



## **SOCIAL POLICY ECOLOGY RESEARCH INSTITUTE**

### **ALERT SYSTEM**

#### **Alert system objective**

The alert system is a tool to promote responsibility of detecting and reporting in a timely manner of acts related to non-compliance with the SPERI Code of Conduct and Ethics that may cause risks to the philosophy of Nurturing Nature, to good values and traditions of indigenous ethnic communities, as well as to the image and prestige of SPERI and communities.

This alert system aims to reinforce SPERI commitments to maintaining its philosophy, values and principles of action.

This alert system provides opportunities for SPERI to continuously improve its governance at project, program, organization and institution levels.

The alert system allows to:

- Report violations of the SPERI Code of Conduct and Ethics that may affect the philosophy of Nurturing Nature, undermining behavioral norms, traditional values, and honesty in daily work at community and SPERI.
- Report acts of dishonest, corruption, abuse of position and power that result to discrimination, harassment, neglect and other misconduct as stated in the SPERI regulations.
- Obtain information and advice in case of questions or doubts on the interpretation or application of the SPERI Code of Conduct and Ethics.

#### **Exercise an alert system**

This alert system can be exercised by:

- All SPERI members which include members of the Board of the Institute (former Founding Board), Executive Board members, full-time and part-time staff, seasonal

employees, YIELDS – AGREE<sup>1</sup> members, key farmers, volunteers, interns, experts, consultants and other individuals working for or representing SPERI;

- Every community member in the project areas where SPERI has been implementing its development work;
- Local and international partners of SPERI.

### **Recipient of the alert**

Any suspicions, complaints or concerns of misconduct or suspected misconduct must be reported orally or in writing immediately.

Hotline:	<b>+84 904019859</b>
By mail:	Social Policy Ecology Research Institute 12C Pham Huy Thong Street, Ngoc Khanh Ward, Ba Dinh District, Hanoi, Vietnam Attn: Tran Thi Bach Yen
By email:	<a href="mailto:complaint@speri.org">complaint@speri.org</a>

#### *Responsibilities of the recipient of the alert*

- Contact the alert transmitter/complainant to acknowledge the receipt of the alert;
- Send the alert to the person in charge for processing;
- Keep the alert-related information in confidence;
- Notify the outcome of the alert handling to the alert transmitter/complainant.

### **Alert transmitter/Complainant**

- Provide information in an honest, accurate, objective and constructive manner;
- Provide information in full details, if possible, with supporting evidence;
- Receive acknowledgement from the recipient of the alert;
- Receive notification of the outcome from the recipient of the alert.

### **Protection of the alert transmitter/complainant**

- The identity of the alert transmitter/complainant must be kept strictly confidential at all stages of investigation and processing of the alert. SPERI will do its utmost to ensure that complaints are handled with confidentiality and without risking effects on employment or any forms of harassment and/or retaliation as a result of highlighting a genuine problem;

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<sup>1</sup> Young Indigenous Ethnic Leadership Development Strategy for Agro-Ecology Enterprising

- Any alert that falls outside the scope of the SPERI Code of Conduct and Ethics, and is made in bad faith or constitutes slanderous denunciation, or for personal gain will be destroyed without delay and its author is informed about it. Accordingly, disciplinary measures or criminal prosecution will be taken against him/her in accordance with the SPERI regulations or rules of laws.

### **Rights and obligations of the person implicated by the alert**

- To have access to the content of the alert collected by SPERI;
- To voice his/her point of view and request correction if the facts reported are inaccurate at the hearing of the implicated person;
- To provide sufficient information if requested;
- To strictly abide by decisions;
- To appeal any decisions that he/she is not satisfied with.

### **Alert processing**

- The Chief Administrative Officer, who receives an alert report will, within 5 working days from the receiving date of the alert, contact the alert transmitter/complainant to acknowledge the receipt of the report.
- The Chief Administrative Office will, within 5 working days from the receiving date of the alert, send the alert to the line manager or program manager who is in charge of the field of the alert, for handling.
- In all cases, the set-up and outcome of the investigation, and the decision proposed by the line manager or program manager are reported and approved by the SPERI Executive Board.
- An alert that the line manager or program manager feels unable to handle will be referred to the Executive Board or the Board of Institute (former Founding Board) for processing, depending on the nature of the case.
- For finance-related matters: The financial manager (i.e. Deputy Director in charge of finance) takes responsibility to collaborate and assist the line manager or program manager to handle the case.
- For HR related matters (discrimination, abuse, corruption, bullying, etc.), the administrative manager (i.e. Deputy Director in charge of administration) takes responsibility to collaborate and assist the line manager or program manager to handle the case.
- The outcome of the alert verification and investigation, and decision will be notified to the alert transmitter/complainant not later than 30 days from the receiving date of the alert in order to put an end to the complaint handling.

### **Retention of collected data, updating and training**

All reported alerts will be filed in forms of a database for tracking, monitoring and reporting, which enables SPERI to further improve its governance at project, program, organization and institution levels.

The database will be stored confidentially.

The alert system will be updated based on feedback of the community and changes of the context to ensure its appropriateness and effectiveness.

The training on the alert system will be provided to all SPERI staff so that they can be able to understand how the system works and who has responsibility for what.

The introduction of the alert system will be integrated into SPERI project activities carried out at the community in order to help community members get familiar with the SPERI complaint handling mechanism and understand how to apply it effectively and in compliance with their culture and customary law.



