification from previous version
2.0	13.11.19	Amendments to section 7.5 and 8.1

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## 1. INTRODUCTION - WHAT IS SAFEGUARDING?

- 1.1 Safeguarding is the responsibility that organisations have to make sure that their staff, operations and programmes do no harm (Keeping Children Safe, 2014). Safeguarding is a term used to describe how we protect adults, children and young people from abuse or neglect. It is an important shared priority of many public facing services.
- 1.2 Safeguarding is about protecting certain people who may be in vulnerable circumstances. These people may be at risk of abuse or neglect due to the actions (or inactions) of another person/organisation. In these cases, it is vital that organisations work together to identify people at risk and put steps in place to help prevent abuse or neglect (Office of the Public Guardian, 2017).
- 1.3 The Liverpool School of Tropical Medicine (LSTM) recognises its role in safeguarding and protecting beneficiaries, research participants, patients and communities with whom we have direct and indirect contact through our work and also in protecting any vulnerable staff, students, volunteers and other representatives, including organisations with whom we partner.
- 1.4 Due diligence processes required in accordance with international research and development donors, oblige LSTM to ensure that safeguarding policies and procedures extend to all collaborative work programmes undertaken by LSTM. These include joint research programmes, joint grant-funding schemes, or joint education & training schemes. Organisations that we jointly work with, that fall under this category (hereafter termed “*collaborating partners*”), are asked to:
  - a. Adopt this Safeguarding Policy for External Collaborating Partners  
*and*
  - b. Work jointly with LSTM and all other collaborating partners to support the promotion of good safeguarding practice; the prevention of harm and the identification and reporting of safeguarding incidents.
- 1.5 LSTM and our collaborating partners endorse and support the principles of the Universal Declaration of Human Rights, (UN, 1948); the UN Convention on the Rights of The Child (UNCRC), (UNICEF, 1989); the Declaration on the Elimination of Violence Against Women, (UN, 1993) and of the UN Global Compact (UN, 1997).
- 1.6 We will develop our procedures and processes for safeguarding with due consideration of the following key standards:
  - [Inter-Agency Standing Committee Minimum Operating Standards on Prevention of Sexual Exploitation and Abuse](#) (2016)
  - [Keeping Children Safe, International Child Safeguarding Standards](#) (2014)

## 2. EQUALITY AND DIVERSITY STATEMENT

LSTM is committed to promoting equality of opportunity, combatting unlawful discrimination and promoting good community relations. We will not tolerate any form of unlawful discrimination or behaviour that undermines this commitment and is contrary to our equality policy.

### **3. DEFINITIONS USED IN THIS POLICY**

3.1 The UN Convention on the Rights of the Child, (UNICEF, 1989) define a “child” as a person under the age of 18 years old. For the purposes of this policy and the associated code of conduct, the terms:

- “child” and “children” will therefore be used to describe all children and young people who have not yet reached their 18<sup>th</sup> birthday.
- “staff” will be used to describe employees, volunteers, contractors and representatives including those employed under consultancy arrangements.
- “student” will be used to describe all undergraduate, post-graduate and short course students registered with us, or learning on our premises.
- “vulnerable adult” – is a person aged 18 years or older who may need health and/or care services because of mental or other disability, age or illness; and who is or may be, unable to take care of themselves, or unable to protect themselves against significant harm or exploitation (NHS England, 2017). For LSTM, this may include members of staff, students, research participants, beneficiaries, patients and other community members who we have direct and indirect contact with through our work.

### **4. PURPOSE OF POLICY**

4.1 The purpose of this policy is to:

- Ensure that LSTM together with the partner organisations with whom we collaborate, have systems and processes in place to guide and support staff, students and other representatives in their role to safeguard and protect research/educational participants, patients, members of the public and any other individuals who come into contact with our organisations.
- Ensure that children and vulnerable adults are protected from all types of abuse, exploitation or intentional and/or unintentional actions and failings that place them at risk of injury and/or any other harm.
- Ensure that LSTM and collaborating partners have systems in place to ensure that individuals are able to raise concerns and that we then deal well with any allegations, complaints and cases of all types of abuse and exploitation by any of our personnel, through effective implementation of safeguarding policies and procedures.

