

GLOBAL COMPLAINTS MANAGEMENT/INTERNAL INVESTIGATIONS POLICY

Global Policy Author: **Global Sr. Lead,
Enterprise
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Global Policy Owner: **VP-General Counsel**

Scope/Eligibility: **All IJM Representatives, Beneficiaries, and Guests**

Version: **3.0**

Last Updated: **Published Jan 2024
Update Effective July 2024**

Original Date Effective: **April 2023**

Date of Next Review: **July 2026, every 2 years**



Section 1: Framing

Purpose

IJM has developed a Complaints Management framework that demonstrates our commitment and approach to addressing all complaints that arise in our work, including our programmatic work and interventions. The framework also provides guidance to those who manage complaints on how to proceed in addressing complaints and conducting investigations.

Approach

IJM is committed to the highest ethical and professional standards, ensuring we comply with all applicable laws and regulations. IJM recognizes the value of embedding transparent and accountable practices in our work. To that end, all reported complaints, alleged acts of misconduct or noncompliance, as well as feedback are addressed in accordance with its policies. To support our complaints management practices, IJM is committed to conducting timely, thorough, and impartial investigation into all complaints we receive.

Context & Authority

Board Policy Manual and IJM Code of Ethics.

Legal requirements may vary by jurisdiction, or as required by institutional funders.

Section 2: The Global Policy

Global Policy Statement #1: Scope

This policy applies to all offices of IJM anywhere in the world. Each location can contextualize the policy and related procedures, provided such contextualization does not weaken the standards set forth in this policy and procedures.

1.1 Internal and External Complaints

1.1.1 This policy applies to all complaints and feedback that arise from within and outside IJM.

1.1.2 Complaints may be submitted by anyone, including IJM staff, beneficiaries, community members affected by our programming, volunteers, contingent workers, the public, implementing partners, supporters, and donors.

Global Policy Statement #2: Complaints Management and Investigations Guiding Principles

The following principles shall guide IJM's approach to receiving and managing Complaints:

2.1 Confidentiality

2.1.1 IJM is committed to ensuring the confidentiality of all information related to Complaints, the handling and investigation process and the outcome of Complaints.

2.1.2 IJM employees should not reveal a Complainant's name or personal details to anyone in or outside IJM without obtaining the Complainant's permission, except as necessary to manage the Complaint, or as required to disclose details, such as by law or to protect the health and safety of others.

2.1.3 Where disclosure is required, it will be limited to the minimum amount of information that must be provided under applicable laws and on a need-to-know basis.

2.2 Accessibility

2.2.1 IJM will endeavor to ensure that this policy and complaints and investigation procedures are easy to use and accessible.

2.2.2 IJM will publicize information regarding how and where to make a Complaint.

2.2.3 IJM will ensure accessibility, safety and discreetness of points contact for raising concerns and complaints.

2.2.4 IJM will endeavor to seek the input of project participants, especially Vulnerable People in developing feedback and complaints mechanisms.

2.2.5 IJM will publish a copy of this policy in a manner easily accessible to stakeholders and members of the public.

2.2.6 Where appropriate, IJM will inform stakeholders about the existence of the policy and assist stakeholders in obtaining a copy of the policy.

2.3 Accountability

2.3.1 IJM will ensure that feedback and Complaints are handled in accordance with this policy and closed out effectively and appropriately within a reasonable timeframe.

2.4 Objectivity

2.4.1 Complaints and investigations will be treated with respect in a fair and equitable manner and IJM will ensure procedural fairness is afforded to all parties.

2.4.2 Conflicts of interest will be identified, and appropriate steps will be taken to ensure that these are avoided and do not impact the process followed to investigate or resolve a dispute.

2.4.3 In the case of Serious Complaints, several persons will be involved in the resolution of each individual Complaint to ensure that individual conscious and unconscious biases are limited.

2.5 Responsiveness

2.5.1 Complaints will be dealt with in a constructive and open manner that is timely and responsive.

2.5.2 Complainants will be kept informed on the progress of their Complaint at major steps of the process as well as the investigation process, where applicable, and will be notified of the outcome of the Complaint.

2.5.3 IJM will strive to resolve Complaints in a timely and effective way and with the appropriate degree of urgency, as assessed by IJM.

2.6 Professional (Evidence based, timely, documented)

2.6.1 When conducting Investigations, IJM shall be fair in the whole process through which information and evidence is gathered, documentation of findings and decisions.

2.6.2 Investigation conclusions are based on the balance of probability, based on evidence gathered during the fact- finding process.

2.6.3 Investigation shall be conducted in a timely manner following the guidelines set.

2.6.4 Investigations will be documented in writing, or other permanent media such as a recording and shall contain a documented standard of proof.

2.7 Mutually Respectful

2.7.1 IJM shall treat all parties involved in the investigation with respect and respect the rights of all the parties throughout the investigation.

2.8 Zero Tolerance to Retaliation

2.8.1 IJM prohibits retaliation of any kind against Complainants or witnesses cooperating with an investigation. No disciplinary measures will be taken against a genuine concern reported out of good faith but later proved misguided.

