UKRI GCRF Accountability for Informal Urban Equity Hub (ARISE)

Reflections on safeguarding: Sally Theobald and Bintu Mansaray on behalf of ARISE hub

ARISE and approach to safeguarding

- ARISE safeguarding processes started last year:
- Fed into UKCDR guidance
- Practical case study of addressing some of the questions in the guidance in line with values in the guidance

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How to prevent and address safeguarding concerns in global health research programmes: practice, process and positionality in marginalised spaces

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What's in the paper

- **Safeguarding in global health and vulnerability as a relational concept**

- **The different steps undertaken in ARISE to develop a shared approach to safeguarding**
  - Sharing institutional guidelines and practice;
  - Facilitating a participatory process to agree definitions, joint understandings of vulnerabilities, risks and mitigation strategies and share experiences;
  - Developing action plans for safeguarding.

- **Key learnings**
  - How safeguarding, ethics and health and safety concerns overlap;
  - The challenges of referral and support for safeguarding concerns within frequently underserved informal urban spaces;
  - Importance of reflective practice and critical thinking about power, judgement and positionality and decolonisation

Table 1 Legislation and policy available related to safeguarding across the ARISE hub countries

	Bangladesh	India	Kenya	Sierra Leone	UK
International policies					
UNICEF (1989) The UN Convention on the Rights of the Child (ratified by the General Assembly Resolution on 20 November 1989)					
United Nations (1979) Convention for the Elimination of all Forms of Discrimination Against Women (ratified by the General Assembly Resolution on 18 December 1979)					
United Nations (1993) The Declaration on the Elimination of Violence against Women. United Nations (ratified by the General Assembly Resolution on 19 December 1993)					
Inter-Agency Standing Committee (2016). Protection against Sexual Exploitation and Abuse (PSEA). Global Standard Operating Procedures. May 2016					
Keeping Children Safe (2014). Child safeguarding standards and how to implement them					
CHS Alliance, Group URD and the Sphere Project (2014) Core Humanitarian Standard on Quality and Accountability					
CHS Alliance (2017) PSEA implementation quick reference handbook					
Regional policies					
			The African Charter on the Welfare and Rights of the Child (ACWRC) of 2002		
Subject area	**National-level policy and/or legislation**				
Children	National Children Policy (2011)	Protection of Children from Sexual Offences (POSCO) Act (2012, amended 2019)	The Constitution of Kenya (2010)	The Constitution of Sierra Leone (1991) (Currently under review)	House of Commons International Development Committee (2018) Sexual exploitation and abuse in the aid sector. 8th report of the session 2017 to 19. HC 840. 23 July 2018. Published 31 July 2018
	Early Marriage Protection Act (2017) MoWCA	UN Convention on the Rights of the Child (1990)	The Children Act Kenya (2010)	The Child Rights Act Sierra Leone (2007)	Charity Commission (2014). Policy paper. Safeguarding Children and Young People. 14 July 2014
	Child Protection Policy (Bangladesh Shishu Adhikar Forum)	Revised Integrated Child Protection Scheme India (2014). Ministry of Women & Child Development Government of India	Framework for the National Child Protection System Kenya (2011) National Council for Children's Services	National Child Welfare Policy (2013)	Children's Act (1989) (legislation.gov.uk)
Vulnerable groups		Constitution of India (1950): provisions for vulnerable groups, including women, scheduled castes, scheduled tribes, persons with disabilities, children, persons living with HIV and the aged	The Persons with Disability Act Kenya 2012	The Persons with Disability Act Sierra Leone (2011)	UK Policy Governance Association (2006). Act of Parliament. Safeguarding Vulnerable Groups Act 2006 (chapter 47)
				The National HIV and AIDS Commission Act (2011)	Office of the Public Guardian (2017). Policy paper SD8: office of the Public Guardian safeguarding policy (web version) Updated 4 July 2017.