### **5. SCOPE**

5.1 This Policy applies to:

All collaborating partner organisations or contractors engaging in research and education work with LSTM and its subsidiary companies; whether national or international, full time, part time or engaged on short-term contracts, (e.g. consultants, researchers etc.) in the UK and in our overseas projects.

5.2 For collaborating partner organisations; contractors and volunteers, breaches can lead up to and including termination of relations including contractual & partnership agreements. Where relevant, the appropriate UK legal or other frameworks will be referred to. In this respect, LSTM reserves the right to refer alleged instances to the relevant professional body and/or the police authorities.

## 6. SAFEGUARDING KEY PRINCIPLES

LSTM have developed twelve key principles to promote safeguarding, prevent harm and protect children and vulnerable adults. These principles have been developed with reference to a number of key documents including:

- i) [Safeguarding in International Development Research](#) (Orr et al, 2019);
- ii) [Our commitment to change in safeguarding](#) (BOND, 2018) and
- iii) [Keeping Children Safe Standards](#) (KCS, 2014).

Collaborating partners are asked to join us, in signing up to these twelve principles:

1. We recognise our safeguarding responsibilities and will commit to taking all reasonable steps to prevent harm to those involved with our research and education programmes. We will build safeguarding principles and protection of children and vulnerable adults into research and education programme design.
2. We recognise that safeguarding is a shared responsibility between collaborating partner organisations and should adopt a joined-up approach, in a spirit of inclusiveness and mutual learning, sharing solutions and expertise.
3. Our approach to safeguarding capacity development should encourage open and constructive engagement, cognisant of power differentials, and be responsive to emergent needs across all collaborating partners in the research/educational process.
4. We will ensure that all staff and students involved in the research/education programme across all collaborative partners have signed a code of conduct that sets out clear expectations of appropriate attitudes and behaviours to nurture a strong safeguarding culture.
5. We will raise awareness of safeguarding and build capacity and capability by increasing the knowledge and skills of our staff, students, volunteers, partners and contractors through education and training.
6. We will promote the dignity, respect and safety of programme participants, staff and students and other individuals involved in the research/education programme across all collaborative partner organisations, upholding the universal right to be protected from harm.
7. We will have procedures in place so that staff and students involved in the research/education programme across all collaborative partners are clear how to raise safeguarding concerns without fear of reprisal or victimisation.
8. We will have clear and confidential reporting and responding processes for incidents and concerns, appropriate to the settings where we work, so that our programme participants, staff and students across all the collaborative partner organisations have confidence that we deal with alleged incidents swiftly and comprehensively.
9. We will ensure safe recruitment and selection processes are in place to appoint members of staff, volunteers, associates and contractors identified as having contact with children and vulnerable adults, to minimise opportunities for perpetrators' access to our sector and to reduce their ability to move between organisations. This should include:
  - Appropriate checks from the UK Disclosure and Barring Service (DBS) and/or International Criminal Records Checks.
  - Professional registration/professional qualification checks
  - Professional reference requests should specifically refer to the individual's suitability to work with children and vulnerable adults.
10. We ensure we adopt a survivor-centered response to victims and survivors of safeguarding breaches and that they are at the heart of our safeguarding response. Research and education within international development takes place within contexts that are often structured by inequalities and power imbalances, which directly shape programme relations and activities.

11. Our approaches to safeguarding should be underpinned by attention to the needs of specific vulnerable groups, including women, children and disabled people and other dynamics of vulnerability, risk, and harm.
12. We will work with governmental and non-governmental organisations, donors, national and international collaborative partners and charities to advance consistent and high-quality safeguarding practice.

## **7. PROTECTION FROM SEXUAL EXPLOITATION, ABUSE AND HARASSMENT (PSEAH)**

Throughout our research and education in low and middle-income countries (LMIC) and also in our work in the UK, LSTM and collaborating partners with whom we jointly work, need to ensure that they contribute to the protection of children and vulnerable adults from sexual exploitation, abuse and harassment (PSEAH).