2.8.2 However, intentionally false Complaints may be subject to disciplinary action.

2.9 Learning

2.9.1 IJM commits to learning through corrective action, successful investigations as well as the near misses to improve accountability, transparency, and outcomes going forward.

Global Policy Statement #3: Case Manager Selection

A Case Manager will be assigned to received incident reports and complaints. The Case manager is selected based on the type of incident, location of the incident, persons involved, offices involved, and conflict of interest considerations. The Case Manager selected will be local to the incident unless it is determined that escalation is required to preserve the integrity of the case.

Global Policy Statement #4: Administrative Leave

IJM may place Subjects of Concerns of the Formal Investigations on paid or unpaid administrative leave during the investigative process as deemed appropriate. Administrative leave procedures are outlined subject to applicable policy/law. Employees under investigation may be subject to suspension or transfer to other duties and may be dismissed based on investigation findings.

Global Policy Statement #5: Retention and Release of Investigative Records

Unless advised otherwise by the Office of the General Counsel, IJM will retain records relative to an internal investigation as required and as per jurisdiction requirements.

5.1 Release Authorization

5.1.1 IJM will not release any administrative investigative files, including interviews and findings, unless authorized by the office of the General Counsel and Chief People Officers or pursuant to a court order. IJM's Data protection principles will apply.

Global Policy Statement #6: Notice to Law Enforcement Agencies

If criminal conduct is identified and law enforcement agencies need notification for further processing, IJM will abide by misconduct and data privacy reporting requirements.

Global Policy Statement #7: Safeguarding, Sexual Exploitation, Abuse, and Harassment

7.1. Safeguarding & PSEAH

7.1.1 All Safeguarding reports will be addressed in accordance with the [Global Safeguarding Policy](#) and its procedures.

7.1.2 All Sexual Exploitation, Abuse, and Harassment (SEAH) reports will be addressed in accordance with the [Protection Against Sexual Exploitation, Abuse, and Harassment \(PSEAH\) policy](#) and its procedures.

7.2 Investigation Alignment

7.2.1 Except where subject matter procedures are required, investigations under each of these policies still align with the process and procedure guidance outlined in this policy.

Global Policy Statement #8: Communication with Regions & Country Offices

8.1 Communicating Tier 3 & 4 Incidents

All credible Tier 3 and 4 incidents, as listed in the [Tier Offence Level](#) chart, must be communicated to the relevant regional/divisional and/or country lead within 24 hours (1 business day) of the credibility determination.

8.1.1 Credibility is determined at the conclusion of the preliminary assessment of the incident when the Incident Management Team is convened.

8.1.2 Reports must be made to all applicable parties. For example, an incident in Guatemala receiving funding from UK would be reported to country leads for UK & Guatemala, and Regional leads for AE and LATAM.

8.2 Reporting Guidance

8.2.1 Originating from or related to a region: Report to that Region's Strategy and Portfolio Lead.

8.2.2 Originating from or related to any local country office: Report to the acting Country Office Leader.

8.2.3 Relating to a project receiving funding from an Advancement Office: Report to relevant Advancement acting Country Office Leader.

8.2.4 Originating from or related to Global Functions: Report to the relevant Global Functions Leader.

8.3 Escalation of Incidents in the Event of Conflict of Interest

- 8.3.1** If the incident relates to the relevant regional Strategy and Portfolio Lead or Advancement or Program Office Country Director, the Regional President will be informed instead, unless further escalation is deemed necessary.
- 8.3.2** If the incident relates to the Regional President, no regional/country level actors will be notified. Instead, the CEO and Board will be notified per Board policy.

Global Policy Statement #9: Investigation Guidance

The processes and procedures outlined in this policy serve as guidance for those assigned to manage and investigate complaints of noncompliance and/or misconduct.

Compliance & Enforcement

As with all policies, the intention is to safeguard the people, operations, and mission of IJM and to equip covered persons to operate effectively for the mission. IJM is accountable for this by taking seriously compliance with this policy. Failure to comply with this policy/standard may result in disciplinary action, up to and including termination. IJM reserves the right to pursue legal and/or equitable remedies in the event that noncompliance results in damages or harm to IJM, to legally comply with all government or grantor reporting obligations, and to reasonably cooperate in investigations by government agencies of competent jurisdiction

Decisions & Authority

Decision	Recommend	Agree	Perform	Input	Decision
Approving and/or amending policy or exceptions to policy	Incident Response Working Group	Safeguarding Officer/Enterprise Governance and Compliance	Safeguarding Officer/Enterprise Governance and Compliance	Regional Counsel Regional HRBP	General Counsel
Approving addenda to the policy	Regional Counsel Regional HRBP	General Counsel	Regional Counsel Regional HRBP		Regional President
Enforcing policy	Incident Response Working Group	Safeguarding Officer	Enterprise Governance and Compliance		General Counsel

