Duty of Care Policy

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1. Introduction

All environments around the world hold an inherent threat. Wherever we are as individuals, we will be at some level or risk. Political, socio-economic and other factors, combined with 3ie's mission and activities, which are carried out from both low-risk stable settings as well as high-risk and highly unstable and risky country contexts, contribute to shifting dynamics that may present violence, insecurity and disorder.

These dynamics may directly impact the physical and mental health of our employees and associated individuals. This policy has been designed to minimise the impact on 3ie's employees and associated individuals, and the organization's reputation, finances and sustainability. It outlines our approach to our duty of care responsibilities by providing essential principles of good practice at each stage of the employment cycle with a specific focus for roles working or travelling to complex and higher risk countries and also advises ways of working that we expect our grantees, downstream partners and other contractors to exercise.

This policy applies to 3ie staff, and associated individuals (grantees and their staff, consultants or other contractors, board members, volunteers and interns)

2. Statement of commitment

3ie considers the security and wellbeing of all employees and associated individuals very seriously and fully accepts the duty to provide a reasonably good standard of care to those performing activities on 3ie's behalf. Our duty of care is implemented through the reasonable and practicable measures we use to ensure the physical safety and psychological wellbeing of those associated with us personnel.

3ie commits to have and keep updated a combination of policies, procedures, activities and practices that support effective implementation of these commitments. Employees and associated individuals have the responsibility to follow 3ie policies and procedures and exercise reasonable self-care and self-responsibility.

Duty of Care is a legal and ethical obligation and a social contract between the organisation, its employees and associated individuals, whether in the office, working remotely from home, in a field location, in a foreign country or in one's own country. To reduce the likelihood of injury, trauma or death, 3ie seeks to actively manage all safety, security and wellbeing risks to reasonable levels. This requires the equal engagement of all parties involved. In exceptional circumstances, 3ie may engage in activities above our normal risk, and in such cases, 3ie will assess the risk against our strategic objectives, and the social impact that can be achieved by working with these risks.

3ie is also committed to abide by all national laws, particularly those where the governing environmental, health and safety and welfare, labour and equality and anti-discrimination in all the locations where 3ie is registered.

3. Duty of care principles

Our duty of care policy is informed and guided by the following principles:

3.1 Safety and wellness are paramount

The safety, security and wellbeing of our employees and associated individuals is our highest priority and takes precedence over everything else, including 3ie's programs, operations, property and reputation. We will take all reasonable measures to protect those working with us and manage risks through all aspects of our operations. Our duty of care extends to our employees who work remotely, whether from home or in hybrid environments and we are committed to ensuring that they have access to the necessary tools and support systems to perform their roles safely and effectively.

3.2 Safeguarding

3ie is committed to safeguard the wellbeing (both physical and mental) and rights of children, young individuals, adults, and vulnerable adults, irrespective of nationality, ethnicity, faith, gender, sexuality, culture or any other characteristic protected by law.

We understand that there may be factors (e.g. gender, gender identity, ethnicity, etc.) that can expose our employees and associated individuals to greater risks. We commit to supporting each individual at increased risk by assessing the risk and developing targeted risk mitigation and safeguarding measures.

3.3 Equitable care

3ie's duty of care is a responsibility to all personnel without distinction regarding type of position or discrimination for any reason. All associated with us for our work will have available all reasonable support, resourced locally whenever possible, to ensure it is appropriate to local conditions.

3.4 Integrated risk management

 Organisation specific risk assessments and risk management is integral to our project planning and implementation. Risk is dynamic and ever evolving so ongoing updates are essential especially prior to travel, new or significant activities or following major changes in the environment.

employer is responsible for the health and safety of their employees, including

3.5 Shared Responsibility

For our Duty of Care policies and practices to be effective in reducing the risks to our employees and associated individuals, we must all share the responsibility for their implementation and improvement. As such, a failure at one level of the organization, constitutes a failure at all levels of the organization.

3.6 Effective Communication

We believe in communicating with our employees and associated individuals in simple and accessible language to create a positive and accessible security risk management and wellbeing culture. This includes providing access to information about the risks that they may face during the work, to empower them to make informed decisions to consent or decline them. No employee or associated individual must ever be forced or coerced into accepting more risk than they are personally comfortable with

4.Duty of care Responsibilities

Board and senior management:
- Hold ultimate accountability for the safety, security and wellbeing of all 3ie employees and associated individuals
- Must ensure that the policy governs and regulates security and staff wellbeing risk, and is periodically reviewed against legal standards and best-practices
- Ensure adequate financial and human resources to support the management of security and wellbeing risk, including allocating contingency funding for unforeseen emergency situations.

Senior Safeguarding Officer:
- Ensures all 3ie employees are aware of their own responsibilities under the Duty of Care and equipped to adhere to them.
- Provide mechanisms that allow for incidents to be reported to authorized personnel at any time, ensuring the correct capacity and capability to manage incidents that pose a direct threat to life or have serious implications for any employees, associated individuals, finances, reputation, legal position, or sustainability.
- Ensures that the Executive Director is fully informed about all duty of care policies and their implementation, who is turn is responsible for informing the 3ie Board.
- Review and update this policy every two years, as a minimum.

