

# Basel Institute on Governance Safeguarding Policy

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# 1 Purpose

As a not-for-profit Swiss foundation, headquartered in Basel, Switzerland, with operations worldwide, the Basel Institute on Governance (hereinafter Basel Institute) is dedicated to combating and countering corruption and improving standards of governance around the world with a view to contributing to a more equal, prosperous and peaceful world.

In working towards this objective, the Basel Institute is committed to create and maintain the safest possible “do no harm” operational environment to protect the safety and dignity of all persons working for the Basel Institute or otherwise interacting and working with the Basel Institute and its partners.

In this spirit, and in furtherance of the relevant provisions in the Basel Institute’s Code of Ethics, this Policy provides further guidance to all people in scope (as defined herein under paragraph 2) about how to demonstrate and enact such commitment in the conduct of their daily work. The guidance also seeks to enable everyone to recognise situations of concern when such arise, and how to take appropriate action.

# 2 Scope

This Policy is applicable to all Basel Institute Board members and to all Basel Institute personnel, wherever they are located, including at headquarters in Basel, in any of the Basel Institute’s offices and operations outside of Switzerland, and its subsidiary in Peru; together they are referred to in this Policy as “people in scope”.

This Policy is also applicable to anyone else acting on behalf of the Basel Institute, including in particular but not necessarily limited to short-term consultants and other third -party intermediaries.

As part of their onboarding/induction process, all people in scope are made aware of and are obliged to familiarise and regularly re-familiarise themselves with this Policy and any other code or policy of the Basel Institute directly related to this Policy.

## 3 What is Safeguarding?

Safeguarding is a broad term that refers to protecting persons from harm and abuse, including verbal, non-verbal, physical or other discriminatory behaviours. Safeguarding entails a framework response to ensure that such behaviours can be dealt in a manner that the reporting person's well-being and safety are prioritised and protected.

## 4 Policy

### 4.1 General policy statement

We operate in many jurisdictions around the world and are fortunate to have a diverse workforce that we value highly and count as one of our key assets.

We strive to create an environment of trust in which personal dignity, privacy, well-being and the personal rights and safety of every individual is safeguarded. We also believe we have a responsibility to treat each other, and everyone we interact with, with dignity and respect. This also means appreciating diversity, whether that diversity exists because of race, religion, gender, sexual orientation or any other difference.

Respect in the workplace is also fundamental to performance and engagement.

### 4.2 Values and guiding principles

- We are guided by and adhere to the values of empowerment, prevention, protection, proportionality, partnerships, integrity and accountability in our work and behaviour. This applies wherever we work in the world, at headquarters, in the field and on duty travel. And it applies to all our relationships, within our team and with regard to all partners and other third parties that we work with.
- We expect all people in scope to demonstrate courtesy and respect in all their dealings with each other, with everyone with whom they work, and in the communities in which they operate.
- We respect, and encourage respect for human rights and the principles of diversity, solidarity and equal opportunity.
- We pursue our activities in accordance with applicable laws and relevant international standards and good practices.
- We are non-partisan and non-sectarian in the conduct of our affairs and in the products we deliver.

- We expect all partners with whom we work to conduct themselves in this same manner and to take all reasonable steps to “do no harm” to the people they come into contact with, including staff and the communities in which they operate.

### 4.3 What we do not tolerate

In line with our core values and principles, we do not tolerate any forms of bullying, harassment, discrimination, exploitation, abusive behaviour or intimidation, including sexual exploitation, abuse and harassment (SEAH).

By bullying, harassment, discrimination, exploitation and abusive behaviour or intimidation, including SEAH, we mean the following:

- **Bullying:** the systematic exclusion or humiliation of a person by one or more persons, with hostile acts repeated over a longer period of time.
- **Harassment:** behaviour towards a person that causes mental or emotional suffering, which includes, *inter alia*, unwanted contacts without a reasonable purpose, insults, threats, touching, or offensive language.
- **Discrimination:** any form of unjustified inequality of treatment, verbal statement or physical use of force that discriminates against a person or a group of persons on the grounds of their gender, ethnicity, age, complexion, religion, marital status, sexual orientation, origin, physical or mental handicaps or any other difference.
- **Exploitation:** the act of using someone unfairly for your own advantage, including sexual and/or criminal exploitation.
- **Abusive behaviour or intimidation:** physical, sexual, emotional, economic or psychological actions or threats of actions that seek to influence another person. This includes any behaviours that could frighten, intimidate, terrorize, manipulate, hurt, humiliate, blame, injure, or wound someone.

Any such above-listed behaviour will strictly not be tolerated.

## 5 Reporting procedures

Anyone who experiences, observes or suspects any of the above (see chapter 4 of this Policy), is encouraged to report the concern/incident. For this purpose, the Basel Institute provides the following reporting channels:

*People in scope and any other person that has interacted with people in scope in a professional capacity* can report a concern or incident to the Basel Institute’s designated Safeguarding Officer by email ([safeguarding@baselgovernance.org](mailto:safeguarding@baselgovernance.org)) or through the Basel Institute’s Whistleblower hotline.

*People in scope* can also choose to report such an incident to the Safeguarding Officer in person, or using any other reporting mechanism as foreseen by the Basel Institute's Whistleblowing Policy.

All these channels allow for anonymous and non-anonymous reporting, and either type of report will be treated equally. The Basel Institute encourages non-anonymous reporting as this increases the chances of successfully addressing concerns that have been raised and facilitates the investigation and remediation of the concern raised.

If any such afore-listed behaviour is reported and can be substantiated, appropriate and commensurate action will be taken in line with the spirit of this Policy, applicable Swiss law and international best practise and standards for safeguarding matters.

## 6 Report handling and confidentiality

Any safeguarding matter reported will be handled with the highest degree of confidentiality. Upon receipt of a report through any of the afore-listed channels, the Safeguarding Officer will seek to resolve the concern raised in the report to the best of their abilities, in line with the principles, standards and objectives set in this Policy and in line with applicable Swiss law and international best practice.

The Safeguarding Officer may seek further clarification from the reporting person and will always endeavour to keep the reporting person informed of the evolution of the case if the reporting person has revealed their identity. The Safeguarding Officer may in this process, at their discretion, involve other - though strictly only non-involved / non-concerned – persons, if it can assist in remedying the concern raised. The protection of the reporting person is of utmost importance throughout the investigation and remediation process.

## 7 Recording and record keeping

A written record must be kept of all reports that constitute a reportable incident under this Policy and under the Basel Institute's Whistleblowing Policy. Such record must include details of the person(s) involved, if this information has been revealed in the report, the nature of the concern as well as the consequential actions and decisions taken, including the reasonings for these.

All such records are securely and confidentially stored at the Basel Institute's Incident Reporting System (cf. Whistleblowing Policy) repository.

# 8 Revision history

Version No. / Date	Section	Description of Change (s)
1.0 / April 2024	N/A	New policy adopted by Board

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