*“Child sexual abuse and exploitation is a violation of the four guiding principles of the UNCRC. It puts a child’s survival and development at risk, reinforces discrimination, denies any meaningful participation of the child in matters that affect them and is not in the best interests of the child” (Save 2003).*

### **7.1 Principles of protecting children and vulnerable adults from sexual exploitation and abuse**

The IASC describes sexual exploitation as:

*“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” (IASC 2016, page 4)*

In order to protect children and vulnerable adults, anyone who represents LSTM should follow the key principles outlined in section 6 and in addition, should:

- Support initiatives aimed at exposing and eliminating sexual abuse and exploitation
- Promote equal protection and opportunities for girls and boys
- Actively create a safe environment for children and vulnerable adults who come into contact with the organisation.

### **7.2 Safe programme design**

7.2.1 To protect children and vulnerable adults, it is important to understand whether any research/education activity carried out by LSTM and its partners could detrimentally impact on safeguarding, sexual exploitation and abuse and/or the protection of children and vulnerable adults.

7.2.2 The Preventing Sexual Abuse and Exploitation (PSEA) [Implementation Handbook](#) (CHS Alliance, 2017) states that when designing programmes;

- Potential risks of sexual exploitation and abuse (SEA) are identified and addressed
- Project plans include activities on raising awareness of SEA and sensitivity
- Budgets include funding lines for capacity building and communications on PSEA.

### **7.3 Standards for Preventing SEAH**

The PSEA standards were developed for the humanitarian context and so not all the contents of the PSEA handbook are applicable for the research setting, but Principal Investigators and/or Managers of specific projects do need to consider whether there are any SEA or other safeguarding risks that could occur or be made more likely as a result of any project in which we are involved.

This should be achieved by assessing:

- What are the potential safeguarding/protection/SEA risks for beneficiaries that may occur within/as a result of taking part (or not taking part) in the research?
- Are there any potential safeguarding risks to LSTM staff and students working in these areas? (including contractors, consultants, volunteers and staff from collaborating partner organisations)
- Are there any other safeguarding issues that could arise unrelated to the research activity and who is affected by these risks?
- What international and national legislation/policy is in place within the country to support the protection of children and vulnerable adults and that we need to follow whilst working there?
- As collaborating partners, do we have systems, policies and procedures in place to deal with safeguarding issues? – if not this policy will apply.
- What services are available nationally and locally to refer to (if necessary) if we have safeguarding concerns about an individual?
- What standard operating procedures are in place for the programme in how they will deal with safeguarding concerns?
- LSTM together with our collaborating partners, need to assess the context in which the programme is to take place – identifying any risks and issues related to sexual exploitation and abuse in communities that may impact on the research. Could the research programme exacerbate the risk of SEAH by staff and associated personnel?

7.4 The Department for International Development (DFID) have now made an explicit requirement of organisations that they fund, that those organisations will prevent sexual exploitation and abuse not only of their own employees and representatives but also of “*any other persons engaged and controlled by partners in the performance of any activities relating to DFID funded work*”. (Letter from DFID, dated 25 July 2018). Therefore, LSTM will be unable to partner with organisations who do not have appropriate safeguarding/child protection/PSEA policies and a code of conduct in place, or who do not sign up to this LSTM Safeguarding Policy (Partner Organisations) document.

7.5 External collaborating partners who do have their own relevant safeguarding/PSEA policies and codes of conduct, should pass a copy of these to the LSTM Principal Investigator. These policies must meet the requirements set out in the three key standards documents below:

- Inter-Agency Standing Committee [Minimum Operating Standards](#) on Prevention of Sexual Exploitation and Abuse (2016)
- Core Humanitarian Standard on Quality and Accountability (2014)
- Keeping Children Safe, International Child Safeguarding Standards (2014)

LSTM will also ask that external collaborative partners who have their own policies and procedures, to sign up to this overarching policy document, as it contains a shared set of key principles for us all to meet.

7.6 LSTM Principal investigators should include partner organisation staff in any locally held staff training events on safeguarding/PSEA if they are directly implementing activities or have significant contact with beneficiaries.