Project Manager and Line Manager:

- Ensure they are approachable and that their team members feel comfortable in discussing any feedback, questions or concerns they may
- have about their own or others' health and safety.
- Inform all team members and associated individuals under their management of the requirements to adhere to the Duty of Care policy.
- Ensure that any international, national travel has been determined as a necessity, and due risk assessment and management undertaken.
- Report any deliberate violations of the Duty of Care Framework to the Senior Safeguarding Officer.

Employees and Associated Individuals:
- Fully comply with the Duty of Care policy requirements, following security instructions to avoid unnecessary risks and prevent behaviour which brings themselves or others into danger.

- Notify their line manager of any intention to travel, at the earliest possible opportunity.
- Request further information from relevant internal focal points concerning any safety, security or wellbeing risks, if they feel that they are not fully informed.
- Accurately complete (or in the case of associated individuals, review) a Risk Assessment for all travel to locations with a HIGH or EXTREME risk rating, in consultation and collaboration with others involved.
- Complete any required safety, security and wellbeing training.
- Ensure that their emergency/ next of kin contacts are up to date at all times.
- Be reliably contactable at all times and inform their line manager of their location and other reasonably requested information, at the agreed times.
- Immediately report any incidents to the Senior Safeguarding Officer that have caused, or the potential to cause, injury, harm, or mental or physical illness to themselves or others, including any potential safeguarding issues.
- Observe any national laws that apply in each location at all times and show respect for local customs and cultural practices.
- Act with integrity, accountability, professionalism and consistency with 3ie's vision, mission and values and ensure that they behave in a manner that does not compromise the safety, security or wellbeing of themselves or other

5. Critical Incident management

A critical incident as an event out of the range of normal experience – one which is sudden and unexpected, involves the perception of a threat to life and can include elements of physical and emotional loss. Such events could manifest in the form of (but not limited to) serious violence, rioting, abduction, fire and natural calamities. Often such events are sufficiently disturbing to overwhelm, or threaten to overwhelm, a person's coping capacity. Most people would be severely shaken by a critical incident but are likely to recover from its impact with appropriate support.

Through the critical incident management procedure, 3ie ensures an appropriate mechanism for the effective management of any incident and crisis.

6. Reporting and Governance

3ie's board and senior management are custodians of our values, which put people first. They will ensure the policy and practice that supports duty of care reflects 3ie's values and are well-designed, well-managed and well-implemented.

3ie has a Senior Safeguarding Officer. This position is currently held by Anindita Singh, Global People Senior Manager (can be reached at safeguardingconcerns@3ieimpact.org).

One can anonymously raise a concern or report an incident using 3ie's Duty of Care Reporting Form

The 3ie Board will hold the Executive Director and other members of the Senior Management accountable on health and safety in the following ways:
- Ensuring compliance with local health and safety legislation in locations 3ie has registered offices.

- Reporting annually on any health and safety issues or concerns, breaches in health and safety and any accidents or incidents, including incidents related to misconduct and safeguarding, as well as updating and reporting on the 3ie institutional risk register.
- Ensuring a Critical Incident procedure is in place and appropriate training imparted.

Duty of care and grantees

3ie will undertake enhanced due diligence and require grantees and other key contractors to demonstrate they have minimally acceptable duty of care policies and practices, in addition to safeguarding and other associated policies.

7. Monitoring

3ie will monitor data and maintain records for instances of misconduct committed by any employee or individual affiliated with 3ie that are contrary to 3ie's conduct policies and ensure redress and action. This includes records of safeguarding, discrimination, bullying and harassment, sexual exploitation and abuse, and sexual harassment and violence from any personnel, based on the channels and processes set up by 3ie.

3ie's Senior Safeguarding Officer will be the official coordinator for compiling, sharing and reporting information and data to the management and the Board.

7.1 Research ethics

3ie has an [Transparent Reproducible Ethical Evidence (TREE) policy](#), as well as data transparency and data protection policies that cover privacy and confidentiality. 3ie TREE team is responsible for oversight and compliance by 3ie research teams, review and propose responses to reported ethical incidents and prepare quarterly reports for the 3ie Senior Management Team on the status of TREE practices at 3ie.

Policy Review

3ie will review the Duty of Care policy every two years.

Appendix A: List of policies supporting our duty of care

3ie uses, reviews and updates a suite of institutional policies and procedures that underpin our code of conduct and duty of care.

- Anti-human trafficking and modern slavery policy
- Conflict of Interest Policy
- Data Protection Policy
- Emergency and critical incident policy
- TREE Policy
- Fraud and anti-corruption policy
- Gift and Hospitality Policy
- Health and safety guidelines (include the global health and travel framework)
- Prevention from Sexual Harassment, Exploitation, Abuse and Harassment of beneficiaries' policy
- Prevention of sexual harassment policy
- Respect at workplace policy
- Risk management policy
- Safeguarding policy
- Supplier code of conduct
- Whistleblowing policy