Policies on Safeguarding

Table 1 Continued

	Bangladesh	India	Kenya	Sierra Leone	UK
Gender-based violence (GBV)	National Action Plan to Prevent Violence Against Women and Children (2013 to 2015) Domestic Violence (Protection and Prevention) Rule (2013) MoWCA	The Protection of Women from Domestic Violence Act (2005)	Protection against Domestic Violence Act (2015)	Domestic Violence Act (2007)	The Domestic Violence, Crime and Victims Act (2004) (legislation.gov.uk)
Sexual exploitation, abuse and harassment (SEAH)			Sexual Offences Act (2006)	The Sexual Offences Act 2012 Sierra Leone (currently under review)	UUK (2016) Changing the Culture: Report of the Universities UK Taskforce examining violence against women, harassment and hate crime affecting university students
(International) Research ethics	National Research Ethics Committee Bangladesh. Directorate General of Health Services. Government of the People's Republic of Bangladesh https://dghs.gov.bd/ Bangladesh Medical Research Council. https://bmrcbd.org/		Research Ethics guidelines	The Ethics Review Board Guidelines on Conducting Research	AREC (2013) A Framework of Policies and Procedures for University Research Ethics Committees UUK (2019) The Concordat to Support Research Integrity David Orr et al (2019) Safeguarding in international development research: evidence review. A report commissioned by UKCDR
Organisational policies					

	Bangladesh	India	Kenya	Sierra Leone	UK
Children and vulnerable adults	BRAC Child Protection Policy	SPARC follows a strict anti-child labour policy and therefore does not employ underage children for any work, and this is legislated by law	Guidelines for Conducting Research on Adolescents		Liverpool School of Tropical Medicine (LSTM) Safeguarding Policy
	Child and Adult Safeguarding Policy (World Vision, 2018)				LSTM Protecting Children and Vulnerable Adults Policy
	Child Safeguarding in Project Based Practice Guidance (2016)				LSTM Code of Conduct
	Child Safeguarding Policy (Save the Children) (2019)				LSTM Safeguarding Policy (for External Collaborating Partners)
	Organizational Child Protection Policy and Code of Conduct (2017, GRAMBANGLA UNNOYON)				LSTM Safeguarding Students Policy
	BRAC University Code of Conduct				

Entries are intended to be illustrative rather than representative of all possible legislation, guidelines and policy.

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Table 2 Summary of key safeguarding concerns/risks identified across ARISE

LSTM safeguarding risk mapping tool

LSTM department:	International Public Health	Programme title:	ARISE		
Summary:	An international research consortium aiming to enhance accountability and improve the health and well-being of marginalised people living and working in informal urban spaces				
Start date:	19 Feb	End date:	24 Feb	Countries:	Bangladesh, India, Kenya, Sierra Leone
Principal investigator:	Professor Sally Theobald (LSTM)	Programme manager:	Beth Hollihead (LSTM)	Donor:	GCRF
Has LSTM signed up to a donor safeguarding policy or code of conduct under this grant?	Yes	Does the programme use volunteers? (if yes, detail role)			No
List all collaborating partners organisations working on this programme	Bangladesh: James P Grant School of Public Health/BRAC India: George Institute, Slum Dwellers International (SDI) Kenya: APHRC, LVCT Sierra Leone: COMAHS, SLURC UK: LSTM, Institute of Development Studies (IDS), Glasgow University, York University (SDI also work in Kenya and Sierra Leone)				

Safeguarding risk identification	Risks	How will the risks be mitigated/managed?
1. Potential safeguarding/protection risks for beneficiaries that may occur within/as a result of undertaking the research?	Potential risk of SEAH to participants from people of trust such as researchers, co-researchers, security staff etc Potential risk of financial exploitation of participants from people of trust such as researchers, volunteers, partners, consultants, security staff etc Demands for accountability may make people vulnerable if powerholders interests are compromised Renewed trauma to participants by them reliving their experience by talking to you Lack of referral pathways leading to protection needs being unmet	Staff training Encouragement of reporting incidents/concerns Identification of appropriate organisations to refer to and appropriate referral pathways Strong institutional policies for child protection and anti-sexual harassment Sensitise staff on policies and signpost to them Sensitise communities and staff (on what to do and what not to do) Male/female pairs
2. Potential safeguarding risks for staff, students, volunteers, contractors, consultants or visitors?	Potential risk of SEAH to researchers, volunteers, partners, consultants, security staff etc Risk of psychological harm from listening to trauma survivors Harassment of researchers, volunteers, partners, consultants, security staff when carrying out their work as part of this research programme Potential risk of burnout/distress of researchers researchers, co-researchers, security staff open to manipulation and corruption	Debrief, support and supervision available for the field research team Counselling services for the research team dealing with sensitive topics Boundary setting Male/female pairs Data collection and project activities conducted in groups/dyads, preferably mixed gender