7.7 The Principal Investigator must agree with organisations how to exchange information on PSEA. This should include:

- Progress with implementing PSEA measures to be included in reports on the programme (where appropriate)
- Concerns or cases which arise regarding the organisation will need to be reported to LSTM, through the safeguarding disclosure form (please refer to Appendix 1)



## 7.8 Principal Investigators and/or Managers of specific projects should (as appropriate):

- Endeavour to build capacity within LSTM and collaborating partner organisations as part of our work in LMIC, by raising awareness; providing relevant information; documentation, policies & procedures, and through competence building with an aim to preventing all forms of sexual abuse of children and vulnerable adults
- Endeavour to assist and support governments and other agencies to develop systems and structures that will help prevent SEAH and protect children and vulnerable adults
- Treat Safeguarding as a “*fundamental element of programming*” and include it as a line item within every [relevant] programme budget where there are safeguarding risks, and allow for these costs in grants and contracts (UK House of Commons, 2018, Page 5)
- Design programmes to address any risks that are identified – ensuring all those involved in the delivery of goods and services are safe; include costs for prevention, awareness raising, training on SEA and response into programme budgets where relevant
- Identify and document existing local and national child protection mechanisms and related support services for referral.

7.9 A safeguarding risk assessment (please refer to Appendix 3) should be carried out by the Principal Investigator (PI) in conjunction with the relevant personnel from collaborating partners, during the planning and design stage of programme development and reviewed once the programme has started to assess the potential safeguarding risks. The PI should ensure that all staff involved in the programme from LSTM and our collaborating partners are aware of the safeguarding risks in the programme and how they should report concerns.

## 8. ROLES AND RESPONSIBILITIES

### 8.1 External collaborating partners working in conjunction with LSTM should:

8.1.1 Follow this Safeguarding Policy for External Collaborating Partners and sign up to the twelve key principles within the document.

8.1.2 Raise any concerns related to the collaborative research and education activity or the staff involved in that activity through the Principal Investigator and/or by using the safeguarding disclosure form (please refer to Appendix 1).

8.1.3 Ensure that all staff working on the relevant collaborative programme, sign up to the organisation’s code of conduct. This code of conduct must include as a minimum that the organisation does NOT tolerate:

- Engaging in sexual relations with anyone under the age of 18, or abuse or exploitation of a child or a vulnerable adult in any way
- Engaging or supporting any form of sexual exploitation, abuse or harassment directly or indirectly by any means, activities or practice (including online)
- Any kind of negative distinction, discrimination, psychological or physical harassment, threat, attack or exclusion; or any kind of restriction; due to age, disability, gender identity or reassignment, race (including nationality or ethnic identity), sex, sexual orientation, religion or belief
- Behaving in a way which threatens the welfare or security of ourselves or others
- Accepting or offering bribes/significant gifts to government employees, beneficiaries, donors, suppliers or others, which have been offered or received through your work with LSTM or in a personal capacity, which may impact on the work or reputation of LSTM (refer to the [UK Bribery Act 2010](#)).

8.1.3 If an external partner organisation does not have its own code of conduct, then the LSTM Code of Conduct for people that contribute to collaborative programmes is attached at Appendix 2.

In this instance, relevant staff from external collaborative partners who are working on the joint programme will be asked to sign up to this.

## 8.2 Principal Investigators from LSTM and from each collaborating partner organisation should:

- Ensure that all staff involved in the project both from LSTM and from each collaborating partner organisation receive, read and sign a copy of the relevant code of conduct so that anyone who represents our organisation is clear regarding expected behaviours and never abuses the position of trust that comes with being a representative of LSTM, the collaborative partner organisation and the donor who is funding the programme
- Identify a safeguarding lead or focal point in each collaborating partner organisation
- Ensure that all staff across all organisations involved in the project are clear on how to raise safeguarding concerns within the programme and that information on how to do so is clearly communicated to all staff, collaborating partners, contractors and students as well as programme participants
- The LSTM PI should ensure that staff from collaborating partner organisations are aware of any potential safeguarding risks identified in the programme.
- Include partner organisation staff in any locally held staff training events on safeguarding/PSEAH if they are directly implementing activities or have significant contact with study participants.