Definitions & Terms

Term	Description
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Complaint	Feedback expressing dissatisfaction concerning any aspect of IJM’s work including, but not limited to its standards of services/actions/lack of actions/work/application of values, missions and/or objectives of IJM, behavior of IJM staff, criticism of a fundraising campaign/action, concerns over inappropriate use of funds, breaches of organizational practices/procedures by IJM Staff.
Complainant	Person, group, or organization making a complaint.
Feedback	An opinion about IJM’s development or humanitarian work.
Concern	An expression of worry or doubt over an issue considered to be important for which reassurances are sought
Serious Complaint	A complaint whose conduct involves: material breach of IJM’s values, culture, or policies; a material breach of law or regulation; involves the creation of a risk to health, safety, or wellbeing of others; any complaint that requires a detailed investigation
Beneficiaries	The stakeholders, whether targeted or not, benefit, directly or indirectly, from a program.
External Stakeholders	Persons/groups or organizations that are not IJM staff. This includes, but is not limited to supporters, donors, the general public, beneficiaries, official bodies, and partners.
Employee	An employee who works a regular/ consistent schedule, full or part-time, year-round and is on IJM Payroll.
Sexual Exploitation and Abuse (SEA)	Sexual exploitation is 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. Sexual abuse is the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.” This includes non-contact and online sexual exploitation and abuse. (<i>UN Secretary General Bulletin “Special Measures for Protection from Sexual Exploitation and Abuse,” ST/SGB/2003/13</i>).

Section 3: Global Processes & Resources

Global Procedures

Standardized protocols and instructions that apply globally to this governing document, ensuring consistent and compliant practices across various contexts.

Related Business Process: [Case Management and Internal Investigation Process Map \(Internal Use Only\)](#)

Process Step	Global Procedure	Who is Responsible?
Person Reports a Complaint	<ul style="list-style-type: none"> All complaints and incidents may be reported in accordance with the Incidents and Complaints Reporting Resource and Guidance. Anonymous Reporting is available via the Confidential Reporting Form. Regional representatives populate the central incident log. Reports issued through multiple reporting lines will be routed to the correct Point of Contact. 	Anyone can submit a report
Case Manager Selection	<ul style="list-style-type: none"> A Case manager is assigned upon consultation with legal and/or HR. 	General/Regional Counsel

	<ul style="list-style-type: none"> The Case manager is selected based on the type of incident, location of the incident, persons involved, offices involved, and conflict of interest considerations. For Security issues, Case Manager selection is conducted by the Security Coordinator in consultation with the security team. 	<p>Global/Regional HRBP Safeguarding Focal Point Enterprise Governance and Compliance Security Coordinator</p>
Preliminary Investigation	<ul style="list-style-type: none"> The Case Manager conducts a preliminary investigation into the complaint or incident and fills out the Preliminary Investigations Report (internal use only). The Document is stored in the case's file located in the case management system of record. 	Case Manager
Formal Investigation	<p>In the event a formal investigation is merited, further investigation will be managed based on its Tier Offence Level.</p> <ul style="list-style-type: none"> Tier 1 concerns will be managed by employee's supervisor. Tier 2 concerns will be managed by the Case Manager. Tier 3 & 4 concern will be managed by an Incident Management Team. 	<p>Employee Supervisor Case Manager Incident Management Team</p>
Investigation Report Review	<ul style="list-style-type: none"> At the completion of an investigation, the investigator(s) will prepare a report and submit it to the Incident Management Team, to include the final disposition based on facts gathered. 	Investigator/Investigative Team
Case Outcome Determination	<ul style="list-style-type: none"> For Tier 2,3, &4 concerns, the Case Manager or Incident Management Team will appoint a Decision Maker to make the final determination based on the investigative report. The Decision Maker is a manager or supervisor that has not taken part in the handling of the complaint or incident. 	Decision Maker
Corrective Action	<ul style="list-style-type: none"> The Decision Maker may convene a Disciplinary Committee if corrective action is deemed the appropriate response. Any corrective action that is assigned will include the amount of time allotted for implementation. 	<p>Disciplinary Committee Decision Maker</p>
Case Closure	<ul style="list-style-type: none"> Upon the determination that no further action is necessary or in the event corrective action is assigned and is completed, reports and outcomes will be documented in the case management system of record. 	Case Manager

Related Governing Documents

- [Global Whistleblower Policy](#)
- [Global Anti-Harassment and Nondiscrimination Policy](#)
- [Global Safeguarding Policy](#)
- [Global Protection Against Sexual Exploitation, Abuse and Harassment Policy \(PSEAH\)](#)
- [Global Confidentiality and Safeguarding of Information Policy](#)
- [Global Bribery, Fraud, Extortion, and Improper Dealings Policy](#)

Training & Resources

Find training requirements and resources to better understand this governing document on the [Complaints Management Internal Investigations](#) SharePoint page.

Section 4: Contextualization

Exceptions & Addenda

Exceptions:

Cultural or non-regulatory requirements; approved by the Standard Owner.

Region	Exceptions
Africa & Europe	•
Asia Pacific	•
Latin America	•
North America	•
South Asia	•

Addenda:

Provisions that expand on this Global Standard due to law or regulation; consulted with the Office of General Council (OGC) and the Standard Owner.

Region	Addenda
Africa & Europe	•
Asia Pacific	•
Latin America	•
North America	•
South Asia	•