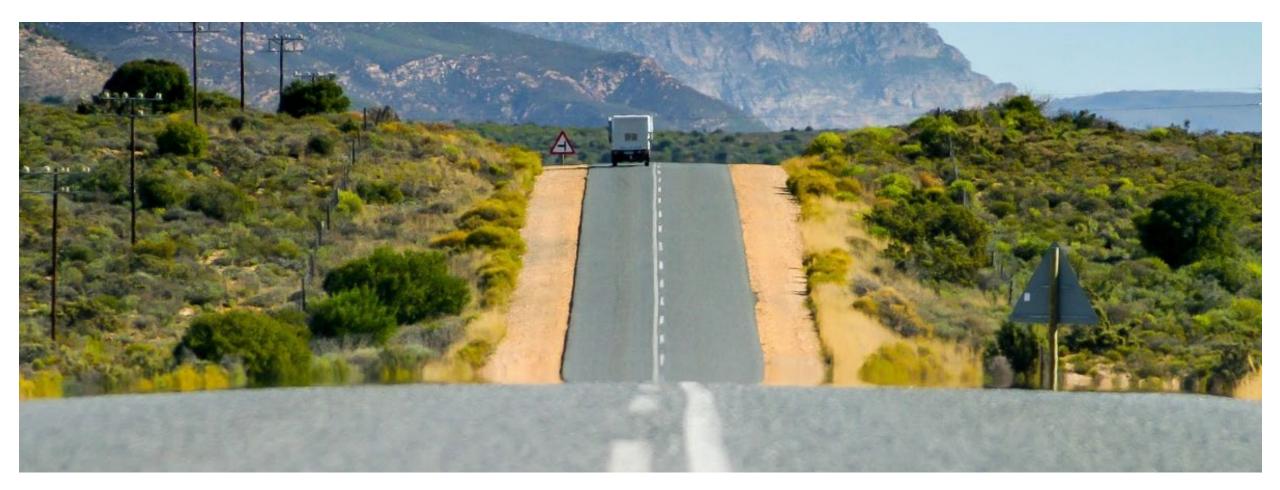|		
3. Safeguarding issues that could arise unrelated to the research activity?	Child abuse (eg, physical abuse, neglect etc) Sexual exploitation abuse or harassment (SEAH) unrelated to research Child, early or forced marriage (CEFM), gender-based violence (GBV) or intimate partner violence (IPV) Female genital mutilation (FGM) Eviction/homelessness Drug/alcohol/substance abuse/crime Violent crime Community tensions cultural norms, stigma against certain groups Religious or cultural practices Natural/sudden-onset disasters leading to safeguarding issues (homelessness, unaccompanied children etc)	Establish report and referral mechanism/procedure Orientate researchers on relevant national laws and policies in relation to protection of children and vulnerable adults
4. Other risks identified (including moral and ethical risks of the research, health, safety and security risks)	Data protection and security of data Opportunity costs to participants of taking part in research Stigma of taking part in the research False hope on perceived benefits shapes participation in the study Unintended negative consequences because of participation in the study (ie, violence, social isolation, bullying etc) Perceived as being an agent for someone else, eg, city councils, which may lead to eviction Physical and psychological health risks to researchers and other staff, partners and volunteers from working in the community/within the political context Health, safety and security risks to researchers and other staff, partners and co-researchers while working in the community/within the political context Corruption/organised cartels Researchers/volunteers other staff and partners not being aware of cultural or religious norms while working in the area	Orientation for staff on research methods, ethics and cultural sensitivity Understand power dynamics of the community/study population before starting the research Inclusive and participatory methodology Adequate briefing and preparation for research team Provide safety guidelines and sensitise research team Inform local authorities about the research (ie, city corporation, police, NGOs etc) Support of federation networks is advantageous since the ground realities are mainly known beforehand and therefore the opportunity to orient all those involved mitigates the distress and there are lesser situational unknowns. Much more local support is available if the ground situation gets tenuous Engage clearly with gatekeepers, chiefs and others

Safeguarding training for co-researchers

A reflexive journey not a tick box exercise

Thank you!

Acknowledgements