## 9. REFERENCES

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**CHS Alliance (2017)**. PSEA implementation quick reference handbook.  
<https://www.chsalliance.org/what-we-do/psea/psea-handbook>

**Department of Education, UK Government (2018)**. Working together to safeguard children. A guide to inter-agency working to safeguard and promote the welfare of children. 4 July 2018.  
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<https://www.ukcdr.org.uk/news-article/ukcdr-publishes-draft-briefing-paper-and-evidence-review-on-safeguarding-in-international-development-research/>

**Save the Children (2003)**. Protecting children from sexual abuse and exploitation. Save. London.

<https://resourcecentre.savethechildren.net/library/save-childrens-policy-protecting-children-sexual-abuse-and-exploitation>

**UNICEF (1989)**. United Nations Convention on the Rights of the Child. (Ratified by the General Assembly Resolution on 20 November 1989).

<https://www.unicef.org.uk/what-we-do/un-convention-child-rights/>

**United Nations (1948)**. Universal Declaration of Human Rights (Proclaimed by the United Nations General Assembly in Paris on 10 December 1948, General Assembly resolution 217 A)

<http://www.un.org/en/universal-declaration-human-rights/>

**United Nations (1993)**. The Declaration on the Elimination of Violence against Women (Ratified by the General Assembly resolution on 19 December 1993).

<https://documents-dds-ny.un.org/doc/UNDOC/GEN/N94/095/05/PDF/N9409505.pdf?OpenElement>

**United Nations (2017)**. UN Global Compact. A call to action for sustainable business.

<https://www.unglobalcompact.org/docs/publications/UNGC-Value-Proposition.pdf>

## Appendix One: Safeguarding incident disclosure form (collaborating partner organisations)

(for reporting safeguarding incidents and/or raising concerns of sexual exploitation, abuse or harassment)

Remember, if a child is/could be in danger, then their **safety is paramount**. Any concerns or allegations must be reported to maintain their safety. Be honest, never make promises to keep what you are being told confidential.

**If a child is being abused or is in danger of abuse, you will need to tell someone.**

You can speak to your Line Manager and/or the Principal Investigator/Programme Manager about the incident.

A. I have a safeguarding concern about (please mark X):	
<input type="checkbox"/>	A child or vulnerable adult (e.g. a research participant, patient or beneficiary)
<input type="checkbox"/>	A vulnerable member(s) of staff (or another representative of LSTM)
<input type="checkbox"/>	A vulnerable student
<input type="checkbox"/>	The behaviour of an LSTM staff member(s) towards another person
<input type="checkbox"/>	The behaviour of an LSTM student(s) towards another person
<input type="checkbox"/>	The behaviour of someone from a partner organisation/other representative towards another person

B. Are you reporting (please mark X):	
<input type="checkbox"/>	Your own concerns
<input type="checkbox"/>	Concerns raised by others (please give details of who raised the issue with you):

C. please give any details of any specific person(s) affected by this incident(s) (if applicable/if known)			
Full name of individual:			
Date of birth or age (if known):		Gender:	
Parent/Carer's name (if applicable):			
Home address of individual (if applicable/known):			
Please provide factual details of the incident or concern you have or other relevant information: (such as describing any injuries, your observations of the individual, e.g. any changes in behaviour, and whether you are recording this incident as fact, opinion or hearsay)			
The person's account (if possible) of what happened (use their own words):			
Were there any witnesses to the incident? (if yes please provide details)			
Witness account of what happened (use their own words):			
Have you spoken to the parents/carers? (if applicable) (if yes, please provide details of what was said)			
Any further action taken to date? (can include immediate action taken to protect/care/keep the person safe, e.g. referral to health/care organisations, or other arrangements made with the community/family members):			

<b>D. Please provide details of any person where you have concerns about their behaviour (alleged perpetrator)</b> (who was involved in any incident/harm/abuse or alleged to have caused any incident/harm/abuse):	
Name:	Position held:
Organisation:	
Address (if known):	
Tel:	Email:
Date/time and place of incident and details about the incident:	
Have you spoken to the person against whom the allegations were made? (if yes, please provide details of what was said)	
Have you informed any local governmental or non-governmental authorities/organisations? (if yes, what advice did they give? Please provide name of person and organisation and give their contact details):	
Have you informed the police? (if yes, please provide name of person and organisation and give their contact details):	
Any further action taken to date?	

<b>E. If this concern relates to a specific project, programme or department, please give details:</b>	
Name of project, programme or department:	
Brief description of the programme activity:	
Country:	PI:
Please detail what your safeguarding concern is in relation to the above:	
Is this concern about a partner organisation in the project/programme? (If yes please give details)	

<b>F. Your details:</b> (You may leave this blank if you wish to remain anonymous, but it will help the investigation if the safeguarding officer is able to contact you)	
Your name:	Your position:
Your email:	Your phone no:
Signature:	Date/Time:

Send this form to LSTM's Safeguarding Officer: [safeguarding@LSTMed.ac.uk](mailto:safeguarding@LSTMed.ac.uk) Tel: +44 151 705 3744

## Appendix Two: Code of Conduct for people that contribute to collaborative programmes of work with LSTM

### 1. Introduction

The Liverpool School of Tropical Medicine (LSTM) has developed a code of conduct which all LSTM staff and students are asked to sign up to. The code of conduct was written as part of the further development of safeguarding procedures across all our programmes of work, to protect children and vulnerable adults.

It is based on the core principles developed by the [Inter-Agency Standing Committee](#) (IASC)\* on preventing sexual exploitation, abuse and harassment (PSEAH).

Due diligence procedures now require LSTM to extend the code of conduct to people that contribute to collaborative work programmes with LSTM, either on joint research projects, joint grant funding schemes, or joint education & training schemes. These people, (hereafter termed “*collaborating partners*”), are asked to sign this code of conduct.

### 2. Principles of the code of conduct

2.1 LSTM staff and collaborating partners are expected to promote our joint values and protect our reputations by adhering to the principles set out in this code of conduct. The code provides clear guidance on what we and the donors who fund us, expect of LSTM staff and collaborating partners in our work together, as well as providing examples of conduct that will always be unacceptable.

2.2 This code of conduct applies to us all in our places of work and in the “extended workplace” which includes when we are:

- Representing LSTM or one of its subsidiary companies, or one of the collaborating partners with whom we are working at any location, at any time
- Travelling for work purposes to and from national and international destinations
- Participating in work related social events; or training/development or “time out” events.

2.3 Whilst recognising that laws differ from one country to another, LSTM works internationally and therefore our code of conduct is developed with consideration of International and UN standards. This Code is subject to relevant international human rights law, wherever the individual is employed and shall be read in a manner that is compliant with that law.

### 3. We expect all LSTM staff and collaborating partners (who are working together on research, training, technical assistance or any other work-related activity) to:

- Uphold the integrity and reputation of the joint activity, by ensuring that our professional and personal behaviour is demonstrably consistent with our shared values and this code of conduct
- Adhere and abide by the standards of competence, honesty, integrity and other professional behaviours as defined by our respective professional or regulatory bodies, and retain the freedom and duty to follow their professional codes
- Conduct ourselves openly and transparently, with integrity, impartiality and honesty, never deceiving or knowingly mislead others
- Treat all people with dignity and respect and challenge any form of harassment, discrimination, intimidation, exploitation or abuse. Respect the basic rights of others by acting fairly, honestly and tactfully
- Respect human rights, protect the environment and oppose criminal or unethical activities
- Protect the health, safety, security and well-being of ourselves and others
- Work actively to protect staff, students, volunteers, partner representatives, children, vulnerable adults, research participants and beneficiaries by complying with the agreed, shared safeguarding policies and procedures in our joint working on the project(s)
- Be responsible for the use of information, equipment, money and resources to which we have access, through our employment with our organisation and/or our contact with LSTM and other collaborating partners
- Know how to raise safeguarding concerns and report any matters that breach the principles contained in this code of conduct.

**LSTM and our collaborating partners, therefore do not tolerate the following:**

- Engaging in sexual relations with anyone under the age of 18, or abuse or exploitation of a child or a vulnerable adult in any way
- Engaging or supporting directly or indirectly by any means, any activities that advocate the legislation, legitimisation or practice of commercial sexual exploitation or sex trafficking
- Unwelcome sexual advances, requests for sexual favours, and other verbal or non-verbal harassment of a sexual nature
- Exchanging money, employment, goods, influence or services for sexual favours
- Any kind of negative distinction, discrimination, psychological or physical harassment, threat, attack or exclusion; or any kind of restriction; due to age, disability, gender identity or reassignment, race (including nationality or ethnic identity), sex, sexual orientation, religion or belief
- Drinking alcohol during working hours (except in moderation as part of a work-related social occasion)
- Taking illegal drugs/substances or using any “legal highs” (not yet controlled under the UK misuse of drugs act, but which could nevertheless negatively alter behaviour or impair judgement), at any time within the workplace or extended workplace
- Being in possession of, or profiting from the sale of, illegal goods or substances
- Behaving in a way which threatens the welfare or security of ourselves or others
- Using LSTM/partner resources/equipment or accessing the internet via LSTM’s/partner’s networks for potentially unsafe or unlawful practices, including:
  - Viewing, downloading, creating or distributing online content that are legally prohibited or that are designed to incite hatred and/or violence, (including content with sexually explicit, racist, sexist discriminatory or insulting or offensive materials)
  - Sending, forwarding or saving messages (e-mail, SMS etc.) that are of a pornographic, racist, sexist, discriminatory, insulting, offensive or sexually intimidating nature, or that are legally prohibited or that are designed to incite hatred and/or violence
- Accepting or offering bribes/significant gifts to government employees, beneficiaries, donors, suppliers or others, which have been offered or received through your work with LSTM or in a personal capacity, which may impact on the work or reputation of LSTM (refer to the [UK Bribery Act 2010](#))
- Using LSTM funds or resources, or those received from donors, to support directly or indirectly any of the above activities.

**3. Individual agreement to the code of conduct**

- 4.1 Whilst observing the requirements of the code of conduct, I will also be sensitive to national laws and customs, even if the norms and values are more proscriptive or differ from the LSTM code of conduct. I understand that I am expected to observe the LSTM code of conduct where the national laws etc. in the country in which I am working are less restrictive. I will if necessary, seek (and will receive) support and advice from my own employing organisation and from LSTM.
- 4.2 This code of conduct, together with LSTM’s policies and procedures and your partnership contract and terms, provide a framework within which all LSTM collaborating partners regardless of location, undertake their duties.
- 4.3 I have read and understood this code of conduct and undertake to discharge my duties in accordance with the requirements of this code thereby contributing to the quality of performance and reputation of my organisation and LSTM.

Name (print):

Partner Organisation:

Job title:

Date:

Signature:

\* The IASC is the primary mechanism for inter-agency coordination of humanitarian assistance. It is a unique forum involving the key UN and non-UN humanitarian partners. The IASC was established in June 1992 in response to United Nations General Assembly Resolution 46/182 on the strengthening of humanitarian assistance.

<https://interagencystandingcommittee.org/principals/news-public/iasc-six-core-principles-relating-sexual-exploitation-and-abuse-2002>

**Appendix Three: LSTM and Collaborating Partners Safeguarding Risk Mapping Tool**

LSTM Dept:		Programme Title:	
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Summary:

Start Date:		End date:		Country:	
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Principal Investigator		Programme Manager (if applicable)		Donor:	
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Has LSTM signed up to a donor safeguarding policy under this grant?		Does the programme use volunteers? (if yes, detail role)	
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List all collaborating partners working together on project:

Safeguarding Risk Identification	Risks	How will the risks be mitigated/managed?
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1. Potential safeguarding/protection risks for participants that may occur within/as a result of undertaking the research.		
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2. Potential safeguarding risks for staff, students, volunteers, contractors, consultants or visitors		
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3. Safeguarding issues that could arise unrelated to the research activity		
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<b>Additional Information</b>	
What international and national legislation and/or guidance documents are available in relation to Safeguarding/Protection of children +/-or vulnerable adults in the country you are working in? Please detail	What services are available locally as part of victim response for child / vulnerable adult protection? Please detail (e.g. child protection, GBV services, HIV services)
<b>Action Plan. (What additional action (if any) do you now need to take to mitigate the risks identified)?</b>	